



Department of Defense

DIRECTIVE

NUMBER 5101.1

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Incorporating Change 1, May 9, 2003
DA&M

SUBJECT: DoD Executive Agent

References: (a) Title 10, United States Code

(b) DoD Instruction 4000.19, "Interservice and Intragovernmental Support," August 9, 1995

(c) DoD 5025.1-M, "DoD Directives System Procedures," current edition

(d) DoD Directive 5100.3, "Support of the Headquarters of Combatant and Subordinate Joint Commands," November 15, 1999

(e) through (g), see enclosure 1

1. PURPOSE

Pursuant to the authority of the Secretary of Defense under reference (a), this Directive:

1.1. Provides a DoD-wide definition of DoD Executive Agent.

1.2. Provides DoD approval authority for assigning DoD Executive Agent responsibilities, functions, and authorities within the Department of Defense.

1.3. Prescribes the policy for the management and control of DoD Executive Agent assignments and arrangements associated with such assignments within the Department of Defense.

1.4. Provides for the exchange of information between DoD Executive Agents and the DoD Components regarding resources and the quality of support throughout the full range of operations.

2. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense; the Military Departments; the Chairman of the Joint Chiefs of Staff; the Combatant Commands; the Office of the Inspector General, Department of Defense; the Defense Agencies; the DoD Field Activities; and all other organizational entities within the Department of Defense (hereafter collectively referred to as "the DoD Components").

3. DEFINITIONS

As used in this Directive, the following terms have the meaning set forth below:

3.1. DoD Executive Agent. The Head of a DoD Component to whom the Secretary of Defense or the Deputy Secretary of Defense has assigned specific responsibilities, functions, and authorities to provide defined levels of support for operational missions, or administrative or other designated activities that involve two or more of the DoD Components. The nature and scope of the DoD Executive Agents responsibilities, functions, and authorities shall:

3.1.1. Be prescribed at the time of assignment.

3.1.2. Remain in effect until the Secretary of Defense or the Deputy Secretary of Defense revokes or supersedes them.

3.2. OSD Principal Staff Assistants. The Under Secretaries of Defense, the Director of Defense Research and Engineering, the Assistant Secretaries of Defense, the General Counsel of the Department of Defense, the Assistants to the Secretary and Deputy Secretary of Defense, and the OSD Directors or equivalents, who report directly to the Secretary of Defense or Deputy Secretary of Defense.

4. POLICY

It is DoD policy that:

4.1. The DoD Executive Agent designation shall be conferred when:

4.1.1. No existing means to accomplish DoD objectives exists.

4.1.2. DoD resources need to be focused on a specific area or areas of responsibility in order to minimize duplication or redundancy, or

4.1.3. Such designation is required by law, Executive order, or Government-wide regulation.

4.2. Only the Secretary of Defense or the Deputy Secretary of Defense may designate a DoD Executive Agent and assign associated responsibilities, functions, and authorities within the Department of Defense.

4.3. The Head of a DoD Component shall be designated as a DoD Executive Agent. The DoD Executive Agent may delegate, to a subordinate designee within that official's Component, the authority to act on that official's behalf for any or all of those DoD Executive Agent responsibilities, functions, and authorities assigned by the Secretary of Defense or the Deputy Secretary of Defense. The DoD Executive Agent, or subordinate designee, may arrange for and execute inter-Service support agreements, in accordance with DoD Instruction 4000.19 (reference (b)), memoranda of understanding, and other necessary arrangements, as required, to fulfill assigned DoD Executive Agent responsibilities, functions, and authorities.

4.4. Within the scope of assigned responsibilities and functions, the DoD Executive Agent's authority takes precedence over the authority of other DoD Component officials performing related or collateral joint or multi-component support responsibilities and functions.

4.5. The DoD Executive Agent assignments and arrangements associated with such assignments shall be identified in a DoD issuance in accordance with reference (c). The issuance shall:

4.5.1. Cite the Secretary of Defense's or the Deputy Secretary of Defense's authority assigning DoD Executive Agency.

4.5.2. Identify the responsibilities, functions, relationships, and authorities of the DoD Executive Agent.

4.5.3. Identify funding and other resource arrangements for the DoD Executive Agent to carry out assigned responsibilities, functions, and authorities.

4.5.4. Specify other DoD Components, if any, that provide operational missions or administrative or other designated activities in support of the DoD Executive Agent.

4.6. The DoD Executive Agency arrangements shall be structured in a manner that permits the effective and efficient accomplishment of assigned responsibilities, functions, and authorities.

4.7. The DoD Executive Agent funding methods and resource requirements, including force structure to the extent permitted by law, shall be included as a part of the Planning, Programming, Budgeting, and Execution process.

4.8. The performance of DoD Executive Agents shall be assessed periodically for continued need, currency, effectiveness, and efficiency in satisfying end user requirements.

4.9. There shall be an approved list of DoD Executive Agent designations.

4.10. Procedures governing the establishment, disestablishment, modification, and execution of DoD Executive Agent assignments and associated arrangements shall be established.

4.11. The funding and costs in support of each DoD Executive Agent assignment and associated arrangements shall be identified separately and shall be visible within the DoD budget.

5. RESPONSIBILITIES AND FUNCTIONS

5.1. The Director of Administration and Management, Office of the Secretary of Defense, shall:

5.1.1. Develop policy on DoD Executive Agent assignments and arrangements associated with such assignments for approval by the Secretary of Defense or the Deputy Secretary of Defense; oversee the implementation of the policy throughout the Department of Defense; and, issue guidelines, as appropriate, to define further the policies, responsibilities and functions, and authorities contained in this Directive.

5.1.2. Coordinate on all DoD issuances that assign or modify DoD Executive Agent designations.

5.1.3. Develop, maintain, monitor, revise, and make available to all the DoD Components, the list of DoD Executive Agent designations approved by the Secretary of Defense or the Deputy Secretary of Defense.

5.1.4. Issue DoD issuances implementing this Directive.

5.2. The DoD Executive Agents shall:

5.2.1. Execute DoD Executive Agent responsibilities, consistent with applicable law, DoD Directive 5100.3 (reference (d)), DoD Directive 5100.73 (reference (e)), and this Directive.

5.2.2. Ensure proper coordination with the DoD Components for the responsibilities and activities assigned to provide continuous, sustainable, and global support as required by end users. Ensure effective planning throughout operations by developing a coordinated process and support plans for transition from peacetime to wartime and/or contingency operations.

5.2.3. Identify requirements and resources, including force structure to the extent permitted by law, necessary to execute assigned responsibilities and functions. Submit these requirements to the cognizant Head of the DoD Component to be included in their respective budget documentation.

5.2.4. Monitor resources used in performing assigned responsibilities and functions.

5.2.5. Develop, maintain, and report results of performance of DoD Executive Agent responsibilities and functions, as may be required by law, Secretary of Defense decision, or other Congressional requirements.

5.2.6. Obtain reports and information, consistent with DoD Directive 8910.1 (reference (f)), as necessary, to carry out assigned DoD Executive Agent responsibilities, functions, and authorities.

5.2.7. Establish, maintain, and preserve information as records, consistent with DoD Directive 5015.2 (reference (g)), that document the transaction of business and mission of the DoD Executive Agent.

5.2.8. Designate a focal point to coordinate matters regarding assigned DoD Executive Agent responsibilities, functions, and authorities.

5.3. The OSD Principal Staff Assistants shall:

5.3.1. Oversee the activities of DoD Executive Agents in their functional areas of responsibility.

5.3.2. Assess periodically, but not less than every 3 years, DoD Executive Agent assignments and arrangements associated with such assignments, under their cognizance for continued need, currency, and effectiveness and efficiency in satisfying end user requirements. Recommend establishment, continuation, modification, or cancellation of those DoD Executive Agent assignments and arrangements associated with such assignments, under their cognizance, as appropriate.

5.3.3. Designate a focal point to implement the guidance contained in this Directive and to coordinate matters regarding identification, control, and evaluation of the DoD Executive Agent assignments and arrangements associated with such assignments within their area of cognizance.

5.4. The Heads of the DoD Components, when receiving DoD Executive Agent support, shall:

5.4.1. Provide estimates of requirements and associated resources to the designated DoD Executive Agent on a timely basis.

5.4.2. Assess, as required, DoD Executive Agent support for effectiveness and efficiency in meeting requirements and make appropriate recommendations for improvement.

5.4.3. Designate a focal point to coordinate matters regarding the establishment of new, the identification of existing, and the control and evaluation of DoD Executive Agent support arrangements.

5.5. The Chairman of the Joint Chiefs of Staff shall:

5.5.1. Coordinate with the OSD Principal Staff Assistants and the Heads of the DoD Components to monitor DoD Executive Agent assignments and arrangements associated with such assignments for impact on the full range of operations.

5.5.2. Communicate, to the Combatant Commanders, DoD Executive Agent assignments and arrangements associated with such assignments in order to support and facilitate national military objectives throughout the full range of operations.

5.6. The Under Secretary of Defense (Comptroller) shall:

5.6.1. Ensure that the DoD Component budget submissions, including requirements supporting DoD Executive Agent assignments and arrangements associated with such assignments, are integrated into the DoD Planning, Programming, and Budgeting System.

5.6.2. Ensure that all funds and costs required to support DoD Executive Agent assignments and the arrangements associated with such assignments are displayed separately and justified in the FYDP and the budget exhibit submissions of the Heads of the DoD Components exercising DoD Executive Agent responsibilities and functions.

5.7. The General Counsel of the Department of Defense shall coordinate on all DoD issuances that assign or modify DoD Executive Agent designations, and provide legal counsel and advice, as appropriate, to implement this Directive.

6. SUMMARY OF CHANGE 1. The changes to this issuance are administrative and update organizational titles and references for accuracy.

7. EFFECTIVE DATE

6.1. This Directive is effective immediately.

6.2. This Directive does not revise, modify, or rescind any DoD Executive Agent assignments and their implementing arrangements in existence as of the effective date of this Directive.



Paul Wolfowitz
Deputy Secretary of Defense

Enclosures - 1

E1. References, continued

E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD Directive 5100.73, "Major Department of Defense Headquarters Activities," May 13, 1999
- (f) DoD Directive 8910.1, "Management and Control of Information Requirements," June 11, 1993
- (g) DoD Directive 5015.2, "DoD Records Management Program," March 6, 2000