

United States Army War College



The Interagency Process and National Security

Power is the capacity to direct the decisions and actions of others. Power derives from strength and will. Strength comes from the transformation of resources into capabilities. Will infuses objectives with resolve. Strategy marshals capabilities and brings them to bear with precision. Statecraft seeks through strategy to magnify the mass, relevance, impact, and irresistibility of power. It guides the ways the state deploys and applies its power abroad. These ways embrace the arts of war, espionage, and diplomacy. The practitioners of these three arts are the paladins of statecraft.

Chas W. Freeman, Jr.

Department of National Security & Strategy

Federal Government Interagency Operations (Cabinet-level Interagency View)



Expansion of National Security Effort

1947

Dept of State
Services and Joint Staff
CIA
Nat'l Scty Resource Bd

2007

Dept of State
Dept of Defense
Intel Community
Office of the Vice Pres
Dept of Treasury
Justice Dept / FBI
USAID
Dept of Homeland Sec
Dept of Agriculture
Dept of Commerce
Dept of Health and HS
Dept of Transportation
Dept of Energy

Environ Protection Agency
Office of Mgt and Budget
U.S. Trade Representative
Council of Econ Advisers
Office of Sci / Tech Policy
Bd of Gov of Fed Reserve
Export-Import Bank
NASA
Nuc Regulatory Comm
Peace Corps
Oversea Privat Invest Corp
Fed Comms Commission
Foreign Intel Advisor Board



- The National Security Act of 1947 (as amended in 1949 and codified in titles 10 and 32 of the United States Code) created the National Security Council, the Central Intelligence Agency, and the Joint Chiefs of Staff. Although these organizations form the core of the NSC, each President lays out the organization and membership of the NSC at the beginning of his administration and includes any other government officials he chooses.
- The **NSC**—the principal forum for consideration of national security policy issues requiring Presidential determination—advises and assists the President in integrating all aspects of national security policy: domestic, foreign, military, intelligence, and economic (in conjunction with the National Economic Council or NEC). Along with its subordinate committees, the NSC is the principal means for coordinating, developing, and implementing national security policy.
- The interagency process of national security policy development and implementation is designed to provide well staffed and coordinated positions/recommendations to the President and Secretary of Defense. This is accomplished through a series of committees, composed of different elements within the Executive Branch of the US Government, who work issues at each level and pass recommendations up to the next higher level for consideration. The goal is to build consensus before passing the action to the next higher level.
- Policy developed during the interagency process often results in National Security Presidential Directives (NSPDs), which are signed by the President and remain in force until cancelled or superseded (many are still in force from the Nixon Administration). NSPDs establish US national security policy and direct elements of the US Government to conduct studies, many of which later result in US policy.
- The primary agencies involved in formulating national security policy via the interagency process are shown above.

The National Security Council (NSC)

- Principal forum for consideration of national security policy issues requiring Presidential determination;
 - Functions, membership, and responsibilities set forth in National Security Act of 1947 and Presidential Policy Directive (PPD) 1;
 - Advises and assists the President in integrating all aspects of national security policy as it affects the U.S.—domestic, foreign, military, intelligence, and economic (in conjunction with the National Economic Council, NEC);
 - Along with subordinate committees, is the principal means for coordinating executive departments and agencies in the development and implementation of national security policy;
 - Shall meet regularly and as required.
- The National Security Advisor, at President's direction and in consultation with the other NSC members, is responsible for determining the agenda, ensuring papers are prepared, and recording NSC actions and Presidential decisions in a timely manner.

National Security Council / Homeland Security Council: Purpose

- **Advises the President with respect to the integration of domestic, foreign, & military policies relating to national/ homeland security**
 - **Ensures coordination of all national/homeland security-related activities among executive departments and agencies**
 - **Promotes the effective development and implementation of all national/homeland security policy.**

The NSCs directive role in the establishment of national security policy has diminished under the new structure. This is NOT to say that they don't have an important role to play. To the contrary, their role is probably more important in the coordination end. The NSC works as the coordinating body inside the Executive Branch.



- On 13 February 2001, President George W. Bush signed NSPD-1, which established the Organization of the NSC System under the current administration.

- In addition to the statutory members—the President, Vice President, Secretary of State, and Secretary of Defense—and statutory advisors—the Director of Central Intelligence (DCI) and the Chairman of the Joint Chiefs of Staff (CJCS)—NSPD-1 adds the President’s National Security Advisor and the Secretary of the Treasury to the NSC. Legislation creating the Director of National Intelligence (DNI) position added that official to the NSC membership. Other key members of the US Government are sometimes invited to participate, depending on the subject matter.

-The NSC Principals Committee (NSC/PC) is the senior (Cabinet-level) interagency forum for considering national security policy. The primary members of the Principals Committee are the same as that of the full NSC minus the President and Vice President. The difference is that the DCI and CJCS are full members of the NSC/PC, as opposed to advisors to the NSC.

-When the “principal” of a particular agency is unavailable to attend a meeting of the NSC or NSC/PC, the “deputy” or another designated official will represent the principal. For the Joint Staff, this is often the Vice Chairman of the Joint Chiefs of Staff (VCJCS), the Assistant to the Chairman of the Joint Chiefs of Staff (ACJCS), or the Director for Strategic Plans and Policy (J-5), although this delegation can extend to another 3-star G/FO, depending on subject matter.

HSC Membership

STATUTORY MEMBERS



POTUS, Barack Obama
VPOTUS, Joe Biden
DHS, Janet Napolitano
DOJ, Eric Holder
DDI, Bob Gates

STATUTORY ADVISORS



DNI, Dennis Blair
JCS, ADM Mike Mullen

ATTENDEES FOR ISSUES WITHIN THEIR PURVIEW



HHS, Kathleen Sebelius*
DOT, Ray LaHood
FEMA, Craig Fugate*



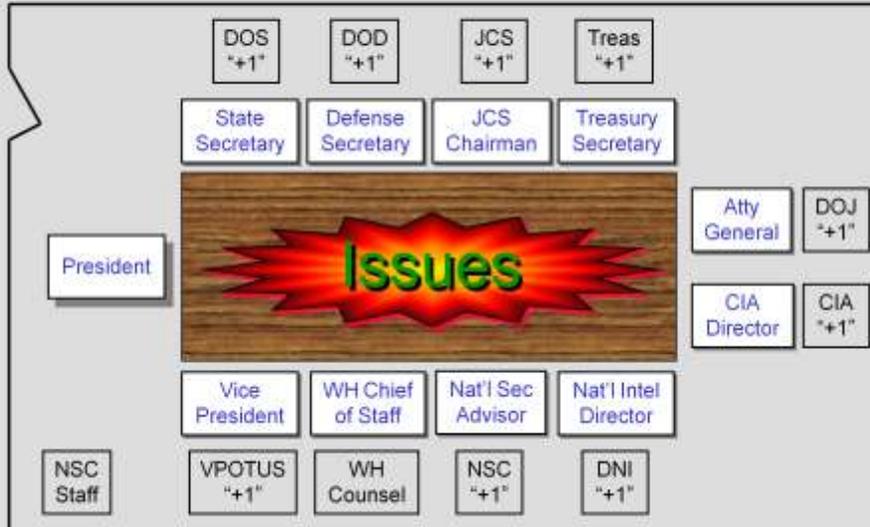
FBI, Bob Mueller
CIA, Leon Panetta
Treasury, Tim Geithner
VH CoS, Rahm Emanuel
QV/POTUS, Tony Blinken
HSC, John Brennan
NSC, Jim Jones
Counsel, Greg Craig
OMB, Pete Orszag
DOS, Hillary Clinton



USDA, Tom Vilsack
DOI, Ken Salazar
DOE, Steve Chu
DOL, Hilda Solis
DOC, Gary Locke*
VA, Eric Shinseki
EPA, Lisa Jackson
NEC, Larry Summers
DPC, Melody Barnes
 * acting or designate

The White House Situation Room

NATIONAL SECURITY COUNCIL



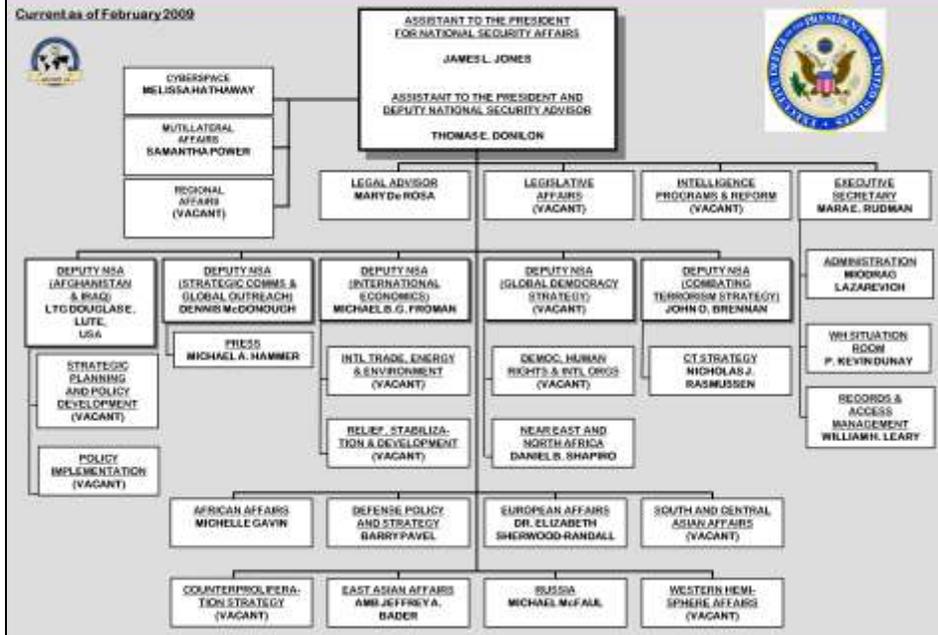
NSC/HSC Staff Functions

- Provide **information and policy advice** to President
- **Manage the interagency policy coordination process**
- Monitor **implementation** of Presidential policy decisions
- **Crisis management**
- **Support negotiations**
- Articulate President's policies (**spokesman**)
- **Liaison with Congress and foreign governments**
- Coordinate **summit meetings** and national security-related **trips**

Policy coordination ←→ **Policy-making**

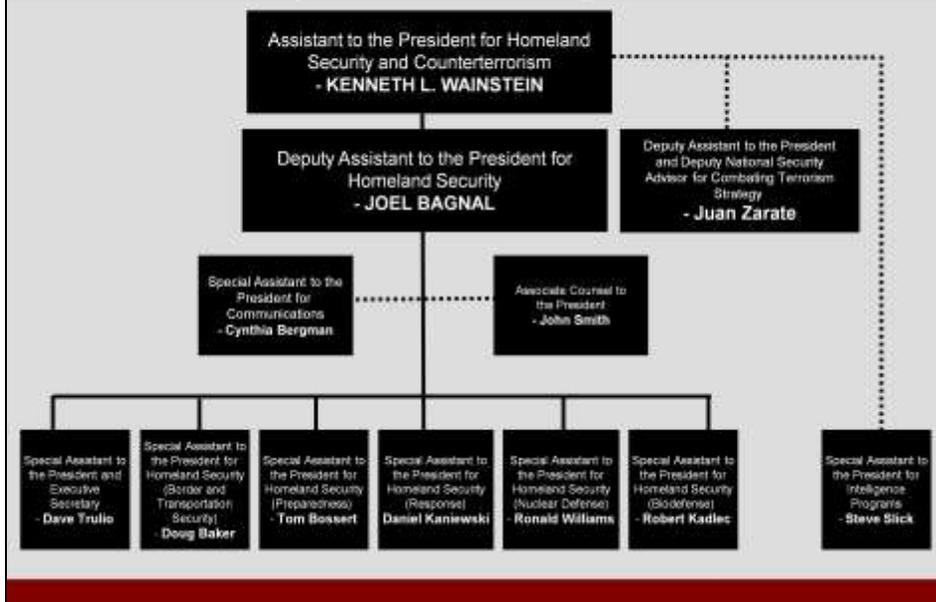
National Security Council Staff

Current as of February 2009

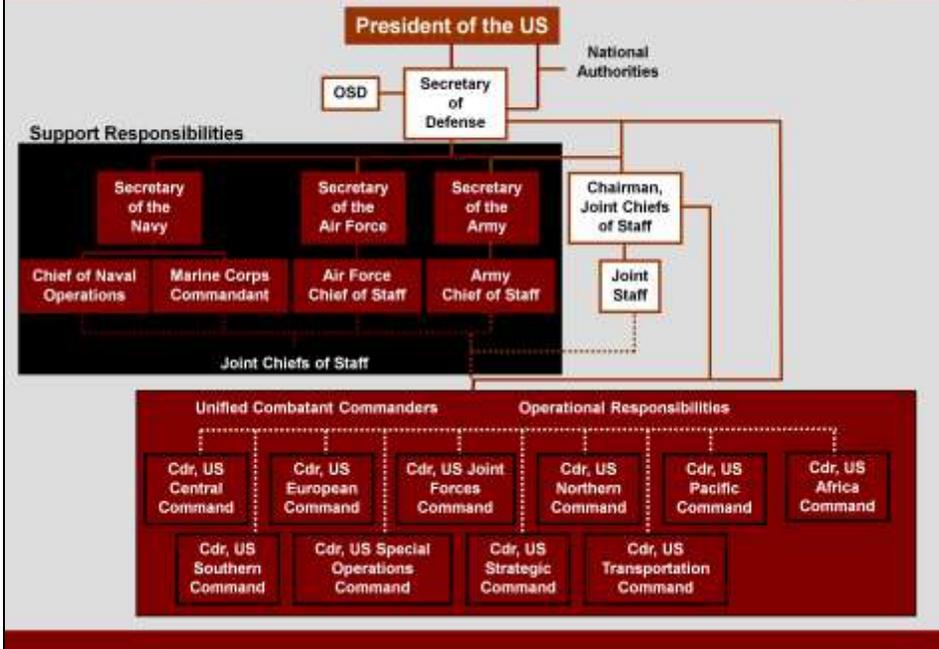


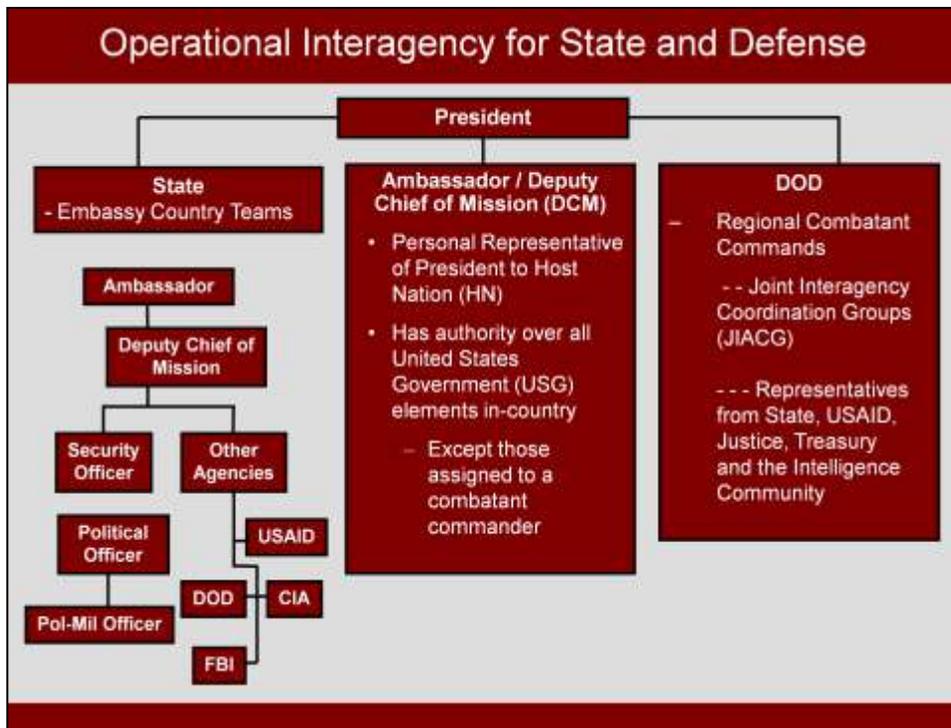
Homeland Security Council Staff

Organizational Structure – April 2008



Armed Forces Organization for National Security





- We see that the DOS, like DOD, is organized along regional and functional lines. The Ambassador or Deputy Chief of Mission (DCM) does the majority of his or her coordination with these regional or functional bureaus, as well as with the RCCs and OSD.
- That said, the Ambassador or Deputy Chief of Mission (DCM) is formally the Senior representative of President to Host Nation (HN) – and has a direct line to the President.
- The Ambassador has authority over all United States Government (USG) elements in-country except those assigned to a combatant commander
- The JTF or RCC Commander's staff key interagency coordination link with any foreign nation is the country team at the embassy

Abbreviations/Acronyms:

POTUS – President of the United States

USAMB – United States Ambassador

Regional, International, and Nongovernmental Organization Actors

Possess area of global influence and support



- **Regional:**
 - NATO
 - African Union
 - Organization of American States
- **International Organizations (IO):**
 - United Nations
- **Nongovernmental Organizations (NGO)**
 - International Committee of the Red Cross

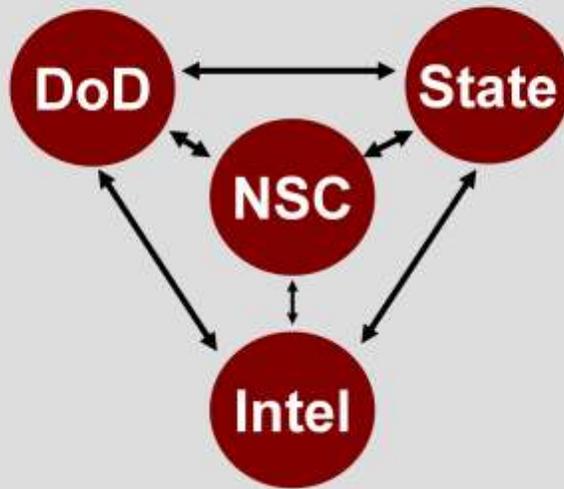
- IO's are very influential. They bring international legitimacy. They have well defined roles, bring resources and have extensive expertise
- Talk to fact that their efforts may run counter to our objectives on challenges slide...

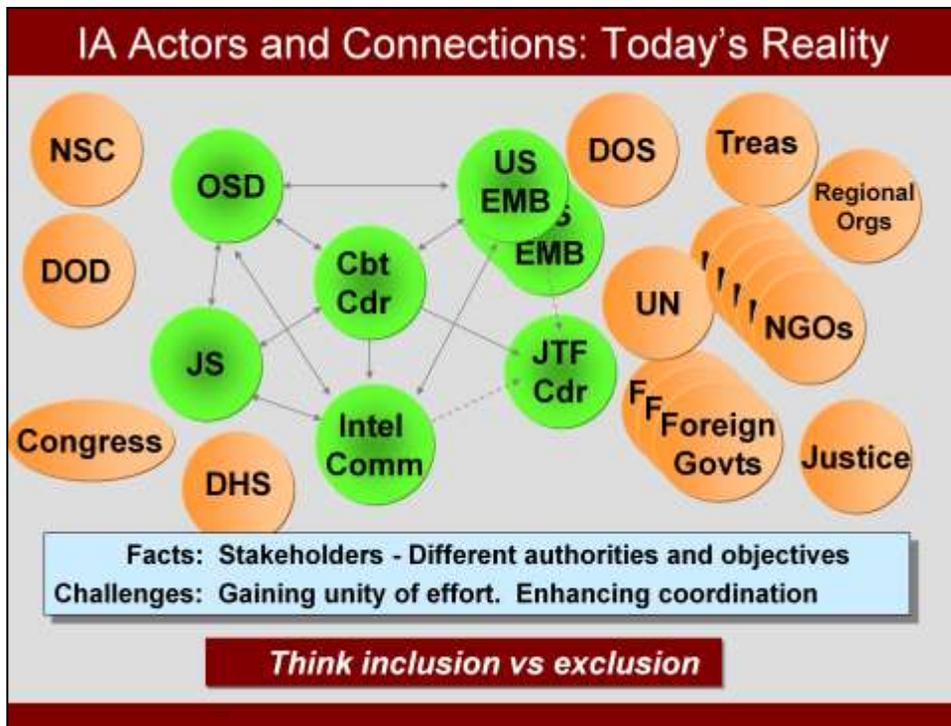
Abbreviations/Acronyms:

NATO – North Atlantic Treaty Organization

Actors and Connections

Original Concept





- This is the perfect world that many of us hope to experience as a JTF commander (in the Green).
- Note the combatant commander is perceived as the middle of the hub. However, the reality looks more like this..... (build)
- The challenge is defining the coordinating lines... And gaining unity of effort recognizing the different objectives and authorities...

Abbreviations/Acronyms:

JS – Joint Staff

HHS- Health and Human Services

Future IA Actors

State and Local Governments

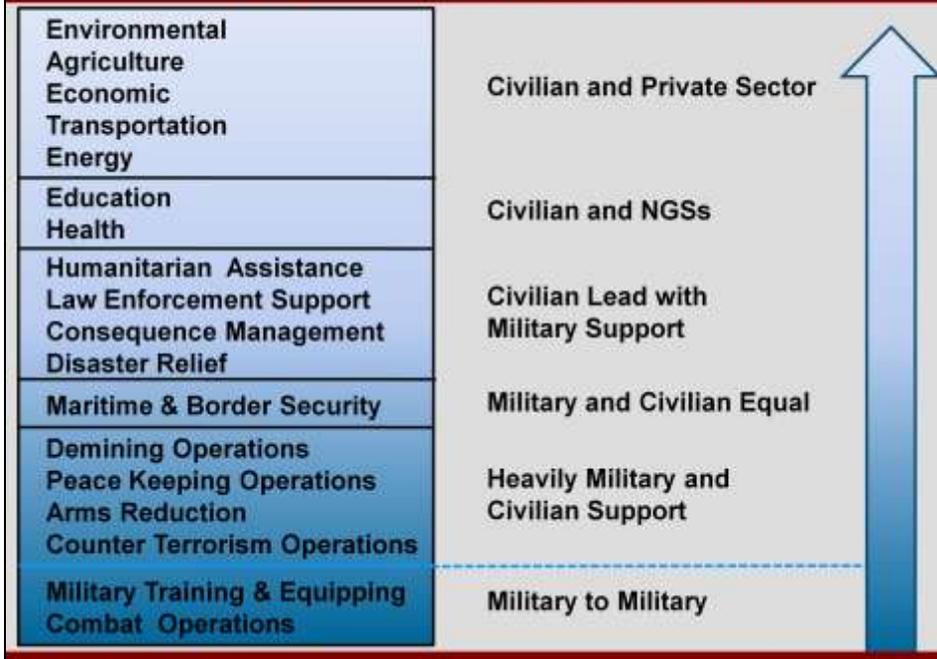
Multinational Corporations

Contractors



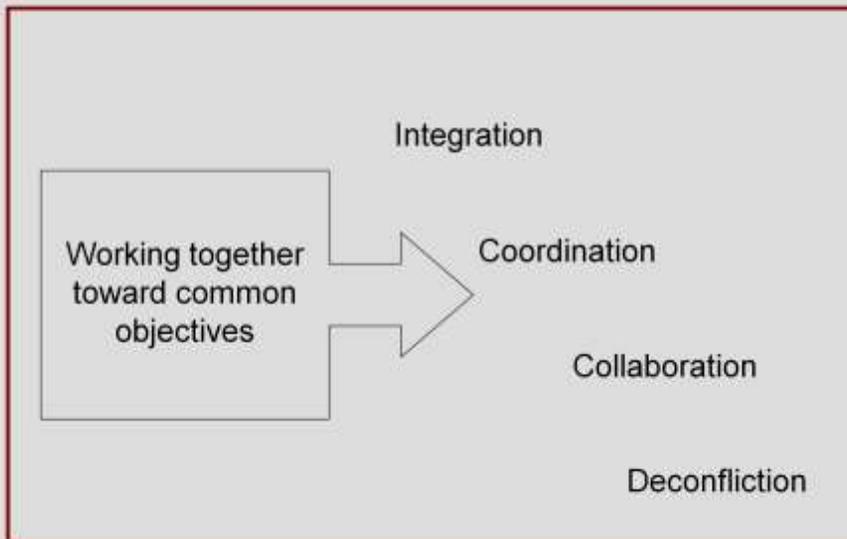
BILL & MELINDA GATES foundation

Interagency Military to Civilian Continuum



The Interagency Process

- Not a place-----but a process
- Interagency role in 5 interrelated levels of policy
 - Conceptualization
 - Articulation
 - Resourcing
 - Implementation
 - Post Implementation Follow-Up



Interagency Coordination Definition

“Within the context of Department of Defense involvement, the coordination that occurs between elements of **Department of Defense** and engaged **US Government agencies, nongovernmental organizations, and regional and international organizations** for the purpose of accomplishing an objective.”

Joint Pub 1-02

National



President



International



United Nations

NGO



- Please take a moment to review this quote from JP 1-02. The essence of this slide is that you must strive for unity of effort.
- Note the three areas of interagency coordination – you will need to deal with all three
 - U.S. Government Interagency, International Organizations, and Non-Governmental Organizations
 - DOD is part of the IA Community.

Abbreviations/Acronyms:

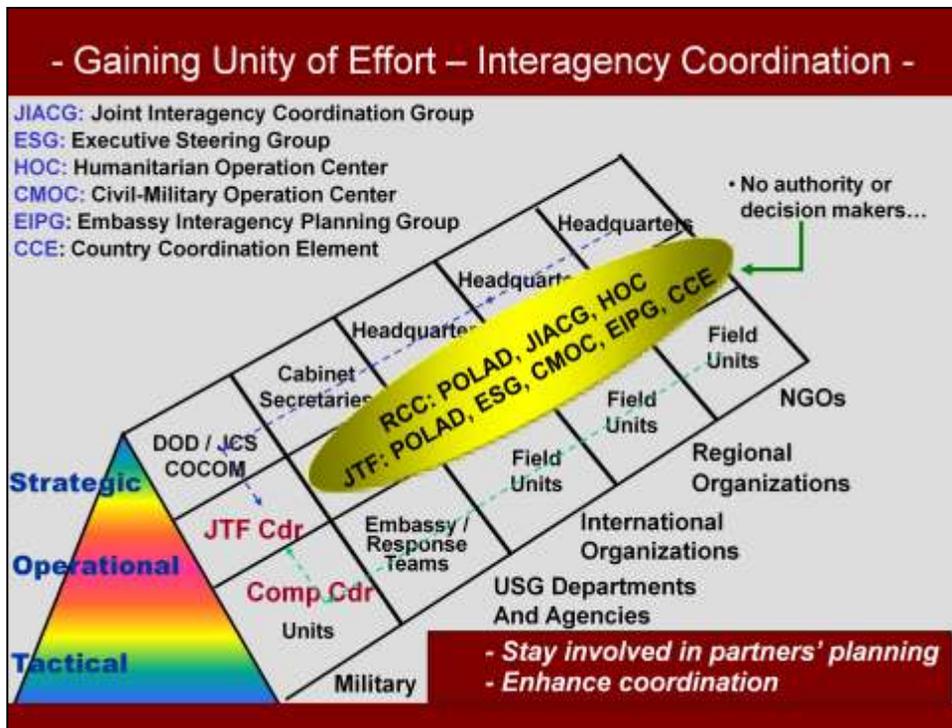
CIA – Central Intelligence Agency

DOD – Department of Defense

DOS – Department of State

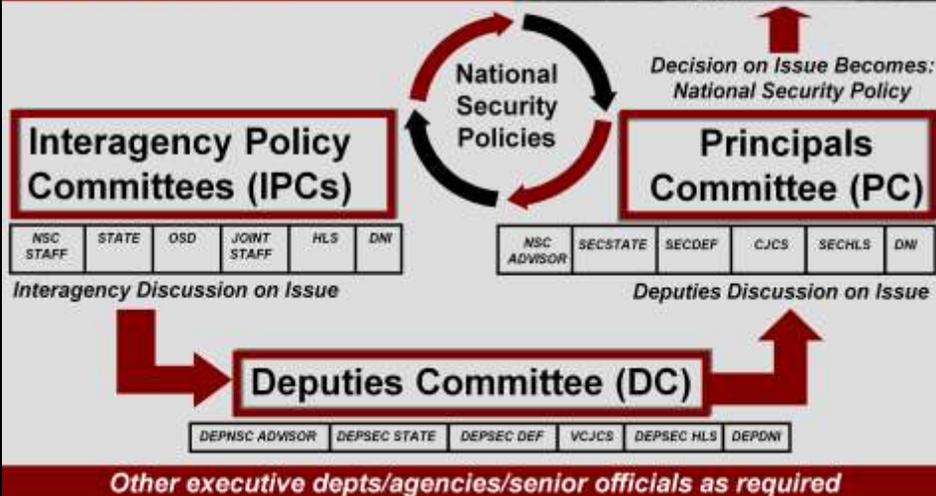
ICRC – International Committee of the Red Cross

NGO – Nongovernmental Organizations



- During the past several years there have been several bridges that have been developed for the strategic and operational levels to aid greater interagency coordination.
- These organizations are a start, but clearly not perfect. They normally don't have decision making authority – often with the full conscious decision of their parent organizations...
- Define EIPG – Embassy Interagency Planning Group (in AFG) to plan IA actions.
- Define CCE – country coordination Element – LNOs from CJTF HOA to Embassies.
- Not all JTFs have a POLAD

Interagency Process of Policy Formulation



INTERAGENCY POLICY COMMITTEES (IPCs)

• Interagency Policy Committees:

- Manage development and implementation of national security policies by multiple government agencies
- Main day-to-day fora for interagency coordination of national security policy
- Provide policy analysis for consideration by the more senior committees of the NSC system and ensure timely responses to decisions made by the President
- Established at the direction of the DC and chaired by either the NSC or National Economic Council [NEC] staffs
- Convene on a regular basis to review and coordinate the implementation of Presidential decisions in their policy areas
- Establish strict guidelines governing the operation of IPCs, including participants, decision making path, and time frame
- Set up by the DC, which provides their mandates for reviewing policies and developing options in their respective areas for early consideration
- Include reps from the departments, offices & agencies represented in NSC/DC (typically O-7/O-6 or DASD/GS-15 for DoD)

NSC Policy Coordination Committees (NSC/PCCs), the main day-to-day fora for interagency coordination of national security policy, manage the development and implementation of national security policies by multiple US Government agencies; provide policy analysis for consideration by the more senior NSC system committees; and ensure timely responses to presidential decisions. PCC membership is drawn from the same organizations as those represented in higher level meetings. PCCs are attended by officials at a wide variety of levels and may range from O-8 to O-4.

In an attempt to better manage and monitor the work of the PCCs, NSPD-1 disestablished most of the old working groups and organized the PCC network into a series of 6 regional and 11 functional PCCs. All of the regional PCCs—shown above—are chaired within the State Department by the Under or Assistant Secretary with responsibility for and oversight of that region, as indicated.

Bush II Administration NSC PCCs	
<p style="text-align: center;">34 Functional and Regional PCCs</p> <div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;">Europe and Eurasia (State)</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;">Western Hemisphere (State)</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;">East Asia (State)</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;">South Asia (State)</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;">Near East and North Africa (State)</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;">Africa (State and NSC)</div>	Arms Control (NSC)
	International Development and Humanitarian Assistance (State)
	Biodfense (NSC & HSC)
	International Drug Control Policy (NSC and ONDCP)
	Combating Terrorism Info Strategy (NSC)
	International Finance (Treasury)
	Contingency Planning (NSC)
	International Organized Crime (NSC)
	Counterterrorism and National Preparedness (NSC)
	Maritime Security (NSC and HSC)
Defense Strategy, Force Structure, and Planning (DoD)	
Muslim World Outreach (NSC and State)	
Democracy, Human Rights, and International Operations (NSC)	
Proliferation, Counterproliferation, and Homeland Defense (NSC)	
Detainees (NSC)	
Records Access and Information Security (NSC)	
Global Environment (NSC and NEC)	
Space (NSC)	
HIV/AIDS and Infectious Diseases (State & HHS)	
Strategic Communication (State)	
Intelligence and Counterintelligence (NSC)	
Terrorist Financa (Treasury)	
Interdiction (NSC)	
Transnational Economic Issues (NEC)	
Communications Systems & Cyber Security (NSC:HSC)	
Counterproliferation Technology (NSC:HSC)	
Information Sharing (NSC:HSC)	
National Security Policy Planning Committee (NSC:HSC)	
<p>Note: PCC Chairs in Parenthesis</p>	



Thomas E. Donilon

Deputies Committee (DC)

- Reviews and monitors the work of the NSC interagency process (including IPCs)
- Ensures that issues being brought before the PC or the NSC have been properly analyzed and prepared for decision
- Schedules periodic reviews of major foreign policy initiatives to ensure that they are being implemented in a timely and effective manner and considers whether existing policy directives should be revamped or rescinded
- Responsible for day-to-day crisis management, reporting to the NSC, and ensures that all papers to be discussed by the NSC or the PC fully analyze the issues, fairly and adequately set out the facts, consider a full range of views and options, and satisfactorily assess the prospects, risks, and implications of each.
- Any NSC principal or deputy, as well as the National Security Advisor, may request a meeting of the DC in its crisis management capacity.
- The Deputy National Security Advisor is responsible for:
 - calling meetings of the DC
 - determining the agenda
 - ensuring that the necessary papers are prepared; and
 - preparing and circulating conclusions and decisions in a timely manner.



Per NSPD-1, the NSC Deputies Committee (NSC/DC), the senior sub-Cabinet inter-agency forum for consideration of national security policy issues, prescribes and reviews the work of the NSC interagency working groups and ensures that issues brought before the NSC/PC or full NSC have been analyzed and prepared for decision.

The NSC/DC handles issues which are not yet ready for decision by the PC and/or the President through deliberation of national security policy issues and day-to-day crisis management issues. As the name implies, it consists of the deputies to the Cabinet members who comprise the NSC/PC. VCJCS is the Joint Staff member of the NSC/DC, but he may delegate attendance to the 3- or (rarely) 2-star level depending on his availability and the equity of the US military in the subject matter.

As with NSC and NSC/PC meetings, any other US Government official may be invited to attend DC meetings when the subject falls within his or her area of expertise.



James L. Jones

Principals Committee (PC)

- Senior interagency forum for consideration of national security policy
- Meets at the call of National Security Advisor (NSA)
- The National Security Advisor:
 - Determines the agenda in consultation with other committee members
 - Ensures that necessary papers are prepared; and
 - Ensures that conclusions and decisions are communicated in a timely manner.

NSC Principals Committee

REGULAR MEMBERS



NSC (chair), Jim Jones
 DOS, Hillary Clinton
 Treasury, Tim Geithner
 DOD, Bob Gates
 DOJ, Eric Holder
 DOE, Steve Chu
 DHS, Janet Napolitano
 OMB, Pete Orszag



USUN, Susan Rice
 WH CoS, Rahm Emanuel
 DNI, Dennis Blair
 JCS, ADM Mike Mullen

INVITED TO ALL NSC/PC MEETINGS



NSC, Tom Donilon
 DOS, Jim Steinberg
 Counsel, Greg Craig
 OVPOUS, Tony Blinken

FOR INTERNATIONAL ECONOMIC ISSUES



DOC, Gary Locke*
 USTR, Ron Kirk*
 CEA, Christina Romer
 NEC, Larry Summers

FOR HOMELAND SECURITY/CT ISSUES



HSC, John Brennan

FOR SCIENCE & TECHNOLOGY ISSUES



OSTP, John Holdren*

Other Dept/ Agency Heads, Officials

* acting or designate

Bush II Administration HSC PCCs

18 HSC- Only Chaired Functional PCCs

Note:
PCCs Chaired by
HSC Offices in
Parenthesis

Detection, Surveillance, and Intelligence
(Intelligence & Detection)

Research & Development
(Research & Development)

Domestic Protection
(Protection & Prevention)

WMD Consequence Management
(Response & Recovery)

Domestic Threat Response & Incident
Management (Response & Recovery)

Avian and Pandemic Influenza
(Biodefense)

Economic Consequences
(Resources & Recovery)

Border & Transportation Security
(Border & Transportation Security)

Key Asset, Border, Territorial Waters &
Airspace Security
(Protection & Prevention)

Continuity
(Nuclear)

Law Enforcement & Investigation
(Intelligence & Detection)

Critical Infrastructure Protection
(Preparedness)

Medical & Public Health Preparedness
(Protection & Prevention)

Domestic Nuclear Defense
(Nuclear)

Plans, Training, Exercises, & Evaluation
(Policy & Plans)

Domestic Readiness
(Preparedness & Response)

Public Affairs
(Communications)

Exercises
(Emergency Preparedness & Response)

HSC Deputies Committee

MEMBERS



DHS
Rand Beers*

DOD
Bill Lynn

DOJ
Dave Ogden

DNI
Vacant

JCS
Gen Jim Cartwright

ATTENDEES FOR ISSUES WITHIN THEIR PURVIEW



Treasury
Vacant

HHS
Bill Corr*

DOT
Vacant

FBI
John Pistola



FEMA
Dave Garratt*

CIA
Steve Kappes

OMB
Rob Nabors

OVPOTUS
Tony Blinken

NSC
Tom Donilon

HSC
Vacant

Exec.Sec
Vacant

DOS
Jim Steinberg

DOI
Dave Hayes*



USDA
Kathleen Merrigan

DDC
Vacant

DOL
Vacant

DOE
Vacant

VA
Scott Gould*

EPA
Jonathan Cannon*

CJ
Linda Johnson

Cyber
Melissa Hathaway

Other Dept/ Agency Heads, Officials
* acting or designate

HSC Principals Committee

STATUTORY MEMBERS



DHS
Janet
Napoltano



DOJ
Eric
Holder



DOD
Bob
Gates



DNI
Dennis
Blair



JCS
ADM Mika
Mulren

STATUTORY ADVISORS



HHS
Kathleen
Sebelius*



DOT
Ray
LaHood



FEMA
Craig
Fugate*

ATTENDEES FOR ISSUES WITHIN THEIR PURVIEW



FBI
Robert
Mueller



CIA
Leon
Panetta



Treasury
Tim
Geithner



WH CoS
Rahm
Emanuel



QVPOTUS
Tony
Blinken



HSC
John
Brennan



NSC
Jim
Jones



Counsel
Greg
Craig



OMB
Pete
Orszag



DOS
Hillary
Clinton



USDA
Tom
Vilsack



DOI
Ken
Salazar



DOE
Steve
Chu



DOL
Hilda
Solis



DOC
Gary
Locke*



VA
Eric
Shinseki



EPA
Lisa
Jackson



NEC
Larry
Summers



DPC
Melody
Barnes

Other
Dept/
Agency
Heads,
Officials

* acting or
designate

The Actual IA Process

National Security Council (NSC) Meetings

- as announced

NSC Principals Committee Meetings

- Tuesdays: 1715-1845
- Thursdays: 1630-1800

NSC Deputies Committee Meetings

- Mondays: 1615-1715
- Tuesdays: 1300-1400
- Wednesdays: 1515-1615 & 1645-1745
- Thursdays: 1330-1430 & 1630-1800
(if no NSC/PC)
- Fridays: 1500-1600

NSC/IPC Meetings

- meet anywhere from never to several times per week

Alternative Interagency Fora

- **“Paper” PCs and DCs**
- **Small Group Meetings:**
 - “un-PCs”
 - “un-DCs”
- **Policy Time Meetings (w/POTUS)**
- **Secure Conference Calls**
- **Secure Video Teleconferences (SVTCs)**

What Does the Interagency Produce?

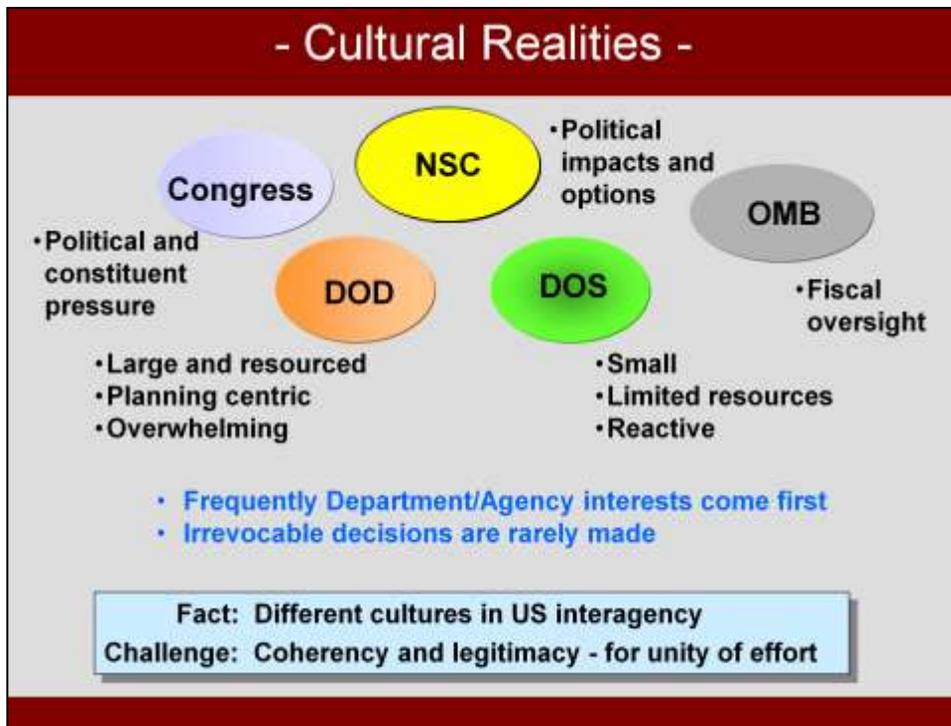
- Planning guidance IA players
- Negotiation or Country Team Guidance
- Press Guidance
- Legal readings
- Minutes and taskings
- NSPDs

What Makes “Interagency” Work Difficult

- New faces---military especially
- Lack of subject matter expertise often requires “backstopping” by technical experts
- Takes time to build trust /traditional barriers
- Bureaucracy
- Other complications

Consistent Challenges

- **Cultural differences**
 - **Military v. civilian agency response**
 - **Rivalries & tensions among and within agencies**
 - **Differences in roles, priorities & footprints**
 - **Hesitant buy-in**
 - **Peacetime planning incentives**
 - **Coordination = 's ceding control**
- **Tight resources with declining trends – unless clear, costs trump benefits**
- **Resistance to collaborative planning culture and tools**
- **Inter-department security policy and procedures**



- Here is the challenge in the interagency environment.
- Cultural realities are difficult to overcome in order to achieve unity of effort

Abbreviations/Acronyms:

NSC – National Security Council

OMB – Office of Management and Budget

What Makes an Effective Interagency?

- Your definition is important
- Much depends on where you sit
- Differs markedly from one administration to the next
- Outside impacts
 - Congress?
 - Media?

Potential Interagency Reform Changes

- Strategic Direction**

- Improved connectivity between policy development and resourcing links

- Structure**

- Expand NSC staff to facilitate policy integration and collaboration

- Processes**

- Ensure a common framework of interagency processes to enable end-to-end management of policy, strategy, planning, and short- and long-term implementation and feedback

- Resources**

- Better visibility and understanding of resource allocation choices to enable strategic direction of the system

- Human Capital**

- Create national security professionals in every relevant department and agency

- Congressional Oversight**

- Requires legislation to institutionalize some of the above

What Should Be The Role of the NSC Staff?

- Facilitator?
- Honest Broker?
- Decisionmaker?
- Policymaker?
- Operational?
- Other?

Summary

- The structure places more emphasis on and empowers the DCs.
- Role of the NSC has become more lead than simple coordination.
- The interagency process is still hard but there are tools to help.

The structure the Bush administration has established to deal with complex contingencies streamlines the alignments of complex problems and places them in both the functional and regional PCCs.

The NSCs role shifts more to a coordinating role rather than taking the lead in all cases.

The process and structure continue to evolve and the current structure certainly isn't the final product.