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Department of Defense
DIRECTIVE

NUMBER S-5200.37

February 9, 2009

USD(I)

SUBJECT: Management and Execution of Defense Human Intelligence (HUMINT) (U)

References: See Enclosure 1

1. (U) PURPOSE. This Directive:

a. (U) Reissues DoD Directive (DoDD) 5200.37 (Reference (a)); incorporates and cancels Under Secretary of Defense for Intelligence (USD(I)) Memorandum (Reference (b)), the Deputy Under Secretary of Defense for Intelligence and Warfighting Support Memorandum (Reference (c)), and DoDD S-5105.29 (Reference (d)).

b. (U) Updates policy for the oversight and management of Defense HUMINT, in accordance with DoDDs 5143.01 (Reference (e)) and 5105.21 (Reference (f)) and Executive Order 12333 (Reference (g)). This Directive also codifies the centralized management and decentralized execution of Defense HUMINT, as sanctioned by References (b) and (c).

2. (U) APPLICABILITY AND SCOPE

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

b. (U) This Directive does not supersede counterintelligence (CI) policy established within DoDD O-5240.02 (Reference (h)) or other CI policies.

3. (U) DEFINITIONS. See Glossary.

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Classified by: Under Secretary of Defense for Intelligence

Reason: 1.4(c)

Declassify on: August 20, 2033

4. (U) POLICY. It is DoD policy that:

a. (U) The Director, Defense Intelligence Agency (DIA), as the Defense HUMINT Manager (DHM) shall manage the Defense HUMINT Enterprise consistent with all applicable laws and policies, including policies promulgated by the National HUMINT Manager and the Director of National Intelligence.

b. (U) The following DoD Components are authorized to conduct HUMINT collection and related intelligence activities under the authorities of the Secretary of Defense: DIA, the Department of the Army, the Department of the Navy, the Department of the Air Force, and the Combatant Commands. These components comprise the Defense HUMINT Enterprise, and have the following principal HUMINT missions:

(1) (U) Combatant Commands: The collection of military intelligence through Military Source Operations (MSOs) in direct support of Combatant Commander requirements. United States Special Operations Command has as a principal mission, in addition to MSOs, the conduct of activities in response to national requirements.

(2) (U) Military Departments: The collection of military intelligence in direct support of their respective Secretary's organize, train, and equip responsibilities.

(3) (U) DIA: The collection of military intelligence in support of national and departmental requirements.

(b)(1)



d. (U) Defense HUMINT personnel will be certified in, and adhere to, core common tradecraft standards as established by the National HUMINT Manager. The Defense HUMINT Manager, in consultation with Defense HUMINT Executors, will provide implementing guidance for the Department of Defense, in accordance with DoD Instruction 3305.15 (Reference (k)) and consistent with Reference (i).

e. (U) There are three categories of Defense HUMINT and related intelligence activities:

(b)(1)



(b)(1)

(b)(1)

5. (U) RESPONSIBILITIES. See Enclosure 2.

6. (U) INFORMATION REQUIREMENTS. The reporting requirements in this Directive are exempt from licensing according to paragraphs C4.4.1., C4.4.7., and C4.4.8. of DoD 8910.1-M (Reference (n)).

7. (U) RELEASABILITY. RESTRICTED. This Directive is approved for restricted release. Authorized users may obtain copies on the SECRET Internet Protocol Network from the DoD Issuances Web Site at <http://www.dtic.smil.mil/whs/directives>.

8. (U) EFFECTIVE DATE. This Directive is effective immediately.


Gordon England
Deputy Secretary of Defense

- Enclosures
1. References
 2. Responsibilities
- Glossary

ENCLOSURE 1

REFERENCES (U)

- (a) DoD Directive 5200.37, "Centralized Management of Department of Defense Human Intelligence (HUMINT) Operations," December 18, 1992 (hereby canceled)
- (b) Under Secretary of Defense for Intelligence Memorandum, "Guidance for the Conduct and Oversight of Defense Human Intelligence (HUMINT) (U)," December 14, 2004 (hereby canceled)¹
- (c) Deputy Under Secretary of Defense for Intelligence and Warfighting Support Memorandum, "Implementing Instructions to the USDI Memorandum 'Guidance for the Conduct and Oversight of Defense Human Intelligence (HUMINT),' dated December 14, 2004," September 7, 2005 (hereby canceled)
- (d) DoD Directive S-5105.29, "Human Resources Intelligence (HUMINT) Activities (U)," July 9, 1987 (hereby canceled)
- (e) DoD Directive 5143.01, "Under Secretary of Defense for Intelligence (USD(I)),
November 23, 2005
- (f) DoD Directive 5105.21, "Defense Intelligence Agency (DIA)," March 18, 2008
- (g) Executive Order 12333, "United States Intelligence Activities (as amended)," July 30, 2008
- (h) DoD Directive O-5240.02, "Counterintelligence," December 20, 2007
- (i) Director of National Intelligence, Intelligence Community Directive Number 304, "Human Intelligence," March 6, 2008²
- (j) Memorandum of Agreement Between DoD and CIA – Operational Activities, (with Annexes), July 21, 2005¹
- (k) DoD Instruction 3305.15, "DoD Human Intelligence (HUMINT) Training," February 25, 2008
- (l) DoD Directive 5240.12, "Department of Defense (DoD) Intelligence Commercial Activities (ICAs)," December 2, 1992
- (m) DoD Directive S-5105.61, "DoD Cover and Cover Support Activities (U)," May 3, 1997
- (n) DoD 8910.1-M, "Department of Defense Procedures for Management of Information Requirements," June 30, 1998
- (o) Joint Publication 1, "Doctrine for the Armed Forces of the United States," May 14, 2007
- (p) DoD Directive 3000.06, "Combat Support Agencies," July 10, 2007
- (q) Joint Publication 2-01, "Joint and National Intelligence Support to Military Operations," October 7, 2004
- (r) Joint Publication 2-01.2, "HUMINT and Counterintelligence Support to Joint Operations," June 13, 2006
- (s) Under Secretary of Defense for Intelligence Memorandum, "Guidance for Defense Human Intelligence (HUMINT) and Counterintelligence (CI) Source Registration," August 13, 2005¹

¹(U) Copies are available to authorized users via the Defense SECRET Internet Protocol Router Network (SIPRNET)
http://usdi.dia.smil.mil/usdi_st/usdi_docs/keyref/usdi_keyref.cfm

²(U) Copies are available to authorized users on JWICS: <http://sharepoint.intelink.ic.gov/sites/prr/strategyplanspolicy/policy/default.aspx>

ENCLOSURE 2

RESPONSIBILITIES (U)

1. (U) USD(I). The USD(I), in accordance with Reference (e), shall:
 - a. (U) Exercise intelligence oversight of all DoD HUMINT.
 - b. (U) Coordinate with the Under Secretary of Defense for Policy (USD(P)) and General Counsel of the Department of Defense (GC, DoD), along with other Government agencies when appropriate, when considering proposed HUMINT activities specified in paragraph 4.e.(1) of the front matter of this Directive.
 - c. (U) Review and, when appropriate, concur with proposals specified in paragraph 4.e.(1) of the front matter of this Directive.
 - d. (U) Conduct periodic reviews of ongoing activities as specified in paragraph 4.e. of the front matter of this Directive to verify their compliance with this Directive and applicable laws, Executive orders and policies.
 - e. (U) Monitor DoD HUMINT resource needs, and identify them in DoD and national planning, programming, budgeting, execution, and staffing processes.
 - f. (U) Oversee Defense HUMINT Manager annual assessments of DoD HUMINT capabilities, effectiveness, and resource requirements. Apprise the Secretary of Defense, the Chairman of the Joint Chiefs of Staff, Secretaries of the Military Departments, Combatant Commanders, and the National HUMINT Manager of the results of such assessments.
 - g. (U) Establish Defense HUMINT Enterprise policies, guidance, and programs that ensure adherence to National HUMINT Manager core standards where applicable (Reference (i)).
 - h. (U) Issue a DoD HUMINT Instruction to implement this Directive within 120 days of its publication.
2. (U) DIRECTOR, DIA. The Director, DIA, under the authority, direction, and control of the USD(I), shall:
 - a. (U) Serve as the Defense HUMINT Manager (Reference (f)) and shall:
 - (1) (U) Establish and implement standards and procedures for the conduct of DoD HUMINT activities, in coordination with Defense HUMINT Executors, and, when appropriate, the National HUMINT Manager.

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(2) (U) Establish and chair a governance body comprised of Defense HUMINT Executors to review Defense HUMINT strategy, performance, investment, and procedures.

(3) (U) Integrate joint manpower sourcing solutions for Defense HUMINT capabilities necessary to support Combatant Command contingency planning and military operations, in consultation with United States Joint Forces Command (USJFCOM) in accordance with Joint Publication 1 (Reference (o)), DoDD 3000.06 (Reference (p)), and Joint Publication 2-01 (Reference (q)).

(4) (U) Manage the consolidated Defense HUMINT program within the General Defense Intelligence Program (GDIP) portion of the National Intelligence Program (Reference (f)).

(5) (U) Advise USD(I), in consultation with Defense HUMINT Executors, regarding priority, distribution, and adequacy of Military Intelligence Program (MIP) HUMINT resources, recommending changes where appropriate.

(6) (U) Establish mechanisms for the receipt, validation, and coordination of DoD HUMINT collection requirements. Maintain the database of record for DoD HUMINT requirements, reporting, and evaluation, in a manner readily accessible to Defense HUMINT Executors.

(b)(1)

(8) (U) Present DoD HUMINT capabilities and requirements to the Intelligence Community. Represent Defense HUMINT on the National HUMINT Board of Governors, and at other fora as required.

(9) (U) Ensure DoD HUMINT research and development supports an integrated departmental and Intelligence Community approach to technology support for Enterprise activities and related actions.

b. (U) Direct the Defense CI and HUMINT Center, which shall:

(1) (U) Through the Defense Intelligence Operations Coordination Center and, when coordinating DoD HUMINT issues with the Combatant Commands, with the Joint Staff:

(a) (U) Promulgate a Defense HUMINT strategy, identifying long-term collection objectives consistent with DoD and intelligence community priorities, and refer associated collection gaps to Defense HUMINT Executors in accordance with their capabilities.

(b) (U) Assign, in consultation with Defense HUMINT Executors, validated HUMINT collection requirements for Executor tasking to their components, in accordance with their mission responsibilities and stated capabilities.

(c) (U) Provide information regarding DoD HUMINT collection capabilities to the National Intelligence Coordination Center.

(b)(1)

(3) (U) Establish training, education, and professionalization standards for Defense HUMINT in consultation with the DoD HUMINT Board and the Chairman of the Joint Chiefs of Staff (Reference (k)).

(4) (U) Produce annual written assessments of the effectiveness of DoD HUMINT collection and adequacy of DoD HUMINT resources.

(b)(1)

(6) (U) Develop Defense HUMINT Enterprise support agreements with other government agencies, as required.

(7) (U) Develop Defense HUMINT Enterprise agreements with foreign partners, in coordination with the National HUMINT Manager and other Intelligence Community organizations as appropriate.

3. (U) DEFENSE HUMINT EXECUTORS. Defense HUMINT Executors as identified in this Directive shall:

a. (U) Manage the execution of DoD HUMINT activities by elements under their operational control.

b. (U) Collocate DoD Component HUMINT activities where appropriate and when feasible, at joint operating locations, to increase efficiency and minimize costs in meeting operational needs.

c. (U) Collect and report national intelligence, as appropriate (Reference (g)).

d. (U) Review and, where appropriate, approve coordinated HUMINT activities proposed by elements under their operational control. This responsibility may be further delegated.

e. (U) Obtain USD(I) concurrence prior to approving a Category 1 operation consistent with paragraph 3.g.(4) of this enclosure.

f. (U) Immediately obtain USD(I) concurrence should any ongoing Category 2 or 3 operation, due to changing circumstances, invoke serious policy considerations (per paragraph 4.e.(1) of the front matter of this Directive).

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h. (U) Require personnel conducting HUMINT activities to be trained in accordance with core common tradecraft standards, established in consultation with the Defense HUMINT Manager, USJFCOM, and the National HUMINT Manager in accordance with Reference (k), and consistent with Reference (i).

i. (U) Maintain an element responsible for HUMINT collection management activities in direct support of DoD Component responsibilities. The official designated as the Head of collection management shall:

(1) (U) Review validated HUMINT collection requirements received from the Defense CI and HUMINT Center, and respond, in a timely manner, regarding organic collection capabilities against them.

(2) (U) Task assigned HUMINT elements with responsibilities and priorities consistent with the Defense HUMINT Strategy. Ad hoc and time-sensitive requirements may take precedence when dictated by operations or crises.

(3) (U) Communicate tasked HUMINT collection requirements and capabilities to the Defense CI and HUMINT Center.

(4) (U) Direct adherence to established DoD and applicable national HUMINT enterprise standards for documenting HUMINT activity and reporting intelligence gained through HUMINT.

- j. (U) Direct assigned personnel to register human sources in a secure system that is interoperable with the Integrated Defense Source Registry System (Reference (s)).
 - k. (U) Assist the Defense HUMINT Manager in developing the HUMINT portion of the GDIP within the National Intelligence Program, and provide timely and complete visibility into MIP and other budget program planning related to HUMINT (Reference (f)).
4. (U) GC, DoD. The GC, DoD, shall provide legal review of HUMINT activities requiring USD(I) concurrence and other matters as appropriate.
5. (U) USD(P). The USD(P) shall provide policy review of Category 1 HUMINT activities requiring USD(I) concurrence.
6. (U) SECRETARIES OF THE MILITARY DEPARTMENTS. The Secretaries of the Military Departments shall:
- a. (U) Designate one or more HUMINT Executors accountable for discharging the responsibilities delineated in paragraph 3 of this enclosure. The Secretaries of the Military Departments shall designate, at a minimum, a HUMINT Executor for each of the Military Services under their authority, direction, and control.
 - b. (U) Develop and maintain HUMINT policy, doctrine, force structure, and qualified personnel to conduct HUMINT operations addressing intelligence requirements associated with their respective responsibilities.
 - c. (U) Provide HUMINT capability to support Combatant Command requirements as assigned by the Chairman of the Joint Chiefs of Staff.
7. (U) CHAIRMAN OF THE JOINT CHIEFS OF STAFF. The Chairman of the Joint Chiefs of Staff shall designate a senior intelligence official who shall:
- a. (U) Act as the Chairman of the Joint Chiefs of Staff representative in transmitting HUMINT communications between the Department of Defense and the Combatant Commands.
 - b. (U) Establish and maintain a Joint Staff J2X as the conduit for coordination of DoD HUMINT issues with the Combatant Commands.
 - c. (U) Lead, in consultation with the DHM, the development of Joint HUMINT doctrine.

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8. (U) COMMANDERS OF THE COMBATANT COMMANDS. The Commanders of the Combatant Commands will designate a senior intelligence official accountable for discharging the responsibilities delineated in paragraph 3 of this enclosure.

9. (U) COMMANDER, USJFCOM. The Commander, USJFCOM, through the Chairman of the Joint Chiefs of Staff, in addition to the responsibilities in paragraphs 3 and 8 of this enclosure, shall:

a. (U) Serve as the lead for HUMINT lessons learned at the Joint Operational level-of-war, gathering, analyzing, and vetting best practices to develop doctrine, organization, training, materiel, leadership, personnel and facilities change recommendations on behalf of the joint force.

b. (U) Assist in the development of HUMINT training and readiness standards and develop and maintain HUMINT Universal Joint Intelligence Task Lists.

c. (U) Provide the HUMINT subject matter expertise to serve as the functional bridge among USJFCOM, DIA-Joint Coordinating Element, and the HUMINT Training Joint Center(s) of Excellence to facilitate the joint certification of HUMINT courses.

d. (U) Support the Defense HUMINT Manager in the conduct and analysis of the annual DoD HUMINT assessment.

GLOSSARY

DEFINITIONS

These terms and their definitions are for the purposes of this Directive.

(U) clandestine. Any HUMINT or other activity or operation sponsored or conducted by governmental departments or agencies with the intent to assure secrecy or concealment.

(U) coordination. The process of sharing information regarding planned activity, affording potentially affected parties the opportunity to comment, prior to undertaking action. The process of coordination does not infer seeking authorization for action.

(U) Defense HUMINT Enterprise. The collective of DoD organizations authorized to conduct HUMINT and related intelligence activities under the centralized management of the Defense HUMINT Manager.

(U) Defense HUMINT Executor. The senior DoD intelligence officials as designated by the Heads of each of the DoD Components who are authorized to conduct HUMINT and related intelligence activities: DIA Deputy Director of Human Intelligence and the senior intelligence officials as designated by the Secretaries of the Military Departments for the Army, Navy, Air Force, Marine Corps, and by the Commanders of the Combatant Commands.

(U) Defense HUMINT Manager. The Director, DIA, as designated by the USD(I), is the official responsible for the centralized management of the DoD-wide HUMINT Enterprise, according to Reference (f). As the Defense HUMINT Manager, reports to the USD(I), who has oversight responsibilities for DoD HUMINT.

(U) HUMINT. A category of intelligence derived from information collected and provided by human sources.

(U) military intelligence. The collection, analysis, production, and dissemination of information relating to foreign militaries that is significant to military policy-making or the planning and conduct of military operations and activities.

(U) military source operations. DoD HUMINT collection and operations focused on foreign military and military-related intelligence conducted under the authorities of the Secretary of Defense. Military source operations are conducted by trained personnel under the control of Defense HUMINT Executors.

(U) notorious individual. Someone who is widely known and has an unfavorable public reputation.

(U) overt. Activities that are openly acknowledged by or are readily attributable to the U.S. Government, including those designed to acquire information through legal and open means without concealment. Overt information may be collected by observation, elicitation, or from knowledgeable human sources.

(U) prominent individual. Someone who is widely known and has a favorable public reputation.