

**INTERAGENCY MANAGEMENT
OF
COMPLEX CRISIS OPERATIONS
HANDBOOK**

January 2003

National Defense University

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INTRODUCTION

This handbook is intended to institutionalize the mechanisms for managing complex crises. While the following chapters focus mainly on interagency cooperation for complex foreign crises, these mechanisms may also be applied toward enhancing interagency efforts during domestic emergencies. These procedures were derived from After Action Review from past United States (U.S.) participation in complex foreign crises and subsequent improvements made in the interagency planning process. The handbook provides a guide for those in the interagency community who are or will be involved in planning such operations. Specifically, this book:

- Articulates an integrated interagency process for planning U.S. participation in complex crises.
- Discusses the tools used as part of this planning process.

While it describes the integrated planning process, *this handbook is not meant to serve as a guide for deciding whether or not the U.S. should support or participate in a given crisis*. The intent is to ensure that, when senior policy-makers decide to undertake an operation, improved coordinating mechanisms and planning tools become standard, routine, and useful within the interagency community

There are five chapters in this handbook, followed by a series of appendices. Chapter 1 briefly discusses the historical background of the interagency coordination initiative and provides an introduction into the current system. Chapter 2 outlines the integrated interagency planning process that should take place in preparation for U.S. involvement in a complex crisis. Chapter 3 discusses the tools available to assist interagency planning for U.S. intervention, and Chapter 4 reviews strategic-level lessons derived from past operations. Chapter 5 concludes by highlighting the critical process of institutionalizing the process.

CHAPTER 1: BACKGROUND

Historical Perspective

Past U.S. engagements in northern Iraq, Somalia, Rwanda, Haiti and Bosnia represent what are now commonly referred to as complex foreign crises. Such operations are conducted in response to complex emergencies that adversely affect U.S. interests. They are *complex* because they combine diplomatic, military, political, humanitarian, public security, social, and economic dimensions. Since 1989, there has been a sharp increase in the number and intensity of complex emergencies worldwide. Once relegated to the strategic sidelines of the Cold War, preventing and responding to complex emergencies are now important components of U.S. strategy for protecting and advancing U.S. national interests in the world.

Operation Restore Democracy (1994) in Haiti was the genesis of the interagency coordination and planning initiative. During deliberations of the Principals Committee, senior policymakers observed that agencies had not sufficiently coordinated their planning efforts. More specifically, they found gaps in civil-military planning, disconnects in synchronization of agency efforts, and shortfalls in resources needed to support mission accomplishment. As a result, the Principals Committee directed the interagency to prepare what is now called a political-military implementation plan (pol-mil plan). Given the subsequent success of the operation, this innovative interagency planning effort proved its worth in achieving U.S. policy objectives through unity of effort at all levels.

In subsequent operations, including those in Bosnia, Eastern Slovenia, and Central Africa, interagency officials prepared pol-mil plans to guide U.S. activities during execution. They managed these operations using new coordinating mechanisms, which will be discussed in Chapter 3, and found them to be helpful in strengthening situational awareness, interagency planning and civil-military coordination. Experiences in these subsequent operations produced additional lessons for improved interagency management. As a result, interagency management has been strengthened through continuous adaptation and improvement.

In May 1997, Presidential Decision Directive (PDD) 56 “Managing Complex Contingency Operations” was signed, directing the creation of a cohesive program of education and training targeted at Executive agencies. PDD 56 provided recommendations to promote cohesive planning and management for complex crises. Its main objective was to create a cadre of professionals familiar with interagency planning and implementation.

Establishment

“Success” in complex foreign crises requires that the interagency simultaneously address all aspects of a crisis -- diplomatic, political, military, humanitarian, economic and social -- in a coordinated fashion. Early operations, such as Restore Hope in Somalia, were plagued by the absence of any integrated planning and by communication and coordination difficulties that resulted from unclear lines of responsibility. These problems were exacerbated by the fact that some of the agencies involved were not regular participants in the national security management structure and most civilian agencies were not organized to respond rapidly to crisis situations. Although the interagency process will never be free of these types of problems, we must find ways to minimize them. Failure to integrate planning early on can cause delays on the civilian side, increase pressure on the military to expand its involvement in non-military tasks, and jeopardize the overall success of an operation.

Nearly all participants in the interagency process recognize that coordination problems exist, and many have first hand experience in the difficulties that arise when these problems are not addressed. Many have also learned important lessons over the past several years and have developed innovative techniques to improve interagency coordination and accountability during these operations. PDD 56 focused on implementing these lessons learned and making integrated political-military planning a formal part of the interagency process.

The Current System

This handbook describes the integrated pol-mil planning process and mechanisms initiated by PDD 56 and continued through current interagency initiatives. The planning process is designed to yield strategic level guidance for the departments and agencies tasked to execute a complex crisis operation. Under this system, the planning process can:

- Accelerate planning and implementation of the civilian aspects of the operation
- Intensify early action on critical preparatory requirements such as diplomatic efforts or funding
- Integrate civilian, military, police, and aid functions at the policy level and facilitate the creation of coordination mechanisms at the operational level
- Rapidly identify issues for senior policy makers and ensure expeditious implementation of decisions.

This effort involves a wide variety of agencies that engage in numerous activities, including diplomacy, military security, humanitarian assistance, political transition, public security, intelligence collection and analysis, human rights, social reconciliation, and economic restoration. The goals for strengthening interagency management are comprehensive: gain a complete situation assessment; formulate integrated U.S. Government (USG) policy guidance; make agency planning activities transparent to other agencies; increase individual accountability for implementation of assigned agency responsibilities; and anticipate and keep pace with events during operations. To accomplish these goals, the following interagency coordinating mechanisms have been established by National Security Presidential Directive (NSPD) 1 (see Appendix A):

- *Principals Committee (PC)* provides a senior interagency forum for consideration of national security policy.
- *Deputies Committee (DC)* provides a senior sub-Cabinet interagency forum for national security policy.
- *Policy Coordination Committees (PCCs)* provide a day-to-day forum for interagency coordination of national security policy, as well as provide policy analysis for other senior committees.
- *Interagency Rehearsal* refines mission area plans to achieve unity of effort.

Complex foreign crises, by definition, involve many actors other than the U.S. government. In any situation there will likely be a number of international actors, including other nations, agencies of the United Nations and other international organizations, regional organizations, and private non-governmental organizations involved in the geographic area or planning to get involved in response to the crisis. We recognize that others will play critical roles in any response to a complex emergency and the U.S. will need to have effective coordination mechanisms with them. The process described in this handbook does not attempt to address these broader coordination issues. Nevertheless, the U.S. will be better able to cooperate with others if its own planning and operations are more effective.

The mechanisms and planning tools described in the following pages, will not guarantee success in every operation that the U.S. undertakes. They will help, however, to ensure that when the President determines that it is in our national interest to participate in a complex foreign crisis, the interagency community will be able to fashion coherent, coordinated guidance for the men and women who will be conducting the mission on the ground.

CHAPTER 2: INTERAGENCY PROCESS

The purpose of the planning process described in this handbook is to create a system by which the interagency can effectively integrate the operations of all USG actors in a complex crisis. Although the day-to-day interagency process is generally effective in producing coordinated policy options and decisions, the process requires additional coordinating mechanisms and planning tools to cope with the demands of providing coordinated guidance for operations in response to a complex emergency.

Prior to integrated pol-mil planning, the interagency provided only general guidance to USG agencies involved in operations. This situation often resulted in U.S. agencies interpreting the overall mission and objectives differently. In addition, each agency developed and attempted to execute its own approach to an operation in relative isolation. For example, although military forces always have a detailed plan before deploying, the Department of Defense (DoD) often planned in isolation, without allowing other agencies any insight into military operations. As a result of this isolation, actions in the field lacked coordination, resource issues were not adequately addressed, and major elements of the mission were often misunderstood until well after the operation was underway.

While integrated pol-mil planning does not guarantee success in a complex crisis, it does increase the likelihood of success by ensuring that:

- U.S. agencies plan operations using the same purpose, mission and objectives
- All aspects of the operation are coordinated at the policy level
- Key issues and requirements are identified and addressed early on in the planning process
- Interagency planning process clearly assigns responsibility for distinct elements of an operation.
- Critical decisions about priorities and allocation of resources are made early on.

The Interagency Process

The interagency is not a formal structure, which resides in a specific location and has its own hierarchy and resources, but a community of agencies that depend on an established process for coordinating executive branch decision-making. Each major policy issue has different sets of actors and different sets of formal and informal guidelines that govern interagency activities.

The most senior interagency organization is the National Security Council (NSC) and it includes six statutory members: the President, Vice President, Secretary of State, Secretary of Defense, Secretary of the Treasury and the National Security Advisor. The Chairman of the Joint Chiefs of Staff and Director of Central Intelligence serve as advisors to the Council. In practice, each administration has chosen to include additional cabinet-level officials to participate in NSC deliberations in response to the President's expressed need for policy advice on national security affairs.

Under The National Security Act of 1947, the National Security Council administers the interagency process for national security matters. It emphasizes the need for integration of agency policy to improve overall effectiveness of national security decision-making:

The function of the Council shall be to advise the President with respect to the integration of domestic, foreign, and military policies relating to the national security so as to enable the military services and the other departments and agencies of the Government to cooperate more effectively in matters involving the national security.

Reporting to the Council are a number of subordinate committees. Although each administration adjusts these structures as it sees fit, the structure described below has been fairly consistent through a number of administrations and will likely be similar to any structure put in place in the future. In the Bush Administration, NSPD 1 sets the structure of the groups that report to the Council as follows:

- *Principals Committee* (cabinet-level representatives): The senior interagency forum for considering national security issues.
- *Deputies Committee* (deputy/under secretary-level): The senior sub-cabinet group tasked with monitoring the work of the interagency process and identifying unresolved policy issues for the Principals Committee. The Deputies Committee is also responsible, in conjunction with sub-groups it may establish, for crisis management.
- *Policy Coordination Committees (PCC)* (assistant/deputy assistant secretary level): The day-to-day forum for interagency coordination of national security policy. PCCs are divided into six regions and fifteen functions to provide policy analysis for other senior committees. The chairman of each PCC, with the agreement of the Executive Secretary, may establish subordinate working groups.

Functions of the Interagency Process

Regardless of how an administration may choose to structure its NSC, the role of the interagency community in the day-to-day management of national security issues remains fairly similar:

- Identify policy issues and questions
- Formulate options
- Raise issues to the appropriate level for decision within the NSC structure
- Make decisions where appropriate
- Oversee the implementation of policy decisions.

The process involves extensive coordination within and among the agencies of the executive branch. The benefit of the process is that it is thorough and inclusive--each organization brings its own practices and skills to the interagency process. The drawback is that it can also be slow and cumbersome--each agency also brings its own culture, philosophy and bureaucratic interests.

For the majority of policy issues, the benefits of involving all appropriate actors in the decision making process outweigh the inefficiencies. However, when the interagency community has to

manage the USG response to a crisis, the inefficiencies inherent in the normal workings of the interagency process can be crippling.

There are three characteristics of crisis management that distinguish it from the normal policy making process. First, the amount of time available for deliberation is comparatively short. Therefore, the interagency community must have well-established procedures for producing timely policy direction. Second, decisions concerning the response to a complex emergency must not only be coordinated in Washington, but also must be coordinated and implemented in an integrated manner in the field. Consequently, the Washington interagency community must not merely decide policy direction, but also carry out the initial planning for the implementation of those decisions. Third, complex emergencies often involve agencies within the USG that are not normally part of the national security policy-making structure. Any crisis procedures must not only include these agencies, but also ensure that their perspectives are adequately integrated into the overall USG response.

The planning process described below emerged from the experience of the past few years, but was developed and first implemented fully during the planning and execution of Restore Democracy in Haiti. Haiti provided an excellent test case for this type of integrated planning because: 1) most of the people involved in planning the intervention in Haiti had been involved in planning a previous complex foreign crisis and 2) there was enough time prior to executing the operation to develop new planning tools and apply lessons learned from past operations.

Interagency Planning During a Crisis

When a complex emergency arises, information about the potential crisis, specifically an assessment of the situation to include ongoing U.S. actions, is provided to the appropriate Policy Coordination Committee (PCC) generally by Assistant Secretary-level representatives of the appropriate agencies. Issues are then framed for discussion in the Deputies Committee. The Deputies Committee further refines the issues and prepares policy options for the Principals Committee. The Principals Committee then recommends appropriate action to the President.

Although in some cases individual agencies may undertake initial planning for a complex crisis, official interagency planning does not begin until the Deputies authorize it. After authorization, the Deputies Committee tasks the appropriate PCC to begin pol-mil planning.

The PCC oversees the integrated pol-mil planning and implementation procedures outlined in this handbook. The first task of the PCC is to begin developing the pol-mil plan. The pol-mil plan forces the interagency to discuss and agree on the critical elements of the operation, including the mission, objectives and desired endstate. The plan also articulates an overall concept of operations for U.S. participation. Pol-mil planning is not a substitute for the efforts of individual agencies. Rather, it is a mechanism for harmonizing agency plans and actions. It should be used whenever the resources of multiple U.S. agencies are called upon to support U.S. objectives in a complex crisis.

The assistant secretary-level members of the PCC serve as “program managers” and use the overall guidance in the pol-mil plan to develop mission area plans. The PCC then reviews these

specific plans prior to the interagency rehearsal. Comments and guidance from the review are incorporated into the full draft of the pol-mil plan.

The Deputies Committee at the interagency rehearsal then reviews the complete pol-mil plan, including all component mission area plans. The objective of the rehearsal is to synchronize the individual mission area plans. After the rehearsal, the assistant secretary-level program managers revise their mission area plans as necessary, and the PCC incorporates them into the final pol-mil plan.

As a result of this process, the President is provided with a coherent strategy for his final approval and the interagency community is able to transmit coordinated guidance to those tasked to conduct the operations.

After the PCC circulates the strategic-level guidance for the operation (as embodied by the final integrated pol-mil plan), the initial planning work of the Washington interagency community is completed and focus shifts to the operational and tactical levels. Once the operation begins, the PCC must monitor the operation's execution and continuously reassess the situation on the ground. The PCC can recommend modifications to the strategy and implement changes as they are approved. This is especially important during the transition between phases of the operation and in preparing for the hand-off to either a follow-on operation or the host nation. This monitoring function is critical whether the operation appears to be going well or not. When lives of U.S. citizens are at risk and significant U.S. interests are involved, the interagency must provide vigilant oversight.

The PCC is also responsible for conducting the after-action review, which analyzes the operation and distills lessons learned for future operations. This allows those planning for future operations to benefit from past USG experiences.

CHAPTER 3: COORDINATING MECHANISMS AND PLANNING TOOLS

The following discussion provides greater detail on each coordinating mechanism and planning tool, including others that have been successfully used in previous interagency planning efforts. These mechanisms and tools are to be used in developing an integrated pol-mil strategy for a successful response to a complex crisis.

Policy Coordination Committee (PCC)

Under the National Security System, the Deputies Committee is responsible for crisis management. In a complex emergency, the Deputies task the appropriate regional or functional PCC as the principle coordinating mechanism of interagency activities. It is tasked with day-to-day management of U.S. involvement in complex crises. As such, the PCC is responsible for promulgating unified policy guidance for the operation and subsequent policy development, planning, oversight, and execution. Members of the PCC are generally at the assistant secretary level and include representatives from all relevant U.S. agencies.

The appropriate PCC is the primary coordinating mechanism for interagency management of a complex crisis. Its purpose is to:

- Provide unified policy guidance for agency planners of the operation
- Develop a USG pol-mil plan for the operation
- Integrate mission area plans within the overall USG pol-mil plan
- Monitor the operation
- Revise policy guidance, as needed
- Update the pol-mil plan as necessary
- Implement Deputies and Principals policy decisions
- Oversee an after-action review at the conclusion of each operation
- Disseminate After Action Review and improvements in interagency planning.

The organizing principle of the PCC is to hold assistant secretary representatives personally accountable to the President for designated portions of an operation. Most of the members of the PCC not only represent their agencies, but also serve as “program managers” for specific mission areas within the USG pol-mil plan. In this role, individual PCC members are directly responsible for the development and coordination of their part of the overall plan. This approach has been very successful in clarifying agency responsibilities, getting agency preparations underway, ensuring broad interagency coordination, and resolving policy issues early on in the Deputies Committee.

Political-Military Implementation Plan

Introduction

The pol-mil plan is a planning tool that articulates the critical elements of U.S. operations in response to a crisis situation-mission, objectives, desired endstate, key milestones, and the concept of operations. In addition, the final section of the pol-mil plan contains mission area plans for each of the critical mission areas that comprise the operation. Developing the pol-mil plan is in many ways the centerpiece of the integrated planning process.

The pol-mil plan has the following purposes:

- Helps build interagency consensus on the key elements of the overall operation
- Assists in synchronizing individual agency efforts
- Enhances the transparency of planning among different agencies
- Helps ensure that all key issues are raised during planning.

The process of developing a pol-mil plan brings a new level of analytical rigor to interagency planning. Specifically, it ensures that the U.S. develops coordinated policy guidance for the operation; significantly improves USG policy implementation and oversight; provides the interagency with an effective management tool to examine priorities and resource trade-off in a more systematic manner; and improves the transparency of interagency planning.

Writing the Plan

When the Deputies authorize the interagency to begin planning for U.S. participation in a complex crisis, the PCC assembles the relevant participants and begins developing the initial sections of the pol-mil plan. The purpose of these meetings is to obtain interagency consensus on central elements of the plan. Although often laborious, the interagency discussion of key issues-national interests involved, mission statement, U.S. objectives and desired endstate-is crucial to ensuring that each agency understands and agrees with the overall policy that will guide U.S. operations. These opening sections must be completed before work can begin on the remainder of the pol-mil plan.

After the PCC agrees on the opening sections of the plan, agencies can begin their specific planning as directed by their PCC program manager. This initial planning will provide the input for the remainder of the pol-mil plan. As the plan takes shape and more details of the operation emerge, the PCC reviews the plan in its entirety and updates it where appropriate. This process continues until the PCC agrees on the final version of the pol-mil plan and the mission area plans that it will brief to the Deputies in the interagency rehearsal.

Elements of the Pol-Mil Plan

There are eleven main components of a pol-mil plan for complex crises. They are:

- Situation Assessment
- U.S. Interests
- Mission Statement
- Objectives
- Desired Pol-Mil End State
- Concept of Operations
- Lead Agency Responsibilities
- Transition/Exit Strategy
- Organizational Concept
- Preparatory Tasks
- Functional Element Plans.

While any pol-mil plan must include all of these elements, each plan will need to be adapted to specific operations. An outline of a generic pol-mil plan can be found in Appendix B of this handbook but the major elements of the plan are further described here.

Assessments

The principle purpose of the first section is to provide a brief assessment of the situation on the ground. This part of the plan discusses the context for the U.S. operation and the problems it is meant to address.

Mission Statement

The centerpiece of the pol-mil plan is the mission statement. This section, which should be no longer than a paragraph or two, describes the overall purpose, mission, objectives and key elements of the U.S. operation--the who, what, when and how. All parts of the plan and the operation will reflect this statement. The PCC must come to consensus on the mission statement before any other parts of the plan can be completed.

Objectives

Immediately after the mission statement, the pol-mil plan should list the key U.S. objectives for the operation. It is important that these objectives are both achievable and measurable--the achievement of all objectives should constitute accomplishment of the mission. It may also be helpful to include in this section a discussion of objectives that are *not* part of the operation.

Desired Endstate

The final part of the initial guidance lays out the desired endstate. The purpose of this section is to identify the conditions that should exist before an operation transitions to a follow-on operation or is handed over to an international organization, a regional organization, or the host

nation. Those developing the pol-mil plan often have difficulty adequately defining what the “end” of an operation is because many individual USG efforts will likely continue far beyond any handoff. The PCC will decide endstate on a case-by-case basis, though generally the endstate conditions should apply to a political situation that leads to stability in the affected area.

Concept of Operations

The concept of operations describes how the operation will unfold by phase. This section should include a discussion of the priorities and key milestones within each phase of the operation. To ensure accountability and clear lines of responsibility, the concept of operations should be followed by a section that describes the USG organization for the operation, both in Washington and in-theater.

Preparatory Tasks

This section highlights key issues that must be addressed prior to undertaking complex crises. Success in each of these tasks--for example, funding, Congressional relations and public affairs--is critical to the overall success of any operation. Depending on the specific operation, there may be additional tasks that should be examined in this section as well.

Functional Element Plans

The final section of the integrated pol-mil plan contains the specific functional element or mission area plans. These plans articulate how a given assistant secretary level program manager intends to accomplish his or her portion of the pol-mil plan. The structure of the functional element plan should be similar to the structure of the overall pol-mil plan and must, at a minimum, include an assessment of the situation and an articulation of the mission, objectives, endstate, and concept of operations. Examples of functional element plans include: diplomatic engagement; security and stability; civil law and order; internal political development; infrastructure restoration; economic development; and humanitarian assistance.

Interagency Rehearsal

The PCC briefs the completed draft of the pol-mil plan and its component functional element plans to the Deputies Committee during the interagency rehearsal. *The focus of the rehearsal is to identify problems and disconnects that could arise during execution.* By simultaneously reviewing all elements of the plan, differences over mission objectives, agency responsibilities, the timing of operations and resource allocation can be identified and resolved early. The interagency rehearsal also allows the Deputies to approve the overall mission and concept of operations and underscores the accountability of each agency representative in implementing his or her area of responsibility.

The interagency rehearsal is a decisive coordinating mechanism conducted near the end of the pol-mil planning process. During this process, the Deputies are charged to ensure that the pol-mil plan meets three important tests:

- *Effective*: Specific functional element plans should support the overall USG mission and achieve the pol-mil objectives according to planned milestones and timelines.
- *Integrated*: All agency efforts should be complementary and synchronized during each phase of the operation, according to an overall concept of operations.
- *Executable*: Agencies should meet all legal, resource, and financial requirements prior to the authorization for an operation.

If there is time, and the Deputies determine it necessary, two rehearsals may be held.

The interagency rehearsal will almost certainly result in the modification of specific functional element plans or even the overall pol-mil plan. The rehearsal is *part* of the integrated planning process, not the final presentation of a completed plan. Rehearsals are intended to help identify and resolve potential problems an operation could encounter before they become actual problems on the ground.

The rehearsal begins with an introduction and an update on the crisis by representatives of the intelligence community. The NSC staff then provides a brief summary of the approved mission, objectives, endstate, and overall concept of operations for the USG intervention. This information provides the context for the PCC “program managers” to make presentations. Each presentation on the specific mission area plan should address the following questions:

- What is the overall purpose of the functional element plan?
- What is the current situation in the area of operations?
- What are the key entry conditions and assumptions for the mission area plan?
- What are the functional element plan’s purpose, mission, and operational objectives?
- How does the mission contribute to the overall USG pol-mil plan?
- What is the functional element plan’s concept of operations for accomplishing the mission?
- What are the timelines/milestones to accomplish the mission?
- How does the concept synchronize with the overall USG concept of operations?
- What are the organizational structure and the chain of authority for operations?
- Who are the key players, from both the U.S. and others, and what are their roles?
- What mechanisms are planned to affect civil-military coordination?
- What difficulties, obstacles or resource shortfalls currently exist?
- What constitutes success on the ground?
- What are the unresolved issues pending decision?

An important tool for the interagency rehearsal is a synchronization matrix. Successful operations generally require synchronization of many individual efforts. Unfortunately, guidance for synchronizing operations is nearly impossible to provide early in the planning process and is generally the most difficult element to rehearse. A matrix should display the functional elements on one side and the phases of the operation, or time, on the other; it is filled

in as the functional element plans are briefed. The completed matrix is then used as a guide for improving the integrated concept of operation and the individual functional plans.

CHAPTER 4: ASSESSMENT TOOLS

This chapter describes the procedures the interagency community should use to assess its performance during the planning, execution and transition phases of a complex crisis. The goal of the assessment is to identify strengths and weaknesses in interagency procedures so that those tasked while overseeing the next operation can build on previous successes and learn from previous mistakes.

The interagency assessment process has four components:

- Collecting relevant information about what happened during the planning, execution, and transition phases of the operation
- Analyzing the information and determining useful lessons to be learned
- Distributing those lessons throughout the interagency community
- Integrating critical lessons into policies and procedures so they can help improve interagency operations during the next crisis.

The first two steps collecting and analyzing information are undertaken as part of the PCC-led after-action review. The insights gained through this process are codified in a statement of “lessons learned” from the specific operation. The PCC then distributes this document widely among those who took part in either the planning or the execution of the operation.

Although distilling lessons from past operations is an important process, it is an incomplete one. The real value of determining positives and negatives of a given operation comes from ensuring that those lessons are subsequently integrated into future policies and procedures, which will be used to plan, execute and monitor future operations. Therefore, this chapter will conclude with a detailed discussion of the lessons that the interagency community has derived from past experiences in the hope that they may influence future operations.

Interagency After-Action Review

After each crisis, the PCC will charter an after-action review (AAR). An AAR is a guided discussion of an operation that enables its participants to discover for themselves what went well, what did not, and why. Specifically, this forum provides:

- Agency officials’ observations of key events and analysis of these events’ impact
- Judgments on the quality of information and intelligence provided to the interagency concerning the situation on the ground
- Candid insights into specific organizational strengths and weaknesses from various perspectives
- Feedback and insights on the procedures used in both planning and execution
- Details beyond those available in normal reporting.

This information can be used to validate current procedures and After Action Review, modify them, or propose new ones.

The AAR should focus on specific policies and planning techniques to determine what went well, what went poorly, and how the performance of the interagency could be improved. However, the AAR does not grade success or failure; there are always weaknesses to improve and strengths to sustain. It is also important that the AAR not be used, or be seen as an instrument to lay credit or blame on individuals or agencies. The climate surrounding an AAR must be one in which everyone can openly and honestly discuss what actually happened in sufficient detail that participants understand what did and did not occur and why. This is the only way that the lessons of these operations can be learned effectively and future performance improved.

The AAR should be run by the chair of the PCC and should include all of the PCC members. The key to the AAR is that everyone feels free to speak his/her mind, regardless of position, agency, or experience; no one person can see as much as the entire group. It may also be useful to include a small number of government experts who did not participate in the operation, but who are familiar with past crisis operations. These “outside” experts can often help identify strengths and weaknesses precisely because of their distance from the operation.

The PCC will determine the structure of the specific AAR, but it should include the following key elements:

- Introduction (ground rules and expectations)
- Review of the pol-mil plan
- Events in theater
- Recount of U.S. actions/responses
- Review of U.S. actions/responses
- Conclusions
- Recommended changes to future implementation.

The results of the AAR should be combined with other relevant reports and briefed to the Deputies. It is important that the briefing not only discuss weaknesses in the planning and execution of the operation, but also the strengths. Upon approval of the brief, it should be distributed widely among those who were involved in the operation and should be made available to the broader interagency community.

Lessons

The AAR collects, analyzes, and distributes the lessons from the operation. However, the final step in the interagency assessment process is integrating appropriate lessons into the policies and procedures that will be used in the next operation. The AAR is only useful insofar as the lessons, both good and bad, of the past operation influence the planning and execution of the next one.

It is important to understand the distinction between a “lesson noted” and a “lesson learned.” The AAR identifies behaviors that should be repeated or modified. A lesson is not learned, however, until behavior changes. Obviously, one way to judge whether a behavior has changed is to observe the interagency in subsequent operations. However, it is preferable to disseminate

and integrate the lessons before the interagency community has to apply them in a real situation. This highlights the key role of interagency training, which familiarizes members of the interagency with the lessons of past operations and provides them with an opportunity to “learn” these lessons before they have to plan and oversee an actual operation where lives are at stake.

There is a set of agreed upon lessons derived from interagency experiences of the past few years and vetted within much of the USG. Not all of these lessons directly relate to established mechanisms and procedures, but they are all important to keep in mind as the interagency plans for a U.S. response to a complex emergency.

The rest of this chapter will discuss these lessons in detail (a quick reference list of the lessons can be found in Appendix C). The lessons are listed somewhat chronologically, beginning with factors to be considered when making the decision to intervene and ending with guidelines on transitioning leadership of an operation to another actor.

Deciding to Intervene

Although many factors contribute to the initial decision to conduct or participate in a complex foreign crisis, any decision to act must be based on the following considerations:

- Realistic assessment of the situation (with input from personnel on the ground)--its magnitude, causes, dynamics, status of ongoing operations and degree of danger
- Assessment of the U.S. interests at stake
- Assessment of response options and whether the costs and risks associated with different courses of action are commensurate with U.S. interests
- Participation/contributions of other governments and organizations
- Identification of clear objectives, endstate conditions, and exit strategy
- Acceptability of command, control, communication and intelligence arrangements
- Prospects for gaining adequate political and financial support for the operation, both in the U.S. and from the international community.

Each consideration will be given a different weight depending on the specific crisis; however, each should be considered during the deliberations that lead to a decision on whether and how the U.S. should become involved or increase its involvement in a particular crisis situation.

Crafting an Integrated Strategy

Because complex crises always involve more than just military considerations, any successful strategy for achieving U.S. objectives in these operations must integrate all dimensions of the operation including, but not limited to, political, military, and humanitarian activities. Without integrated strategic guidance from Washington, there is little hope that the individual agencies of the USG in theater will be able to successfully coordinate their efforts.

This lesson led directly to the development of the integrated planning tools that are described in the previous chapter and were used in planning for U.S. operations in Haiti. This is an example

of a lesson that clearly led to a change in behavior. Rather than a current weakness of the interagency, it reflects a strength on which to build.

Establishing Effective Integration Mechanisms

The tools and planning processes described in this handbook provide the mechanisms for integrating the efforts of disparate parts of the USG at the strategic level, but the Washington interagency community must also ensure that similar integration mechanisms are established at the operational and tactical levels. Further, there must be procedures to ensure effective communication between these levels.

It is important for interagency members to understand the invaluable roles that specialized civilian and military assets can play in complex crises. Coordinating mechanisms are needed at both the operational and the tactical level to ensure unity of effort. Success in complex crises demands that all civilian and military organizations establish central-coordinating mechanisms at all levels. Agencies need to establish these mechanisms before an operation to build effective civil-military relationships well ahead of an emergency.

Although this handbook is targeted only at developing appropriate strategic level mechanisms, lessons from past operations suggest that agency cooperation and policy integration must extend to lower levels, including field operations. While the full interagency structure need not be copied, it is crucial that integrating mechanisms exist at any level (operational, tactical) where key decisions are being made.

Determining Who Will Lead the Operation

One of the most difficult and important aspects of a complex foreign crisis is coordinating the overall effort. The best way to ensure sufficient coordination is to assign leadership of the operation to one nation, international organization or alliance that has the requisite capabilities. This is especially true for operations in which there are significant military or security tasks. Consequently, identifying a lead actor puts pressure on that actor to continually monitor and support the ongoing operation, or else risk being blamed for the operation's failure. In addition to identifying the lead actor in an operation, it is of equal importance to ensure that they have the requisite authority to take on their leadership role.

For an operation that involves the potential for combat, the United Nations will likely not be suitable to take the leadership role because it currently lacks the necessary military, financial, and organizational capabilities.

An important corollary to this lesson is that when the U.S. commits significant numbers of troops, especially combat troops, to an operation, the international community will look to the U.S. to lead the operation. Therefore, when we commit significant numbers of U.S. troops, we should be prepared to lead the operation, alone or as part of an established alliance, and be held accountable for the results. If our interests do not support such a leadership role, then we should reassess our contribution and consider other means of support to the operation.

Building a Cohesive and Effective Coalition

Critical to the success of a coalition operation is ensuring coordination among all the member nations. While tactical-level consultation will take place constantly, high-level consultation should take place before a nation is accepted into the coalition, during the planning phase, and during the operation at regular intervals or whenever the situation on the ground changes significantly.

Before including a nation in a coalition, the lead actor should assess the political will and military capability of the potential participant. If possible, when a prospective contributing nation does not possess the will or capability to effectively contribute to the objectives of the operation it should not be included in the coalition. In cases where such nations are included despite these factors, the commander of the operation should be careful to assign tasks to that contingent commensurate with their will and capabilities.

Once a nation has joined the coalition, it is critical to obtain its agreement on the key elements of the operation. Specifically, the lead actor must ensure that there is advance agreement on:

- Mandate, objectives, and concept of operations
- Command and control arrangements
- Civil-military contributions to the operation
- Rules of engagement
- Resource contributions of each participant.

Not only must all coalition members agree on the major elements of the operation, but there must also be regular consultations to ensure that, as the situation changes, the coalition remains united in its course of action. Without this agreement, the effectiveness of the operation will decline, and in some cases the independent action or inaction of a coalition member could undermine the overall effort.

Gaining Political Support for the Operation

Securing and sustaining the support of Congress and the American people is critical to the success of U.S. participation in any complex foreign crisis. Congressional and public affairs strategies are critical elements of any integrated strategy.

U.S. officials should consult with Congress on all aspects of the operation, preferably before it begins, and regularly once the operation is underway. Also, U.S. officials must clearly explain to the American public the U.S. interests at stake in a given operation, the objectives sought, our strategy for achieving them, and the risks and costs associated with U.S. involvement. This must be done not only at the outset of an operation, but also whenever significant changes on the ground or in the strategy occur.

This is not to imply that the executive agencies cannot act without the prior approval of the Congress or the American people. However, in the end, for any operation in which the U.S. sends its troops into harm's way or expends significant U.S. resources, the American populace

and their elected representatives need to understand why the U.S. is participating in the operation and what we expect to accomplish.

Continually Reassessing the Operation

Once the operation is underway, the interagency must continually reassess the operation to ensure that mission execution remains consistent with our overall objectives and strategy. There is a tendency within the Washington interagency community to focus solely on the “crisis of the moment.” Consequently, an operation that receives intense scrutiny in the planning phase and in the opening days of execution may receive only minimal oversight as soon as it appears to be proceeding smoothly. *This is not acceptable.*

Whenever U.S. troops are put in harm's way, the USG must ensure that policy issues are surfaced and resolved in a timely manner and that the operation receives sustained, high-level oversight. This requires that operations on the ground be transparent to key policy makers, and that when conditions on the ground change significantly, the interagency fully assesses the impact of such changes on its overall objectives, strategy and means for implementing the strategy. In addition, if there are shifts in the strategic-level guidance for the operation, these changes must be communicated as clear decisions to those in the field through the appropriate chains of command. At the same time, the interagency must be aware of the limits of its oversight and avoid micromanaging the operation. Too much oversight can be as detrimental as indifference.

Active monitoring of the operation is in many ways the hardest task for the Washington interagency community, given the competing demands placed on most of the high-level participants involved in overseeing the operation. However, active monitoring is critical to ensuring that the operation proceeds smoothly and that the inevitable changes in the operation receive appropriate attention.

Executing a Smooth and Seamless Transition

An operation is not complete until it has successfully transitioned its tasks to the host nation or a follow-on operation. Planning for the transition must be done simultaneously with planning for the overall operation.

When the initial operation is complete, the USG must focus on ensuring that any follow-on operation will be able to adequately fulfill the objectives of the mission. Recruiting for the subsequent operation should begin as soon as possible, even while recruiting for the initial operation. At the very least, the key leadership staff for the follow-on operation need to be identified early and should begin training as soon as possible. After training, this staff should work closely with the staff of the ongoing operation prior to the official handoff.

There are special requirements for a transition to a United Nations operation. A smooth transition from a coalition operation to a UN operation requires:

- Carefully worded United Nations Security Council resolution language governing the transition

- Early selection of the Special Representative of the Secretary General and UN Force Commander
- Commitment of significant time, effort and resources to help the UN plan for the follow-on operation.

If the U.S. is contributing to a follow-on operation, then our contribution must be carefully tailored to ensure that we provide only what cannot be provided by other nations or contractors. The danger in staying on to contribute to the successor operation is that the U.S. may continue to be seen as the leader of the operation and be held accountable for its results.

CHAPTER 5: CONCLUSION

This handbook described a framework for how the interagency should plan, monitor, and assess U.S. participation in complex crises. These procedures will help ensure that the interagency community is able to provide timely, integrated strategic guidance to those who are executing the operation on the ground. Without clear guidance from Washington, the job of those in the field is much more difficult, if not impossible.

This integrated planning process provides the interagency with a set of tools that can be used to overcome many of the difficulties that plague the Washington interagency process and surface in times of crisis. These procedures were developed in response to lessons from past operations and have, to a large extent, already been tested in some of the most recent U.S. operations. Succinctly put, the chances that the U.S. response to a complex emergency will be successful are greatly increased if Washington can provide integrated guidance to the field. This guidance:

- Clearly states our purpose, mission, objectives, endstate and concept of operations
- Integrates the planning and operations of all involved USG agencies
- Clarifies agency roles and responsibilities for each mission area
- Assigns accountability for specific functional element plans
- Raises key issues early on in planning an operation
- Captures After Action Review to aid planning for future operations.

Although the pol-mil planning process has proven its worth in actual operations, it is not yet a universally accepted procedure. The knowledge of the process and the tools described above rests largely with those few who have used them in planning recent U.S. operations or those who have been exposed to them through interagency training simulation. The purpose of interagency training and this handbook is to assist in institutionalizing these successful procedures and policies.

Interagency Training

The final part of institutionalizing this integrated planning process is the training program. The training program familiarizes key members of the interagency, at the Deputy Assistant Secretary (DAS) - and Office Director-levels, with the AAR from previous operations and the most essential planning tools and procedures in the pol-mil planning process. It also gives them an opportunity to actually exercise these tools while planning and monitoring a simulated operation. The first of these training programs was very successful; those who participated gained: 1) a better collective understanding of interagency tasks, responsibilities and challenges and 2) experience with the planning tools used in crafting integrated policy guidance for a complex crisis operation. The National Defense University, in partnership with the Foreign Service Institute, is currently conducting this training initiative.

Institutionalizing these processes is key to ensuring the effective performance of the interagency community in complex crises. Yet it is important that the processes discussed above not be written in stone just as they were derived from the lessons of actual operations, so should future

procedures be guided by future operations. This is why the interagency after-action review is a critical part of the process described. Obviously, the AAR does not influence the planning or monitoring of the operation it reviews, however, it can significantly improve interagency performance in a subsequent operation. Without constant feedback and updating, the pol-mil planning process described in this book will soon be outdated and will no longer provide for the effective interagency management of these operations. Each time the U.S. plays a significant role in a complex crisis, this handbook will need to be updated to include the experiences of those that planned and participated in the operation. New lessons must be incorporated into our thinking and disseminated widely. New tools may be used and, if effective, they too should have their place in an updated handbook.

The last few years have seen the U.S. engaged in a large number of significant complex crises. Not only has the number of deployments increased, but the complexity of the issues that these operations attempt to tackle is increasing as well. The decision to participate in any of these emergencies will always be a difficult one, as it should be—the decision to commit the resources and citizens of the U.S. to an operation is among the most difficult and important decisions the President has to make. Having the mechanisms and tools that make the interagency more effective in planning and monitoring these operations will not make the decision to intervene any easier. They will increase the likelihood that any participation will achieve its objectives and further the interests of the U.S..

**APPENDIX A: NATIONAL SECURITY PRESIDENTIAL
DIRECTIVE (NSPD 1): ORGANIZATION OF THE
NATIONAL SECURITY COUNCIL SYSTEM**

**The White House
Washington, DC**

February 13, 2001

MEMORANDUM FOR

THE VICE PRESIDENT
THE SECRETARY OF STATE
THE SECRETARY OF THE TREASURY
THE SECRETARY OF DEFENSE
THE ATTORNEY GENERAL
THE SECRETARY OF AGRICULTURE
THE SECRETARY OF COMMERCE
THE SECRETARY OF HEALTH AND HUMAN SERVICES
THE SECRETARY OF TRANSPORTATION
THE SECRETARY OF ENERGY
ADMINISTRATOR, ENVIRONMENTAL PROTECTION AGENCY
DIRECTOR OF THE OFFICE OF MANAGEMENT AND BUDGET
U.S. TRADE REPRESENTATIVE
CHAIRMAN, COUNCIL OF ECONOMIC ADVISERS
DIRECTOR, NATIONAL DRUG CONTROL POLICY
CHIEF OF STAFF TO THE PRESIDENT
DIRECTOR OF CENTRAL INTELLIGENCE
DIRECTOR, FEDERAL EMERGENCY MANAGEMENT AGENCY
ASSISTANT TO THE PRESIDENT FOR NATIONAL
SECURITY AFFAIRS
ASSISTANT TO THE PRESIDENT FOR ECONOMIC POLICY
COUNSEL TO THE PRESIDENT
CHIEF OF STAFF AND ASSISTANT TO THE VICE PRESIDENT
FOR NATIONAL SECURITY AFFAIRS
DIRECTOR, OFFICE OF SCIENCE AND TECHNOLOGY POLICY
CHAIRMAN, BOARD OF GOVERNORS OF THE FEDERAL
RESERVE
CHAIRMAN, COUNCIL ON ENVIRONMENTAL QUALITY
CHAIRMAN, EXPORT-IMPORT BANK
CHAIRMAN OF THE JOINT CHIEFS OF STAFF
COMMANDANT, U.S. COAST GUARD
ADMINISTRATOR, NATIONAL AERONAUTICS AND SPACE
ADMINISTRATION
CHAIRMAN, NUCLEAR REGULATORY COMMISSION
DIRECTOR, PEACE CORPS
DIRECTOR, FEDERAL BUREAU OF INVESTIGATION

DIRECTOR, NATIONAL SECURITY AGENCY
DIRECTOR, DEFENSE INTELLIGENCE AGENCY
PRESIDENT, OVERSEAS PRIVATE INVESTMENT
CORPORATION
CHAIRMAN, FEDERAL COMMUNICATIONS COMMISSION
COMMISSIONER, U.S. CUSTOMS SERVICE
ADMINISTRATOR, DRUG ENFORCEMENT ADMINISTRATION
PRESIDENT'S FOREIGN INTELLIGENCE ADVISORY BOARD
ARCHIVIST OF THE U.S.
DIRECTOR, INFORMATION SECURITY OVERSIGHT OFFICE

SUBJECT: Organization of the National Security Council System

This document is the first in a series of National Security Presidential Directives. National Security Presidential Directives shall replace both Presidential Decision Directives and Presidential Review Directives as an instrument for communicating presidential decisions about the national security policies of the U.S..

National security includes the defense of the U.S. of America, protection of our constitutional system of government, and the advancement of U.S. interests around the globe. National security also depends on America's opportunity to prosper in the world economy. The National Security Act of 1947, as amended, established the National Security Council to advise the President with respect to the integration of domestic, foreign, and military policies relating to national security. That remains its purpose. The NSC shall advise and assist me in integrating all aspects of national security policy as it affects the U.S. - domestic, foreign, military, intelligence, and economics (in conjunction with the National Economic Council (NEC)). The National Security Council system is a process to coordinate executive departments and agencies in the effective development and implementation of those national security policies.

The National Security Council (NSC) shall have as its regular attendees (both statutory and non-statutory) the President, the Vice President, the Secretary of State, the Secretary of the Treasury, the Secretary of Defense, and the Assistant to the President for National Security Affairs. The Director of Central Intelligence and the Chairman of the Joint Chiefs of Staff, as statutory advisors to the NSC, shall also attend NSC meetings. The Chief of Staff to the President and the Assistant to the President for Economic Policy are invited to attend any NSC meeting. The Counsel to the President shall be consulted regarding the agenda of NSC meetings, and shall attend any meeting when, in consultation with the Assistant to the President for National Security Affairs, he deems it appropriate. The Attorney General and the Director of the Office of Management and Budget shall be invited to attend meetings pertaining to their responsibilities. For the Attorney General, this includes both those matters within the Justice Department's jurisdiction and those matters implicating the Attorney General's responsibility under 28 U.S.C. 511 to give his advice and opinion on questions of law when required by the President. The heads of other executive departments and agencies, as well as other senior officials, shall be invited to attend meetings of the NSC when appropriate.

The NSC shall meet at my direction. When I am absent from a meeting of the NSC, at my direction the Vice President may preside. The Assistant to the President for National Security

Affairs shall be responsible, at my direction and in consultation with the other regular attendees of the NSC, for determining the agenda, ensuring that necessary papers are prepared, and recording NSC actions and Presidential decisions. When international economic issues are on the agenda of the NSC, the Assistant to the President for National Security Affairs and the Assistant to the President for Economic Policy shall perform these tasks in concert.

The NSC Principals Committee (NSC/PC) will continue to be the senior interagency forum for consideration of policy issues affecting national security, as it has since 1989. The NSC/PC shall have as its regular attendees the Secretary of State, the Secretary of the Treasury, the Secretary of Defense, the Chief of Staff to the President, and the Assistant to the President for National Security Affairs (who shall serve as chair). The Director of Central Intelligence and the Chairman of the Joint Chiefs of Staff shall attend where issues pertaining to their responsibilities and expertise are to be discussed. The Attorney General and the Director of the Office of Management and Budget shall be invited to attend meetings pertaining to their responsibilities. For the Attorney General, this includes both those matters within the Justice Department's jurisdiction and those matters implicating the Attorney General's responsibility under 28 U.S.C. 511 to give his advice and opinion on questions of law when required by the President. The Counsel to the President shall be consulted regarding the agenda of NSC/PC meetings, and shall attend any meeting when, in consultation with the Assistant to the President for National Security Affairs, he deems it appropriate. When international economic issues are on the agenda of the NSC/PC, the Committee's regular attendees will include the Secretary of Commerce, the U.S. Trade Representative, the Assistant to the President for Economic Policy (who shall serve as chair for agenda items that principally pertain to international economics), and, when the issues pertain to her responsibilities, the Secretary of Agriculture. The Chief of Staff and National Security Adviser to the Vice President shall attend all meetings of the NSC/PC, as shall the Assistant to the President and Deputy National Security Advisor (who shall serve as Executive Secretary of the NSC/PC). Other heads of departments and agencies, along with additional senior officials, shall be invited where appropriate.

The NSC/PC shall meet at the call of the Assistant to the President for National Security Affairs, in consultation with the regular attendees of the NSC/PC. The Assistant to the President for National Security Affairs shall determine the agenda in consultation with the foregoing, and ensure that necessary papers are prepared. When international economic issues are on the agenda of the NSC/PC, the Assistant to the President for National Security Affairs and the Assistant to the President for Economic Policy shall perform these tasks in concert.

The NSC Deputies Committee (NSC/DC) will also continue to serve as the senior sub-Cabinet interagency forum for consideration of policy issues affecting national security. The NSC/DC can prescribe and review the work of the NSC interagency groups discussed later in this directive. The NSC/DC shall also help ensure that issues being brought before the NSC/PC or the NSC have been properly analyzed and prepared for decision. The NSC/DC shall have as its regular members the Deputy Secretary of State or Under Secretary of the Treasury or Under Secretary of the Treasury for International Affairs, the Deputy Secretary of Defense or Under Secretary of Defense for Policy, the Deputy Attorney General, the Deputy Director of the Office of Management and Budget, the Deputy Director of Central Intelligence, the Vice Chairman of the Joint Chiefs of Staff, the Deputy Chief of Staff to the President for Policy, the Chief of Staff

and National Security Adviser to the Vice President, the Deputy Assistant to the President for International Economic Affairs, and the Assistant to the President and Deputy National Security Advisor (who shall serve as chair). When international economic issues are on the agenda, the NSC/DC's regular membership will include the Deputy Secretary of Commerce, a Deputy U.S. Trade Representative, and, when the issues pertain to his responsibilities, the Deputy Secretary of Agriculture, and the NSC/DC shall be chaired by the Deputy Assistant to the President for International Economic Affairs for agenda items that principally pertain to international economics. Other senior officials shall be invited where appropriate.

The NSC/DC shall meet at the call of its chair, in consultation with the other regular members of the NSC/DC. Any regular member of the NSC/DC may also request a meeting of the Committee for prompt crisis management. For all meetings the chair shall determine the agenda in consultation with the foregoing, and ensure that necessary papers are prepared.

The Vice President and I may attend any and all meetings of any entity established by or under this directive.

Management of the development and implementation of national security policies by multiple agencies of the U.S. Government shall usually be accomplished by the NSC Policy Coordination Committees (NSC/PCCs). The NSC/PCCs shall be the main day-to-day for an interagency coordination of national security policy. They shall provide policy analysis for consideration by the more senior committees of the NSC system and ensure timely responses to decisions made by the President. Each NSC/PCC shall include representatives from the executive departments, offices, and agencies represented in the NSC/DC.

Six NSC/PCCs are hereby established for the following regions: Europe and Eurasia, Western Hemisphere, East Asia, South Asia, Near East and North Africa, and Africa. Each of the NSC/PCCs shall be chaired by an official of Under Secretary or Assistant Secretary rank to be designated by the Secretary of State.

Eleven NSC/PCCs are hereby also established for the following functional topics, each to be chaired by a person of Under Secretary or Assistant Secretary rank designated by the indicated authority:

Democracy, Human Rights, and International Operations (by the Assistant to the President for National Security Affairs);

International Development and Humanitarian Assistance (by the Secretary of State);

Global Environment (by the Assistant to the President for National Security Affairs and the Assistant to the President for Economic Policy in concert);

International Finance (by the Secretary of the Treasury);

Transnational Economic Issues (by the Assistant to the President for Economic Policy);

Counter-Terrorism and National Preparedness (by the Assistant to the President for National Security Affairs);

Defense Strategy, Force Structure, and Planning (by the Secretary of Defense);

Arms Control (by the Assistant to the President for National Security Affairs);

Proliferation, Counterproliferation, and Homeland Defense (by the Assistant to the President for National Security Affairs);

Intelligence and Counterintelligence (by the Assistant to the President for National Security Affairs); and

Records Access and Information Security (by the Assistant to the President for National Security Affairs).

The Trade Policy Review Group (TPRG) will continue to function as an interagency coordinator of trade policy. Issues considered within the TPRG, as with the PCCs, will flow through the NSC and/or NEC process, as appropriate.

Each NSC/PCC shall also have an Executive Secretary from the staff of the NSC, to be designated by the Assistant to the President for National Security Affairs. The Executive Secretary shall assist the Chairman in scheduling the meetings of the NSC/PCC, determining the agenda, recording the actions taken and tasks assigned, and ensuring timely responses to the central policymaking committees of the NSC system. The Chairman of each NSC/PCC, in consultation with the Executive Secretary, may invite representatives of other executive departments and agencies to attend meetings of the NSC/PCC where appropriate.

The Assistant to the President for National Security Affairs, at my direction and in consultation with the Vice President and the Secretaries of State, Treasury, and Defense, may establish additional NSC/PCCs as appropriate.

The Chairman of each NSC/PCC, with the agreement of the Executive Secretary, may establish subordinate working groups to assist the PCC in the performance of its duties.

The existing system of Interagency Working Groups is abolished.

- The oversight of ongoing operations assigned in PDD/NSC-56 to Executive Committees of the Deputies Committee will be performed by the appropriate regional NSC/PCCs, which may create subordinate working groups to provide coordination for ongoing operations.

- The Counter-Terrorism Security Group, Critical Infrastructure Coordination Group, Weapons of Mass Destruction Preparedness, Consequences Management and Protection Group, and the interagency working group on Enduring Constitutional Government are reconstituted as various forms of the NSC/PCC on Counter-Terrorism and National Preparedness.
- The duties assigned in [PDD/NSC-75](#) to the National Counterintelligence Policy Group will be performed in the NSC/PCC on Intelligence and Counterintelligence, meeting with appropriate attendees.
- The duties assigned to the Security Policy Board and other entities established in [PDD/NSC-29](#) will be transferred to various NSC/PCCs, depending on the particular security problem being addressed.
- The duties assigned in [PDD/NSC-41](#) to the Standing Committee on Nonproliferation will be transferred to the PCC on Proliferation, Counterproliferation, and Homeland Defense.
- The duties assigned in [PDD/NSC-35](#) to the Interagency Working Group for Intelligence Priorities will be transferred to the PCC on Intelligence and Counterintelligence.
- The duties of the Human Rights Treaties Interagency Working Group established in [E.O. 13107](#) are transferred to the PCC on Democracy, Human Rights, and International Operations.
- The Nazi War Criminal Records Interagency Working Group established in [E.O. 13110](#) shall be reconstituted, under the terms of that order and until its work ends in January 2002, as a Working Group of the NSC/PCC for Records Access and Information Security.

Except for those established by statute, other existing NSC interagency groups, ad hoc bodies, and executive committees are also abolished as of March 1, 2001, unless they are specifically reestablished as subordinate working groups within the new NSC system as of that date. Cabinet officers, the heads of other executive agencies, and the directors of offices within the Executive Office of the President shall advise the Assistant to the President for National Security Affairs of those specific NSC interagency groups chaired by their respective departments or agencies that are either mandated by statute or are otherwise of sufficient importance and vitality as to warrant being reestablished. In each case the Cabinet officer, agency head, or office director should describe the scope of the activities proposed for or now carried out by the interagency group, the relevant statutory mandate if any, and the particular NSC/PCC that should coordinate this work. The Trade Promotion Coordinating Committee established in E.O. 12870 shall continue its work, however, in the manner specified in that order. As to those committees expressly established in the National Security Act, the NSC/PC and/or NSC/DC shall serve as those committees and perform the functions assigned to those committees by the Act.

To further clarify responsibilities and effective accountability within the NSC system, those positions relating to foreign policy that are designated as special presidential emissaries, special envoys for the President, senior advisors to the President and the Secretary of State, and special advisors to the President and the Secretary of State are also abolished as of March 1, 2001, unless they are specifically redesignated or reestablished by the Secretary of State as positions in that Department.

This Directive shall supersede all other existing presidential guidance on the organization of the National Security Council system. With regard to application of this document to economic matters, this document shall be interpreted in concert with any Executive Order governing the National Economic Council and with presidential decision documents signed hereafter that implement either this directive or that Executive Order.

[signed: George W. Bush]

cc: The Executive Clerk

**APPENDIX B: GENERIC POLITICAL-MILITARY
IMPLEMENTATION PLAN**

GENERIC POLITICAL-MILITARY PLAN FOR A MULTILATERAL COMPLEX CONTINGENCY OPERATION

18 July 2002

NOTE TO THE READER: *This generic political-military plan is an educational aid for government officials, including both military and civilian, to better coordinate and plan for a complex contingency operation. The first generic pol-mil plan was developed in 1995 to facilitate interagency training activities. Since that time this generic pol-mil plan has been updated periodically to capture lessons learned from recently conducted missions. Accordingly, the reader should view this generic plan as a “living document” because it integrates recent “best practices” under the Advance Planning Process, the methodology used within the interagency to complete policy planning tasks at the strategic level in anticipation of a complex emergency. This document should be viewed as a representative plan since an actual pol-mil plan often varies somewhat due to specific policy planning requirements for a particular operation. Nonetheless, the format and content of this generic plan are very similar to those produced by the interagency since 1996. Those efforts produced pol-mil plans in about 3-5 weeks time in anticipation of a regional crisis. These planning efforts were initiated normally by the Deputies Committee, although a few originated at the call of the NSC, a department Under Secretary, a U.S. Ambassador or a regional Combatant Commander. Please note that this generic plan does not in any way determine U.S. policy for any particular crisis that may occur in the future.*

GENERIC POL-MIL PLAN MULTILATERAL COMPLEX CONTINGENCY OPERATION

JULY 18, 2002

EXECUTIVE OVERVIEW

Purpose

Summarize the purpose of the pol-mil plan. Describe the crisis and its associated threat to regional peace and security. Forecast what adverse developments loom on the horizon if the situation grows worse.

Geo-Strategic Situation

Explain why the crisis is important for policy makers to be concerned about-highlight the geo-strategic affects of the emergency, with emphasis on how it will likely affect the U.S. at home and abroad. Emphasize the important geo-strategic realities posed by this crisis.

Crisis Planning Scenario

Describe briefly the crisis planning scenario as outlined in Section 1.0 of this plan. Briefly forecast what events are likely to occur as well as the potential scope of instability that could arise as the crisis unfolds.

Key Actor(s) / Adversary(s)

Name the key actor or adversary in this crisis and highlight his likely intentions, aims and commitment in the emergency. Convey a sense of who this actor is and what he seeks in this crisis at the end of the day.

Policy Planning Guidance

Summarize the Principals/Deputies Committee's policy planning guidance as presented in Section 2.0 of this plan. Emphasize what Principals/Deputies view as critical in managing down this crisis.

U.S. Strategic Purpose

Present the broad U.S. purpose in responding to this crisis, as stated in Section 4.0 of this plan.

Mission Statement

Present the mission statement for the complex contingency operation as spelled out in Section 4.0 of this plan.

Desired Pol-Mil Endstate

Present the desired political-military endstate for the mission as spelled out in Section 4.0 of this plan.

U.S. Political-Military Strategy

Summarize the U.S. strategy to manage down this crisis on our terms as presented in its entirety in Section 5.0 of this plan. Highlight the central thrust of the U.S. approach as well as the major components of the strategy to achieve our aims and summarize the *core strategy* that strengthens the current U.S. position to act on our terms in this crisis; the *crisis prevention strategy* that seeks to avert the crisis; the *coercive strategy* that outlines both military and non-military coercive measures to be taken in harmony against key actors and adversaries; the *escalation control strategy* that seeks to contain the spread and escalation of hostilities; and last, *hedging strategies* for major geo-strategic discontinuities that would require a full reassessment of the Administration's approach to managing down this crisis.

Mission Organization

Briefly describe the coalition that will be formed to carry out this strategy and list the likely participating nations and organizations that will form the core of the coalition's capabilities. Briefly explain how the coalition will be led and supported.

Concept of Implementation

Summarize the concept of implementation as presented in Section 6.0 of this plan

Major Mission Areas

List the Mission Areas as presented in Section 8.0 that require intense interagency planning and coordination at all levels-political, strategic, operational and tactical. These Mission Areas include a range of critical efforts involving diplomatic, political, military, anti-terrorism, law enforcement, economic, public diplomacy, emergency response, and security efforts, among others. Emphasize that agency officials are accountable for integrated implementation of lead agency assignments for each Mission Area.

Interagency Management

Describe briefly the special interagency coordinating mechanisms, such as an Executive Committee, or "ExComm," that will be responsible for interagency management of policy development, coordination, planning and assessment throughout this crisis. The ExComm normally supports the Deputies Committee in its day-to-day management of crisis response. Agency responsibilities for effective participation in interagency management of this crisis are spelled out in Section 9.0.

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**APPENDIX C: LESSONS TO BE LEARNED FOR
INTERAGENCY MANAGEMENT OF COMPLEX
FOREIGN CRISIS**

LESSONS FOR THE INTERAGENCY FROM PAST COMPLEX CONTINGENCY OPERATIONS

Summary:

- Deciding to intervene
- Crafting an integrated strategy
- Establishing effective integration mechanisms
- Determining who will lead the operation
- Building a cohesive and effective coalition
- Gaining political support for the operation
- Continually reassessing the operation
- Executing a smooth and seamless transition

Lessons in Detail

1. Deciding to intervene. Any decision to conduct or participate in a complex contingency operation should be based on the following factors:

- A realistic assessment of the situation
- An assessment of U. S. interests at stake
- An assessment of options and an evaluation of the costs/risks compared to U.S. interests
- Likely participation/contributions of other governments and organizations
- Identification of clear objectives, an exit criteria and strategy for the U.S.
- Acceptability of command, control, communication and intelligence arrangements
- Prospects for gaining adequate political and financial support for the operation.

2. Crafting an integrated strategy. Complex contingency operations involve far more than simply military operations. Any strategy for achieving U.S. objectives must integrate political, military, humanitarian and other dimensions.

3. Establishing effective integration mechanisms. The interagency must ensure that mechanisms for integration exist at all levels -strategic, operational and tactical -- and that these mechanisms coordinate with one another.

- At the strategic level (Washington), the interagency will establish an EXCOM.
- At the operational level (regional combatant command), the CINC should establish an interagency cell to provide advice and assistance.
- At the tactical level (host nation), the Ambassador should augment the Country Team with interagency representatives as appropriate. In the absence of U.S. diplomatic representation in country, the CJTF Commander should establish an interagency cell to provide advice and assistance.

- 4. Determining who will lead the operation.** For the foreseeable future, the UN is not capable of undertaking complex contingency operations that involve the potential for combat without a strong member or alliance taking the lead.
 - When the U.S. commits significant numbers of troops to such an operation, it must be prepared to play more than a supporting role and to be held accountable for the results.
 - If U.S. interests do not support such a leadership role, then forms of participation other than committing large numbers of troops should be considered.

- 5. Building a cohesive and effective coalition.** When forming a coalition, the lead nation or organization should:
 - Assess the political will and military capability of possible participants
 - Obtain advance agreement from coalition on:
 - mandate, objectives and strategy
 - command and control arrangements
 - rules of engagement
 - resource contributions of each participant
 - Establish mechanisms for regular consultation and coordination among coalition partners, both on the ground and at higher political levels.

- 6. Gaining political support for the operation.** Winning and sustaining the support of Congress and the American people is critical to success. Congressional and public affairs strategies are, therefore, critical elements of any integrated strategy. This must be done not only at the outset of an operation, but also whenever significant changes on the ground or in the pol-mil plan occur.

- 7. Continually reassessing the operation.** Once the operation is underway, the interagency must continually reassess the operation to ensure that mission execution remains consistent with our overall objectives and strategy.
 - Operations on the ground must be transparent to key policy-makers.
 - When conditions on the ground change significantly, the interagency must fully assess the impact of such change on its overall objectives, its strategy and the means needed to carry it out.
 - Shifts in policy guidance must be communicated as clear decisions and coordinated with coalition partners; communication up and down the chain of command must remain unbroken.
 - Whenever U.S. troops are put in harm's way, the USG must ensure that policy issues are surfaced and resolved in a timely manner and that the operation receives sustained policy oversight.

8. Executing a smooth and seamless transition. A smooth, seamless transition from a coalition operation to a UN operation requires:

- Carefully worded UNSCR transition language
- Early selection of the SRSG and force commander
- Early deployment of an advance team or core headquarters staff
- Commitment of significant time, effort and resources to help the UN plan/prepare for the follow on operation
- Beginning to recruit for the UN operation while recruiting for the coalition operation
- Realistic evaluation of both the political will and the capabilities of potential contributors
- Tailoring the U. S. contribution to the UN operation.

**APPENDIX D: QUICK REFERENCE LIST OF KEY
AGENCIES INVOLVED IN COMPLEX FOREIGN CRISIS**

AGENCIES

By definition, complex crisis operations involve a number of USG departments and agencies. Past experience demonstrates that the following offices are usually involved:

- Agency for International Development
 - Bureau for Humanitarian Response
- Department of Defense
 - Office of the Secretary of Defense*
 - International Security Affairs
 - Special Operations and Humanitarian Affairs
 - Stability Operations
 - Strategy
 - Joint Staff*
 - Strategic Plans and Policy and Plans, J-5
 - Operational Plans and Interoperability, J-7
 - Other*
 - National Defense University
 - U.S. Army Peacekeeping Institute
- Department of Justice
 - International Criminal Investigative Training Assistance Program
- Department of State
 - Regional Bureaus
 - International Organization Affairs
 - Political-Military Affairs
 - International Narcotics and Law Enforcement
 - Population, Refugee, and Migration
 - Democracy, Human Rights, and Labor
 - Economic and Business Affairs
 - USUN-New York and Washington Office
 - Foreign Service Institute
- Department of Transportation
 - U.S. Coast Guard
- Department of Treasury
 - Office of International Affairs
 - Office of Emergency Preparedness
- Director of Central Intelligence
 - National Intelligence Council/Global Issues
 - DI/Office of Transnational Issues
 - DO
- NSC Global Issues and Multilateral Affairs

- Office of Management and Budget
National Security and International
Affairs
- U.S. Information Agency

The agency descriptions in this appendix provide cursory background information on the departments and agencies that are likely to contribute to a complex crisis operation. While the descriptions do not give detailed information on all the operations of an agency or department, they highlight some of the unique skills and abilities of various USG offices.*

*The following agency descriptions are taken in large part from *Interagency Coordination During Joint Operations* (Joint Pub 308).

CENTRAL INTELLIGENCE AGENCY (CIA)

The CIA is responsible for collecting, analyzing, and disseminating intelligence on issues of national security. It also conducts counterintelligence activities abroad and works with the FBI on domestic counterintelligence efforts. It has no police, subpoena, law enforcement powers, or domestic security functions. Director of Central Intelligence (DCI) is both the head of the Intelligence Community and the Director of the CIA. The DCI is also the principal intelligence advisor to the President and the NSC.

The CIA is organized into four major Directorates:

- Deputy Director for Intelligence (DDI) manages the evaluation, analysis, production, and dissemination of intelligence on key foreign problems.
- Deputy Director for Operations (DDO) has primary responsibility for the clandestine collection of foreign intelligence.
- Deputy Director for Science and Technology (DDS&T) collects and processes information gathered by technical collection systems and develops advanced equipment to improve collection and processing.
- Deputy Director for Administration (DDA) provides comprehensive support to the other directorates.

The CIA's reconnaissance and intelligence assessment capabilities provide real-time information for interagency action. The CIA is regularly involved with other agencies of the U.S. Government:

- The DCI serves as the Chairman of the NSC's Senior Interagency Group when it meets to consider issues requiring interagency attention, deals with inter-departmental matters, and monitors the execution of approved intelligence policies and decisions.
- The National Intelligence Council (NIC) concentrates on the substantive problems of particular regions of the world and particular functional areas, such as - economics and weapons proliferation, and produces national intelligence estimates.
- To support joint military operations, the DCI may provide a National Intelligence Support Team (NIST), staffed by the CIA, DIA, and NSA, to augment the intelligence capabilities of combatant commands and joint task forces.

DEPARTMENT OF AGRICULTURE (USDA)

The following USDA Agencies provide key Departmental services and capabilities:

- Cooperative State Research, Education, and Extension Service (CSREES) provides, through the Land-Grant University system, wide-ranging educational capabilities to support enhanced decision making across the agricultural sector. The network of State specialist and County Extensions Agents, with access to every county and the territories, provides grass-roots involvement and action.
- Natural Resources Conservation Service provides specialists in soil and water conservation.
- Forest Service, active in the conservation and proper use of forest resources, also provides disaster-scene management skills.
- Animal and Plant Health Inspection Service assists in the protection of food resources from pests and disease threats.
- Economic Research Service and the National Agricultural Statistics Service, which help to better understand the condition of agricultural sectors and the probable effects of different policy decisions.

The U.S. Department of Agriculture has wide-ranging knowledge and skills in the U.S. agricultural sector and applies these skills to analysis and development overseas. Within the U.S. Department of Agriculture, most international responsibilities are handled by the Foreign Agricultural Service (FAS). The agency is represented by agricultural counselors and attaches working with U.S. embassies throughout the world.

For field coordination, initial contact should be made through the FAS agricultural counselor or attaché, or directly to the FAS/International Cooperation and Development (ICD) Program if there is no agricultural office. Further operational coordination in the field may be made through a civil-military operations center (CMOC), if established, with appropriate USDA field personnel. To coordinate agricultural development and emergency technical assistance, the FAS/ICD has major responsibilities. The Deputy Administrator for FAS/ICD has the authority to accept funding and implementation responsibilities on behalf of the USDA technical agencies, and to assist in the implementation process. FAS/ICD also coordinates USDA relations with a variety of governmental and international organizations.

The Farm Service Agency (FSA) is responsible for several foreign; food assistance programs where U.S. agricultural commodities are donated abroad for humanitarian and developmental purposes. The food assistance is provided through three channels: the P.L. 480 Program (Title II and Title III), which is administered by the Agency for International Development, and the Section 416(b) Program, and the Food for Progress Program, both of which are administered by USDA. The FSA's Kansas City Commodity Office, through the Commodity Credit Corporation (CCC) is responsible for procuring or supplying commodities from CCC inventory for all foreign food assistance donation programs.

THE DEPARTMENT OF COMMERCE (DOC)

The Department of Commerce is responsible for developing and administering Federal policy and programs affecting the industrial and commercial segments of the national economy. The DOC is the support agency for several Emergency Support Functions within the Federal Response Plan (FRP).

The DOC is composed of the Office of the Secretary, 14 bureaus, and other operating units. DOC's capabilities include:

- Produce, analyze, and disseminate economic and demographic data.
- Conduct statistical research, and collect information about virtually every country in the world and data on foreign trade.
- Analyze and protect the national defense production base and help with defense conversion in the U.S..
- Contribute to an international search-and-rescue satellite system that reacts to aviation and marine emergency transponders.
- Formulate U.S. export control policies through the Bureau of Export Administration, a key agency in the effort to stop the proliferation of weapons of mass destruction and to control sensitive technology transfer.
- Develop and implement U.S. foreign trade and economic policies through the International Trade Administration with the Department of the Treasury, the Office of the U.S. Trade Representative and others.

The DOC can also contribute to humanitarian and military operations through the National Oceanic and Atmospheric Administration (NOAA). NOAA conducts research, makes predictions, and gathers data about the environment through six functional divisions and a system of special program units, regional field offices, and laboratories.

DEPARTMENT OF DEFENSE (DOD)

The Department of Defense is composed of the Office of the Secretary of Defense (OSD), the Joint Chiefs of Staff (JCS) and the Joint Staff, the Military Departments and the Military Services within those Departments, the unified combatant commands, the Defense agencies and DOD Field Activities, and other offices, agencies, activities and commands.

- The OSD is the principal staff for policy development, planning, resource management, fiscal, and program evaluation.
- The JCS includes the Chairman, the Vice Chairman, the Chief of Staff of the Army, the Chief of Naval Operations, the Chief of Staff of the Air Force, and the Commandant of the Marine Corps.
- The Military Departments are the Departments of the Army, Navy (including the Marine Corps), and Air Force. Each Military Department is organized under a civilian Secretary who exercises authority, direction, and control (through the Chiefs of the Services) of their forces not specifically assigned to combatant commanders.
- A unified combatant command is composed of forces from two or more Military Departments. The Unified Command Plan establishes the missions, responsibilities, and force structure for commanders of unified combatant commands and establishes their general geographic areas of responsibility and functions.
- There are currently 16 Defense Agencies and seven DOD Field Activities, which provide support and services to the DOD in specific functional areas, such as intelligence.

The Department of Defense has the capability to respond rapidly and decisively to quell regional crises. U.S. military capabilities include:

- Airborne Operations
- Airlift
- Amphibious Operations
- Anti- and Counter terrorism
- Anti-Submarine Warfare
- Biological Warfare Defense
- Chemical Warfare Defense
- Civil Affairs
- Close Air Support
- Coastal Defense
- Communications
- Counter drug Operations
- Counter-Proliferation
- Counterintelligence Operations
- Electronic Warfare
- Expeditionary Warfare
- Foreign Internal Defense
- General Air Superiority
- General Ground Superiority
- General Naval Superiority
- General Space Superiority
- Humanitarian Assistance Operations
- Imagery
- Information Warfare
- Intelligence Operations
- Interdiction
- Logistics
- Meteorology and Oceanography
- NBC Defense Operations
- Nuclear Deterrence and-or Warfare
- Port Operations
- Port Security
- Recoilnaissance
- Sealift
- Search, and Rescue
- Space Operations
- Special Operations
- Strategic Attach
- Strategic Reconnaissance
- Support Law Enforcement Agencies
- Unconventional Warfare

DEPARTMENT OF ENERGY (DOE)

The Department of Energy formulates and executes energy policies, plans, and programs including: energy, weapons and waste clean-up; science and technology programs; energy efficiency and renewable energy, fossil energy, nuclear energy information, and civilian radioactive waste management; oversight of power marketing administrations, intelligence and national security programs, energy research, science education and technical information programs; and laboratory management. A principal DOE mission during crisis is to help the Federal government meet military, essential civilian, defense industry, and allied energy requirements. The DOE is the primary agency for emergencies that involving the provision of emergency power and fuel to support immediate response operations, as well as providing power and fuel to normalize community functioning.

The DOE has an emergency operations center at its Washington, DC headquarters for use during crises involving energy systems and for support to other Federal agencies when appropriate. The Director of the DOE's lead field office, in conjunction with the headquarters, assigns staff to temporary duty at FEMA's disaster field office and to field mobilization centers to assist in the coordination of disaster relief.

Through the DOE Emergency Response Program, the DOE deals with all forms of nuclear accidents and incidents, including those that may be associated with terrorist activity. The Radiation Emergency Assistance Center/Training Site (REAC/TS) provides facilities for handling victims of radiation emergencies. The DOE also participates in the Radiological Assistance Program (RAP) to provide assistance to Federal agencies, state, tribal, and local governments during radiological incidents. The Federal Radiological Monitoring and Assessment Center (FRMAC) is a crisis response activity, coordinating radiological monitoring and assessment of the Federal agencies, while supporting reaction to a radiological incident.

The Office of Emergency Management manages DOE emergency response assets. In addition to REAC/TS and FRMAC, also available is: Aerial Measuring System (AMS) which provides real-time radiation contamination measuring; Atmospheric Release Advisory Capability (ARAC) which can provide prediction of dispersal of radioactive material, and personnel and equipment to locate, identify radiological materials. Assistance is available domestically through FEMA and internationally through both the Department of State and host nation.

The DOE's capabilities include:

- Research and development of energy-related technologies.
- Research, development, and testing of nuclear reactors and weapons.
- Management of weapon stockpiling.
- Oversight of occupational safety involving radiological activities and environmental restoration, as well as assessment of clean-up and decontamination needs.
- Assistance in situations involving radioactive materials.
- Assistance in managing incidents/accidents.

DEPARTMENT OF JUSTICE (DOJ)

The Department of Justice provides legal advice to the President, represents the Executive Branch in court, investigates Federal crimes, enforces Federal laws, operates Federal prisons, and provides law enforcement assistance to states and local communities. The Attorney General heads the Department of Justice; supervises U.S. attorneys, marshals, clerks, and other officers of Federal courts; represents the U.S. in legal matters; and makes recommendations to the President on Federal judicial appointments and positions within the DOJ.

The DOJ has an important role in helping to improve the legal and law enforcement systems of many countries through its numerous training programs. The Criminal Division's International Criminal Investigative Training Assistance Program (ICITAP) has provided training and assistance to a number of countries including Haiti, Panama, and states in the former Soviet Union and Eastern Europe. ICITAP can provide assistance in a number of areas including police training, development of procedural, organization, and administrative bases for law enforcement and penal agencies, development of forensic capabilities, and US-based models for dealing with organized crime, drug trafficking, and financial crimes.

The following law enforcement agencies have significant roles in crisis response, intelligence, and the interagency process:

- DEA is the primary narcotics enforcement agency for the U.S. Government.
- FBI investigates violations of certain Federal statutes, collects evidence for cases in which the U.S. is or may be an interested party, maintains liaison posts abroad in foreign countries to quell organized crime, drugs, foreign counterintelligence, white collar crime, terrorism, and violent crime. The FBI has extensive domestic and foreign intelligence and operational asset.
- U.S. National Central Bureau (USNCB) is the U.S. representative to the International Criminal Police Organization (INTERPOL), which coordinates information exchange in international investigations.
- U.S. Marshals Service (USMS) provides prisoner transportation, service and execution of court orders, Federal court and judicial security, witness protection, maintenance and disposal of forfeited assets, Federal fugitive apprehension, foreign extradition, security and law enforcement assistance during movement of cruise and intercontinental ballistic missiles, and emergency response by the USMS Special Operations Group to a number of domestic emergency circumstances.
- The Immigration and Naturalization Service (INS) plays a significant role in interagency response to migrant operations.

DEPARTMENT OF STATE (DOS)

The Department of State is responsible for planning and implementing U.S. foreign policy. In its diplomatic role, the DOS is an important source of foreign affairs data, national security and economic information, and data on the policies and inner workings of other countries. In its consular function, the DOS provides notary and citizenship services to U.S. citizens abroad and assists in implementing U.S. immigration and naturalization laws.

There are Under Secretaries of State for Political Affairs; Economic, Business, and Agricultural Affairs; Arms Control and International Security Affairs; Global Affairs, which includes international narcotics, counter terrorism, environment and science, population and refugees, labor, and human rights; and Management. Seven bureaus are responsible to the Under Secretary for Political Affairs and are headed by the Assistant Secretaries of State for: African Affairs; East Asian and Pacific Affairs; European and Eurasian Affairs; Near Eastern Affairs; Western Hemisphere Affairs; South Asian Affairs; and International Organizational Affairs. Other bureaus in the Department are functionally oriented, and their Assistant Secretaries are responsible to other Under Secretaries for such matters as: Administration; Diplomatic Security; Arms control; Consular Affairs; Personnel; International Narcotics and Law Enforcement; Oceans and Environmental Scientific Affairs; Politico-Military Affairs; Democracy, Human Rights and Labor; Intelligence and research; Population, Refugee, and Migration; Economic, Business and Agricultural Affairs, and Educational and Cultural Affairs.

Embassies are the basic unit for the conduct of diplomacy overseas. They are headed by an Ambassador, who is a Presidential appointee and the President's personal representative. Ambassadors coordinate, direct, and supervise all U.S. Government activities and representatives posted in the foreign country to which they are accredited. They do not, however, exercise control over U.S. personnel attached to and working for the head of a U.S. Mission to an international organization or U.S. military personnel operating under the command of a geographic combatant commander. Overseas, Foreign Service Officers are assisted by another 10,000 career Foreign Service National employees and the more than 1,600 U.S. Marines on assignment to the DOS as Marine Security Guards.

DEPARTMENT OF TRANSPORTATION (DOT)

The Department of Transportation is responsible for ensuring the safety and reliability of all forms of transportation, protecting the interests of consumers, conducting planning and research for the future, and rendering assistance to cities and states in meeting their transportation goals. The Secretary of Transportation is the principal advisor to the President on transportation programs.

The DOT consists of the Office of the Secretary and nine operating administrations that are organized generally by mode of travel: U.S. Coast Guard (USCG); Federal Aviation Administration (FAA); Federal Highway Administration (FHA); Federal Railroad Administration (FRA); National Highway Traffic Safety Administration; Federal Transit Administration; Maritime Administration; Saint Lawrence Seaway Development Corporation; and Research and Special Programs Administration.

The DOT and its agencies have close and continuous liaison within the interagency, especially with the Department of Defense. The DOT brings to the interagency a responsive planning and operational mechanism, and a logistics apparatus to support strategic and operational planning for force projection, combat operations, deterrence, crisis response, disaster assistance, humanitarian relief efforts, and strategic exercises. Specifically, the DOT provides:

- Enforcement of maritime laws and suppression of smuggling and illicit drug trafficking. The USCG routinely places law enforcement detachments on board surface combatants of the U.S. Navy for maritime interdiction operations.
- Expertise involving the civilian and military use of U.S. transportation system. DOT can redirect the Nation's transportation assets and change priorities, usually through Presidential Executive Order or emergency decree.
- Cooperation with the FAA and the Department of Defense in military aviation, aeronautical charts and publications, Notices to Airmen, military airport operations and certification, airspace management during national crises, and airspace control and certification of expeditionary aviation facilities overseas during military contingency operations.

DEPARTMENT OF THE TREASURY (TREAS)

The Department of the Treasury performs four basic functions: 1) formulates and recommends economic, financial, tax, and fiscal policies; 2) serves as financial agent for the U.S. Government; 3) enforces the law; and 4) manufactures coins and currency.

The Assistant Secretary (Enforcement) is responsible for: the Office of Financial Enforcement and the Office of Foreign Assets Control; the Bureau of Alcohol, Tobacco and Firearms (ATF); U.S. Customs Service (USCS); the U.S. Secret Service (USSS); and the Federal Law Enforcement Training Center. Treasury also contains the Internal Revenue Service and the Undersecretary for International Affairs, which deals with several national security issues including financial transactions associated with terrorism, illegal drugs, and rogue states.

Significant skills reside within the many components of the Department of Treasury including: financial management; public safety; law enforcement, especially suppression and interdiction of illegal trafficking; and training of Federal, state, and local law enforcement agencies.

Treasury also provides:

- Liaison between the Secretary and other USG agencies with respect to their financial operations, and government-wide accounting and cash management.
- Financial services, information, and advice to taxpayers, Federal agencies, and policy makers.
- Interaction with the FAA, the airports, and the air carriers.
- Administration and enforcement of some 400 provisions of law on behalf of more than 40 US agencies.
- Suppressing the traffic of illegal narcotics and pornography -direction and support to the Drug Law Enforcement System and service as an integral component of the counter-drug Joint Interagency Task Forces (JIATF).
- Direction and Support to the Drug Law Enforcement System and service as an integral component of the counter-drug Joint Interagency Task Forces (JIATF).

FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA)

FEMA is the focal point for domestic emergency planning, preparedness mitigation, response and recovery. It develops and coordinates national policy and programs and facilitates delivery of emergency management during all phases of national security and catastrophic emergencies. FEMA oversees the development and execution of policies and programs for overall emergency management, national emergency readiness, disaster planning, emergency training and education, fire prevention and control, flood plain management, and insurance operations.

FEMA maintains the following abilities:

- Administer programs designed to improve emergency planning preparedness, mitigation, response, and recovery capabilities
- Administer the National Flood Insurance Program and the Federal Crime Insurance Program
- Provide leadership, coordination, and support for the Agency's urban search and rescue, fire prevention and control, hazardous materials and emergency medical services activities
- Appoint a Federal Coordinating Officer, on behalf of the President, to carry out operations in a domestic emergency.

Through its various programs FEMA maintains effective liaison with state and local emergency response officials.

NATIONAL SECURITY COUNCIL (NSC) STAFF

The NSC Staff serves as the President's national security and foreign policy staff within the White House. The staff receives its direction from the President through the National Security Advisor. The staff provides a variety of activities in advising and assisting the President and the Assistant to the President for National Security Affairs, including briefings, responding to Congressional inquiries, and public remarks. The NSC staff is an initial point of contact for department and agencies wishing to bring a national security issue to the President's attention. Staff members participate in interagency working groups.

The office of Global Issues and Multilateral Affairs advises the President and National Security Advisor on all aspects of U.S. foreign policy dealing with transnational issues or those issues that involve special multilateral arrangements. These issues include terrorism, complex crisis operations, narcotics, the United Nations, international crime, foreign military sales, war crimes, sanctions policy, and regional security arrangement.

OFFICE OF MANAGEMENT AND BUDGET (OMB)

OMB's predominant mission is to assist the President in overseeing the preparation of the Federal budget and to supervise its administration in Executive Branch agencies. OMB evaluates the effectiveness of agency programs, policies, and procedures, assesses competing funding demands among agencies, and sets funding priorities. OMB ensures that agency reports, rules, testimony, and proposed legislation are consistent with the President's budget and with Administration policies.

In addition, OMB oversees and coordinates procurement, financial management, information, and regulatory policies. In each of these areas, OMB's role is to help improve administrative management, to develop better performance measures and coordinating mechanisms, and to reduce unnecessary burdens on the public

OMB is composed of divisions organized either by agency and program area or by functional responsibilities. OMB's divisions include: Resource Management Offices, which assist with the President's management and budget agenda; Budget Review Offices, which analyze trends in and the consequences of aggregate budget policy; Legislative Reference Division; and Statutory Offices, such as the Office of Federal Financial Management and the Office of Federal Procurement Policy.

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

The U.S. Agency for International Development (USAID) is an autonomous agency under the Secretary of State. USAID administers and directs U.S. foreign economic assistance programs, and is the lead Federal agency for foreign disaster assistance. USAID focuses much of its efforts on six areas of concern: agriculture, environment, child survival, AIDS, population planning, and basic education. Response to natural and manmade disasters is one of USAID's primary missions.

USAID is prepared to respond to complex crises and to assist in the transition of states from crisis to stability. The agency looks at three factors in responding to crises: 1) the emergency response, focused on saving lives and reducing suffering, can simultaneously assist in the return of sustainable development by supporting local capabilities, providing safety nets, and strengthening human capacity; 2) the prevention or mitigation of the effects of a disaster must be built into response programs; and 3) timely, effective assistance to countries emerging from crisis can make the difference between a successful or failed transition.

The Office of Transition Initiatives provides a mechanism to rapidly assess and address the short term political and economic needs in the recovery stage of a disaster. Key areas for the office include demobilization and reintegration of soldiers, landmine awareness and removal, electoral preparations, and civil infrastructure. USAID funding underwrites long-term rehabilitation and recovery efforts in states emerging from complex emergencies. These efforts support sustainable development, preventing crises from becoming intractable, and minimizing the need for future humanitarian and disaster relief.

Other USAID programs include Food for Peace (operated with the Department of Agriculture), Food for Development, and the Office of U.S. Foreign Disaster Assistance. The Food for Peace program supports humanitarian and sustainable development assistance through U.S. agricultural commodities and provides resources to private voluntary organizations and the World Food Program. Food for Development provides country-to-country grants of agricultural commodities to improve food security in developing countries and to promote agricultural reforms that encourage food production. A description of the Office of U.S. Foreign Disaster Assistance is included in this appendix.

**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
OFFICE OF U.S. FOREIGN DISASTER ASSISTANCE**

The President designated the USAID Administrator as his Special Coordinator for Disaster Assistance. Through its Office of U.S. Foreign Disaster Assistance (OFDA), USAID provides emergency relief and long-term assistance in response to disasters. OFDA responsibilities include:

- Organizing and coordinating USG disaster relief response
- Responding to embassy and mission requests for disaster assistance
- Initiating necessary procurement of supplies, services and transportation
- Coordinating assistance efforts with operational-level NGOs and PVOs

OFDA operates a Crisis Management Center to coordinate disaster assistance operations, and OFDA regional advisors in Ethiopia, Costa Rica, the Philippines, and Fiji are emergency response experts and consultants. OFDA's response capability, Disaster Assistance Response Teams (DART), provide rapid response assistance to international disasters. OFDA's capabilities include:

- Information on disaster areas
- Up to \$25,000 with the U.S. embassy or mission for supplies or services to assist disaster victims
- Grants to local government relief organizations or PVOs handling emergency relief.
- Data in Disaster Assistance Logistics Information System
- Transportation of relief supplies to an affected country
- Funds to support activities in shelter, water and sanitation, health, mood, logistics, and technical assistance
- Stockpiles of standard relief commodities in U.S., Panama, Italy, Guam, and Thailand.

U.S. INFORMATION AGENCY (USIA)

USIA's mission is to understand, inform, and influence foreign publics in promotion of U.S. national interests and to broaden the dialogue between Americans and U.S. institutions and their counterparts abroad. USIA is prohibited from conducting information programs or disseminating its information products within the U.S..

USIA is known overseas as the U.S. Information Service (USIS). The USIA Foreign Service Officers and staff operate in virtually all U.S. embassies and consulates abroad and also run cultural and information resource centers in many countries. USIS posts are responsible for managing press strategy for all USG elements operating abroad under the authority of the U.S. Ambassador. USIA is also responsible for the Voice of America, broadcasting worldwide in more than 40 languages; Radio Free Europe and Radio Liberty; the WORLDNET satellite television system; radio and television broadcasting to Cuba; the Fulbright Scholarship, International Visitor and other educational and cultural exchange programs; the U.S. Speakers program; and the Wireless File, a daily compendium of policy statements and opinions.

Press activities of all USG elements operating at U.S. diplomatic missions abroad are cleared and coordinated by USIS posts at those missions. Additionally, USIA tracks foreign media coverage of issues of U.S. national interest and advises on foreign public opinion. USIS posts can assist in publicizing U.S. military and civilian achievements in a given foreign country. Plans involving civil affairs should include coordination with USIA-USIS planners. When requested by the Secretary of Defense, USIA will provide a senior representative to any established interagency planning or oversight committee.

USIA's capabilities include the following:

- Significant contributions to press and public information planning during preparation for employment of U.S. forces in crisis response or contingency operations, and contributions to the implementation of press and public information strategy during the operational phase using USIS officers in country and the full range of Agency print and broadcast media products and services.
- Assistance to civil affairs personnel in developing popular support, and detecting and countering conditions and activities which hinder U.S. operations. Similar assistance is rendered to psychological operations personnel.