ROAD MAP FOR NATIONAL SECURITY

ADDENDUM ON STRUCTURE AND PROCESS ANALYSES

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PREFACE

INTELLIGENCE COMMUNITY

The chapters in this volume provide information concerning organizations in the Intelligence Community, including the Office of the Director of Central Intelligence, the Central Intelligence Agency, the National Intelligence Council, the Defense Intelligence Agency, the National Security Agency, the President's Foreign Intelligence Advisory Board, and the Congressional Permanent Select Committees on Intelligence.

Each chapter is designed to serve as a stand-alone reference for a specific organization and its role in national security processes. Chapters are presented in standard format to permit comparisons and facilitate research. That format is:

- An executive summary that provides an organizational overview and observations.

- Section 1 identifies the legal basis for the organization and significant organization and interagency directives.

- Section 2 notes the major responsibilities of the organization, identifies subordinate organizations, and delineates the organization's major products.

- Sections 3 and 4 deal with the vision, strategy, values, culture, leadership, staff attributes, and structure of the organization.

- Section 5 discusses the organization's formal role seven key processes.

- Section 6 provides information on the organization's roles in informal processes.

- Section 7 outlines the responsible Congressional committees, the budget, and the personnel strength of the organization.

- Section 8 provides observations on ways in which the organization contributes to national security.

Descriptions of organizations deemed most significant in terms of the current national security apparatus include matrices that relate products and roles to processes. Process maps have been added as appendices for these organizations. Where it may be helpful for readers to consult other chapters to gain a more complete understanding of particular concepts or issues, the appropriate references are included in the text or in footnotes. An acronym glossary is included at the end of Volume VII.

The entire series consists of seven volumes:

- Volume I contains descriptions of the overarching interagency and inter branch processes as well as key observations on organizations and processes;

- Volume II contains chapters on the Executive Office of the President.

- Volume III contains chapters on key Congressional Committees.

- Volume IV provides descriptions of key Department of State Organizations.

- Volume V discusses Department of Defense organizations.

- Volume VI covers intelligence community organizations and activities.

- Volumes VIIa and VIIb describe Executive Branch organizations not covered elsewhere.

These volumes are based on comprehensive searches of available literature, laws, and directives and extensive interviews with current and former practitioners. Research included both formal and informal processes. There is sufficient information on each organization to fill several volumes, thus the synthesis of this information focuses on national security processes as defined by the U.S. Commission on National Security/21st Century.

Volume VI – Intelligence Community

Activities

Oversight Committees

ORGANIZATIONAL DESCRIPTION

OFFICE OF THE DIRECTOR OF CENTRAL INTELLIGENCE

Prepared for the U.S. Commission on National Security/21st Century

EXECUTIVE SUMMARY

Office of the Director of Central Intelligence

Overview.

The Director of Central Intelligence (DCI) plays a vital role in today's national security environment. At the highest level, his responsibilities include:

- Serving as the head of the U.S. intelligence community (IC);

- Acting as the President's principal advisor for national security intelligence matters; and,

- Serving as head of the Central Intelligence Agency.

Recent legislation has aided the DCI in fulfilling his IC management responsibilities and his responsibilities as a trusted Presidential advisor, by creating the position of the Deputy Director of Central Intelligence/Community Management (DDCI/CM). The DDCI/CM serves as the DCI's chief advisor on IC policy, planning, resource, and management issues.

As the primary executor of the DCI's community responsibilities, the DDCI/CM directs the operations of the Community Management Staff (CMS), including the overall management of the National Foreign Intelligence Program (NFIP), the umbrella program for intelligence activities supporting "national" (versus single agency) intelligence needs, as well as oversight of IC personnel and resources.[1] He also ensures the efficient and effective collection of national intelligence using technical means by IC component agencies through the Assistant Director of Central Intelligence (ADCI) for Collection. Additionally, the DDCI/CM conducts oversight of intelligence analysis and production by IC component agencies through the ADCI for Analysis and Production.

Organization.

The Intelligence Renewal and Reform Act of 1996, Title VIII,[2] mandates the current structure of the Office of the Director of Central Intelligence (ODCI) and establishes the DDCI/CM position. Title VIII also establishes the positions of the ADCIs for Collection and Analysis and Production to assist the DCI and the DDCI/CM in ensuring efficient and effective intelligence collection, analysis, and production.

The CMS serves as the primary staff element for carrying out the DCI's and DDCI/CM's community responsibilities and also assists the DCI in his advisory role to the President on intelligence issues.

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[1] Preparing for the 21st Century—An Appraisal of U.S. Intelligence. Report of the Commission on the Roles and Capabilities of the United States Intelligence Community. Washington, DC. Page 71, March 1, 1996.

[2] Title VIII, Intelligence Renewal and Reform Act of 1996, Section 805.

Role in Formal and Informal National Security Processes.

			Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
Products		DCI Strategic Intent	✓						
		Congressional Budget Justification Book (CBJB)							✓
		DCI Intelligence Guidance			✓				
		Intelligence Program Decision Memorandum (IPDM)							✓
		Intelligence Program Budget Decision (IPBD)							✓
		DCI Directives (DCIDs)		✓					
		Mission Area Assessments (MAAs)					✓	✓	
		Independent Cost Analyses						✓	
		Annual Report on Intelligence Community					✓		
Roles	DCI	IC Head	✓	✓	✓	✓	✓	✓	✓
		Principal Intel Advisor	✓	✓	✓				
		CIA Head	✓	✓	✓	✓	✓	✓	✓
		IC/PC Chair	✓	✓	✓				
		NFIB Chair					✓		
		E/DRB Co-Chair							✓
		NSC PC Member	✓						
	DDCI	CIA Oversight	✓	✓	✓	✓	✓	✓	✓
		DCI Role (in DCI's Absence)	✓	✓	✓	✓	✓	✓	✓
		IC/DC Chair		✓	✓				
		NFIB Vice Chair					✓		
		NSC DC Member	✓	✓					
	DDCI/CM (ExDir/ICA)	IC Management	✓	✓	✓	✓	✓	✓	✓
		CMS Management	✓	✓	✓	✓	✓	✓	✓
		ADCI/Collection			✓	✓	✓		
		ADCI/Analysis & Production			✓	✓	✓		
		IPRG Chair						✓	✓

Strategy Development. The ODCI develops the DCI's Strategic Intent, which serves as the DCI's primary articulation of his vision, goals, and objectives for the IC.[3] The DCI and the Deputy Director of Central Intelligence (DDCI) participate in National Security Council (NSC) Principals and Deputies Committees, while they or their designates serve as representatives to the NSC's Interagency Working Groups (IWGs). The ODCI also manages and supports the

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[3] The ODCI published the DCI's Strategic Intent for the first time in 1999.

Intelligence Community Principals Committee (IC/PC) (consisting of the directors of the individual intelligence agencies, such as the National Imagery and Mapping Agency [NIMA] and the National Security Agency [NSA]), and the Intelligence Community Deputies Committee (IC/DC) (composed of the deputy directors of the individual intelligence agencies), which serve as the senior advisory boards advising the DCI on intelligence policy and planning, needs management and evaluation, and decisions affecting NFIP programs. Support to the IC/PC and IC/DC in its strategy function takes the form of formal and ad hoc preparation of briefings, issue papers, and talking points. The IC/PC and IC/DC produce issue papers and memoranda for the DCI, who uses these products in his interactions with the President, the NSC, and Congress on IC program needs.

Policy, Guidance, and Regulation. The ODCI, through CMS' Requirements, Plans, and Policy Office (RPPO), plays a major policy role in the development and dissemination of DCI Directives (DCIDs) covering a variety of issues that affect the IC as a whole or its component parts. In addition, the ODCI's pivotal role in the IC/PC and IC/DC has significant policy implications for the IC. Support to the IC/PC and IC/DC in its policy function, as in its strategy function, takes the form of formal and ad hoc preparation of briefings, issue papers, and talking points.

Planning. In support of the NFIP's planning phase, the ODCI prepares and disseminates the DCI's Intelligence Guidance to the NFIP agencies for preparation of Intelligence Program Objective Memoranda (IPOM), the IC's programming process that identifies the funding objectives for the two-year budgeting cycle. The DCI Intelligence Guidance reflects the strategic intent and policy priorities of the DCI. The ODCI's role in managing and supporting four committees and boards (i.e., the IC/PC, the IC/DC, the National Intelligence Collection Board (NICB) and the National Intelligence Production Board (NIPB)) also touches upon planning responsibilities.

Mission Execution. Much of the ODCI's efforts are tied directly to the support of intelligence missions. The ODCI manages support to collection, analysis, production, and dissemination activities on designated hard targets, and coordinates collection, analysis, production, and dissemination in support of defined national security missions.

Observation, Orientation, and Oversight. A variety of ODCI activities fall into this category. The ODCI prepares an annual review of IC programs and activities that reaches many target audiences, including Congress. CMS' Program Assessment and Evaluation Office (PA&EO) conducts mission area assessments (MAAs) designed to evaluate a program's satisfaction of performance objectives in a particular intelligence mission area (e.g., counterproliferation). PA&EO also oversees as other studies and assessments of the efficacy of IC assets and programs in meeting defined national security missions and intelligence needs. Both MAAs and other studies and assessments are used by programming and budgeting officials in developing program objectives and budget requests. Other recent and important activities include the establishment of the Hard Target Joint Review and the Integrated Collection Management Task Force.

Preparation. CMS' PA&EO manages the Cost Analysis Group (CAG), modeled on the Department of Defense's (DoD) capability. The CAG produces independent cost analyses of proposed major acquisitions, which the DCI relies upon in making acquisition decisions.

PA&EO's MAAs and other studies and analyses can also support acquisition decisions on an as-required basis.

   Resourcing. The ODCI undertakes all programming and budgeting activities for the NFIP for the DCI. The CMS Executive Director for Intelligence Community Affairs (EXDIR/ICA) co-chairs the Intelligence Program Review Group (IPRG), which reviews issues, analyzes priorities, and studies NFIP funding alternatives. Through CMS' Resource Management Office, the ODCI conducts NFIP program reviews and crosswalks (special programmatic and budgetary reviews between two or more NFIP and/or non-NFIP component programs whose interests overlap and where close coordination is necessary); manages reviews of major and minor program and budget issues; prepares and issues key DCI programmatic and budgeting decisions; submits the NFIP budget to President; and prepares and issues the Congressional Budget Justification Book to Congress.

Observations.

   The majority of those interviewed indicated that while the IC functions extremely well as a community to provide support during crises, in day-to-day operations full collaboration is generally in short supply. Stovepiping thus remains an IC reality, but it is a function of culture rather than organization.

   Having the DCI focus only on community issues is not desirable, interviewees indicated. The DCI needs a powerful agency not only to provide staff to execute his planning, programming, and budgeting functions, but also to provide needed credibility with the President and Congress. Although planning, programming, and budgeting are on a interagency basis through the NFIP, resource allocation decisions are ultimately made at the agency level—thus making a strong case for the DCI to retain his CIA head role in order to reap fully the respect due to the agency heads who make these allocation decisions.

   At the same time, a full sense of community can be achieved within existing authorities and under the current operating structure if the DCI demonstrates a robust interest in community affairs and does not become overly focused on the CIA.[4] This demonstrable interest will go a long way towards dispelling the widespread community notion that the DCI has been captured by the CIA. With the creation of the DDCI/CM position (and the supporting ADCIs for Collection and for Analysis and Production), the DCI now has the staff support— both in terms of numbers and quality—to be an effective community leader if he desires to do so.

   Two of the primary values of the DCI and DDCI/CM—fostering collaboration across the community while maintaining each agency's sense of independence—create a level of tension that interviewees found to be healthy. While the policy and planning functions encourage cooperation, those performing the resource and evaluation functions strive to be seen as honest brokers in conducting their activities.

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4   An interviewee observed that the two most recent DCIs—the ones under whom the intelligence "community" concept has been more fully developed through statute and directive— have nevertheless not demonstrated this robust interest in community affairs. Interview with former CMS official, November 11, 1999.

Informal processes and products dominate the conduct of IC business. Much of the support, especially in the strategy and policy area, consists of working groups and individual staff members producing issue papers, talking points, briefings, and Congressional testimony on an ad hoc basis.

The current CMS staff, consisting of a blend of permanent staff and detailees, is reaching an overall equilibrium of needed talent, although the staff quality remains mixed across functions. The continued presence of detailees fosters a sense of collaboration, improves the level of expertise, and provides community agencies with a greater sense of having a "seat at the table."

Those interviewed indicated that, with the advent of the IC Chief Information Officer's office and the DCI's commitment to technology investments, an Assistant DCI for Dissemination, chartered with the responsibility to improve dissemination of products to the policy community, is not required to improve the community's dissemination record.

Cooperation between the IC and the law enforcement community has improved significantly over the past several years (particularly in support of counterintelligence investigations and criminal prosecutions). Law enforcement community detailees now support the Counterterrorism Center and the Crime and Narcotics Center. Interviews indicate that the flow of information remains largely one way (i.e., from the IC to the law enforcement community), however, suggesting the need to improve cooperative exchanges of intelligence.

ORGANIZATIONAL DESCRIPTION

OFFICE OF THE DIRECTOR OF CENTRAL INTELLIGENCE

1. Legal Specifications, Authorizations, and Responsibilities.

      A. Authorizing Statutes: Authorized by the National Security Act of 1947[5] (as amended).

      (1) The National Security Act of 1947 (50 U.S.C. 402 *et seq.*) formally establishes the Central Intelligence Agency (CIA) in law.

      (2) The Intelligence Organization Act of 1992 recognized the National Foreign Intelligence Program (NFIP) in law, and provided the Director of Central Intelligence (DCI), through the Community Management Staff (CMS), with the authority to transfer funds and personnel (for up to one year) between and among NFIP programs.

      (3) The Intelligence Renewal and Reform Act of 1996, Title VIII,[6] mandates the current structure of the Office of the Director of Central Intelligence (ODCI). It also establishes the position of the Deputy Director of Central Intelligence/Community Management (DDCI/CM) as the chief advisor to the DCI on Intelligence Community (IC) policy, planning, resource, and management issues. Additionally, Title VIII establishes Assistant DCIs for Collection (ADCI/Collection) and Analysis and Production (ADCI/Analysis & Production) positions to assist the DCI and the DDCI/CM by assuring efficient and effective intelligence collection, analysis, and production.

      B. Department Directives: DCI Directive (DCID) 3/3 (January 1992), the organizing directive for CMS, will be amplified and/or amended with the issuance of three DCIDs currently in draft form. These new DCIDs will provide the basis for the implementation of a new community-focused approach to intelligence activities.[7]

      (1) DCID 3/3 formally establishes the Community Management Staff, headed by the Executive Director (ExDir)/ICA (who has functioned as the de facto chief of staff to the DDCI/CM since the creation of the latter position in 1996) to support the DCI in his community activities. DCID 3/3 resulted from National Security Review (NSR) 29, conducted by the Bush Administration in 1991 to identify anticipated intelligence needs through 2005. NSR 29 recommended a more community-oriented staff element to replace the existing Intelligence Community staff. In March 1992, President Bush approved the DCI's proposal to replace the IC staff with CMS.

      (2) A draft DCID on collection management establishes guidance for collection management and defines the relationship between the ADCI/Collection and the National Intelligence Collection Board (NICB) on collection management issues. CMS staff indicates that this DCID should be issued in spring 2000.[8]

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[5]   An Intelligence Resource Manager's Guide. Joint Military Intelligence Training Center. Washington, DC. Page 6, 1997.

[6]   Title VIII, Intelligence Renewal and Reform Act of 1996, Section 805.

[7]   Interview with CMS staff, November 12, 1999.

[8]   Interview with CMS staff, November 12, 1999.

(3) A draft DCID on analysis and production outlines the ADCI/Analysis & Production's authorities and responsibilities and defines the relationship between the ADCI and the National Intelligence Production Board (NIPB) on production management issues. CMS staffers indicate that this DCID should also be issued in spring 2000.[9]

(4) A draft DCID on overall community management is currently being developed. No release date for this DCID, currently in its very early stages, has yet been determined.[10]

C. Interagency Directives: Executive Orders (EO) 11905, 12036, and 12333 provide the interagency basis for the DCI's community activities.

(1) EO 11905 (issued February 19, 1976)**,** the first public directive on U.S. intelligence roles and responsibilities, created the NFIP by formally implementing a concept proposed by President Nixon to consolidate all national intelligence funding into a unified intelligence budget submission.[11]

(2) EO 12036 (issued January 24, 1978) provided the DCI with specific responsibility for approving the consolidated NFIP budget. While the DCI approves the consolidated budget, funds appropriated for NFIP activities are made available to the parent Department or Agency and not to the DCI.[12]

(3) EO 12333 makes the DCI responsible directly to the President and the National Security Council (NSC) on matters related to national foreign intelligence, assigning 18 distinct responsibilities and/or authorities to the DCI. First issued in 1981, the directive remains in force today.

2. Missions/Functions/Purposes. The structure and the major responsibilities of the ODCI are specified in the Intelligence Renewal and Reform Act of 1996.[13]

A. DCI: The DCI's major responsibilities include:

(1) Serving as the head of the U.S. intelligence community [Key Processes Relation: All];

(2) Acting as the principal advisor to the President for intelligence matters related to national security [Key Processes Relation: Strategy]; and

(3) Serving as head of the CIA [Key Processes Relation: All].[14]

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9   Interview with CMS staff, November 12, 1999.

10   Interview with CMS staff, November 12, 1999.

11   JMITC, Pages 8-9.

12   Commission on the Roles and Capabilities, Page 71.

13   Title VII, Intelligence Renewal and Reform Act of 1996, Section 805.

14   See the section entitled Central Intelligence Agency in this volume.

B. DDCI: The DDCI's major responsibilities include:

(1) Overseeing the day-to-day operations of the CIA [Key Processes Relation: All]; and

(2) Acting for, and exercising the powers of, the DCI during the Director's absence or disability or during a vacancy in the DCI position. [Key Processes Relation: All]

C. DDCI/CM: The DDCI/CM, the DCI's primary executor of his community responsibilities, is assisted in this effort by an ADCI and (primarily) by the EXDIR/ICA. The DDCI/CM's responsibilities include:

(1) Performing community-wide IC management functions, including management of personnel and resources. He also directs CMS operations, serves as the program manager for the Community Management Account (CMA) (which funds the DCI's IC oversight activities) [Key Processes Relation: All].

(2) Through the ADCI/Collection, the DDCI/CM ensures the efficient and effective collection of national intelligence by IC component agencies using technical means [Key Processes Relation: All].

(3) Through the ADCI/Analysis & Production, the DDCI/CM provides oversight of the analysis and production of intelligence by IC component agencies [Key Processes Relation: All].

D. IC Committee Structure:

(1) IC Principals Committee (IC/PC): Chaired by the DCI, the IC/PC (consisting of the directors of the individual intelligence agencies, such as the National Imagery and Mapping Agency [NIMA] and the National Security Agency [NSA]) serves as the senior advisory board to advise the DCI on intelligence policy and planning, needs management and evaluation, and decisions affecting NFIP programs. The IC/PC provides the principal mechanism through which major policy issues affecting the IC are addressed.[15] The IC/PC regularly, with staff support provided as required by CMS [Key Processes Relation: Strategy; Policy, Guidance and Regulation; Planning].

(2) IC Deputies Committee (IC/DC): The IC/DC, the other primary venue for senior-level coordination, also addresses major policy issues affecting the IC. Chaired by the DDCI (and the DDCI/CM in the DDCI's absence) and consisting of the deputies of the IC component agencies, this body addresses and often resolves issues, thus dispensing with the need to take those issues to the IC/PC[16] [Key Processes Relation: Strategy; Policy, Guidance and Regulation; Planning].

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[15] The IC/PC's predecessor organization is the IC Executive Committee (IC/EXCOM). Although the IC/EXCOM still exists on paper, it does not meet and its role and responsibilities have been completely superseded by the IC/PC. Interview with CMS staff, November 16, 1999.

[16] Interview with former CMS official, November 11, 1999.

(3) Expanded Defense Resources Board (E/DRB): This deliberative body meets during the decision making stage of the Capabilities Programming and Budgeting System (CPBS) and the Planning, Programming, and Budgeting System (PPBS) to deliberate on major issues involving all Department of Defense (DoD) NFIP programs, the Joint Military Intelligence Program (JMIP), and the Tactical Intelligence and Related Activities (TIARA) program. The board makes recommendations to the DCI and the Deputy Secretary of Defense, who co-chair the board. During each budget cycle, the E/DRB is formed by temporarily expanding the membership of the standard Defense Resources Board (DRB) to include the DCI and several senior IC officials for the purpose of reviewing major defense intelligence issues[17] [Key Processes Relation: Observation, Orientation, Oversight; Resourcing].

(4) Intelligence Program Review Group (IPRG): The attempt to integrate program and budget review across the three major intelligence programs has also led to the development of the IPRG, which reviews issues, analyzes priorities, and studies funding alternatives. The IPRG relies on input from a variety of sources, including NFIP program managers and their staffs, additional functional managers and issue coordinators from throughout the IC, CMS, and the Office of the Secretary of Defense/Assistant Secretary of Defense for Command, Control, and Communications (OSD/ASD[C3I]). The EXDIR/ICA chairs the IPRG on behalf of the DDCI/CM. CMS staff serves as the IPRG's permanent executive secretariat and provides ongoing administrative support to IPRG members[18] [Key Processes Relation: Policy, Guidance, and Regulation; Planning; Observation, Orientation, Oversight; Resourcing].

(5) National Foreign Intelligence Board (NFIB): The oldest of the DCI's advisory bodies, the NFIB is chaired by the DCI, with the DDCI serving as Vice Chairman; membership consists of representatives, generally at the assistant secretary level or equivalent, from the departments/agencies charged with intelligence functions. The NFIB addresses production, review, and coordination of national foreign intelligence; interagency exchanges of foreign intelligence information; arrangements with foreign governments on intelligence matters; and protection of sources and methods, activities of common concern, and other DCI-directed issues. In practice, the NFIB serves as the review and approval body for the National Intelligence Estimates (NIEs) [19, 20] [Key Processes Relation: Observation, Orientation, Oversight].

(6) National Intelligence Collection Board (NICB): The NICB acts as the IC's coordinating mechanism for "seamless, cross-discipline, collaborative intelligence."[21] The NICB is composed of representatives from all of the intelligence agencies involved in collection, both all-source and discipline-specific (e.g., NIMA, NSA, CIA). The NICB holds quarterly off-site meetings for principals to address strategic collection issues. It also addresses many of its major concerns in interagency working groups designed to develop recommendations for collection strategies. A new working group, co-managed with the National Intelligence

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[17] For a description of the DRB, see the section entitled Office of Management and Budget in the volume entitled Department of Defense.

[18] JMITC, pp. 85-6. The IPRG's membership is composed of the Vice Chairman of the National Intelligence Council (Evaluation) as well as representatives from the individual intelligence agencies, the Office of Management and Budget, the State Department's Intelligence and Research Bureau, the Department of Energy, and the Federal Bureau of Investigation.

[19] Central Intelligence Agency, Office of Public Affairs. A Consumer's Guide to Intelligence. Langley, VA, 1995, p. 39.

[20] See also the section in this volume entitled the National Intelligence Council.

[21] Central Intelligence Agency. Director of Central Intelligence Annual Report for the United States Intelligence Community, May 1999. Langley, VA, May 1999, p. 3 (Introduction).

Production Board, has been established to review current collection and analysis capabilities and to develop alternatives for improving IC performance in these areas.[22] The ADCI/Collection chairs the NICB [Key Processes Relation: Policy, Guidance, and Regulation; Planning; Mission Execution; Observation, Orientation, Oversight].

   (7) National Intelligence Production Board (NIPB): The NIPB, chaired by the ADCI/Analysis & Production, addresses analysis and production issues by serving as the major conduit for customer-driven intelligence priorities; encouraging cross-community initiatives in these areas; and leading assessments and evaluations of the IC's analytic capabilities. The NIPB consists of representatives from all of the intelligence agencies involved in analysis and production of both all-source and discipline-specific intelligence (e.g., NIMA, NSA, CIA) [Key Processes Relation: Policy, Guidance, and Regulation; Planning; Mission Execution; Observation, Orientation, Oversight].

  E. Subordinate Agencies and Activities:

   (1) CMS: CMS serves as the primary staff element for carrying out the DCI's community responsibilities and also assists the DCI in his advisory role to the President on intelligence issues. CMS's major responsibilities include:

   (a) Managing the development of policies for and operation of the Capabilities Planning an Budgeting System (CPBS) for NFIP, including the fiscal and programmatic guidance upon which NFIP program projections are based, as staff element for the IC/PC and the IC/DC [Key Processes Relation: Policy, Guidance, and Regulation];

   (b) Managing the planning and programming phases of the CPBS, using Mission-Based Budgeting (MBB), an approach designed to capture how intelligence resources contribute to the accomplishment of U.S. intelligence missions, for setting planning priorities [Key Processes Relation: Planning];

   (c) Managing the program review phase of CPBS, including serving as the staff element for the IPRG and the Expanded Defense Resources Board (E/DRB) [Key Processes Relation: Observation, Orientation, Oversight; Resourcing];

   (d) Analyzing and evaluating alternative plans, programs, and budget submissions in relation to mission accomplishment, estimated costs, and resource constraints [Key Processes Relation: Planning; Preparation; Resourcing];

   (e) Supporting the identification of intelligence required to address national security interests; establishing priorities among programs, projects, and activities that address interests and requirements; and establishing policies supporting the conduct of these activities as staff element to the IC/PC and IC/DC, and as required, in support of the DCI's participation in the NSC Principals Committee [Key Processes Relation: Strategy; Policy, Guidance, and Regulation];

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22 Central Intelligence Agency. Director of Central Intelligence Annual Report for the United States Intelligence Community, May 1999. Langley, VA, May 1999, p. 3 (Introduction).

(f) Developing policies and guidance (in the form of DCIDs) on a range of community issues in support of the DDCI/CM [Key Processes Relation: Policy, Guidance, and Regulation];

(g) Providing leadership in developing and promoting improved analytic tools, data, and methods for analyzing: intelligence support to national security planning; the effectiveness of intelligence in accomplishing national security missions; and the allocation of resources [Key Processes Relation: Planning; Observation, Orientation, Oversight; Resourcing];

(h) Supporting formal and informal interagency working groups on policy, planning, resourcing, and oversight issues [Key Processes Relation: Policy, Guidance, and Regulation; Planning; Observation, Orientation, Oversight; Resourcing];

(i) Supporting efforts to perform critical reviews of requirements, performance, and life-cycle costs of intelligence systems to support acquisition [Key Processes Relation: Preparation; Resourcing]; and

(j) Performing such other duties as the DDCI/CM, the ADCI, or the EXDIR/ICA may prescribe [Key Processes Relation: Potentially All].

(2) National Intelligence Council (NIC) Staff:[23] The Director of the NIC, who is dual-hatted as the ADCI/Analysis & Production (following the issuance of the Jeremiah report on intelligence failures at the time of the May 1998 Indian nuclear tests), utilizes his staff to fulfill analysis and production responsibilities prescribed under the Intelligence Renewal and Reform Act.[24] These responsibilities include:

(a) Evaluating community-wide production of intelligence and the requirements and resources of such production [Key Processes Relation: All];

(b) Developing the *Future of Intelligence Analysis*, a comprehensive report to the DCI on the state of the IC's analytical capabilities, including an assessment of those capabilities against priorities and a plan for strategic investment in IC analytical resources [Key Processes Relation: Planning; Observation, Orientation, Oversight; Resourcing];

(c) Developing DCI guidance on intelligence priorities, linking specific intelligence needs to capabilities, identifying gaps, and establishing a process for periodic review [Key Processes Relation: Policy, Guidance, and Regulation];

(d) Providing staff support to the NIPB in its production management responsibilities [Key Processes Relation: Planning; Observation, Orientation, Oversight; Resourcing]; and

(e) Preparing testimony and testifying before the Senate Select Committee on Intelligence (SSC[I]) and the House Permanent Select Committee on Intelligence (HPSC[I]) [Key Processes Relation: Observation, Orientation, Oversight].[25]

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[23] See the section in this volume entitled the National Intelligence Council for a detailed description of NIC activities.

[24] Title VIII, Intelligence Renewal and Reform Act of 1996, Section 806.

[25] See section in this volume entitled Congressional Permanent Select Committees on Intelligence.

(3) ADCI/Collection Staff: The staff assists the ADCI/Collection in his responsibilities to for carrying out the Director's responsibilities under the Intelligence Renewal and Reform Act of 1996, to ensure the efficient and effective collection of national intelligence.[26]

F. Major Products:

(1) DCI Strategic Intent;

(2) Congressional Budget Justification Book (CBJB);

(2) DCI Intelligence Guidance;

(3) Intelligence Program Decision Memorandum (IPDM);

(4) Intelligence Program Budget Decision (IPBD);

(5) DCIDs;

(6) Mission Area Assessments (MAAs);

(7) Other studies and assessments;

(8) Independent Cost Analyses;

(9) Annual Report on the Intelligence Community; and

(10) *Future of Intelligence Analysis.*

3. Vision and Core Competencies.

A. Vision: The CIA's vision and mission statement makes direct reference to the DCI's role as the chief advisor to the President on intelligence issues as well as to his role as the head of the Intelligence Community:

"Our Vision: To be the keystone of a U.S. Intelligence Community that is pre-eminent in the world, known for both the high quality of our work and the excellence of our people.

Our Mission: We support the President, the National Security Council, and all who make and execute U.S. national security policy by:

(1) Providing accurate, evidence-based, comprehensive, and timely foreign intelligence related to national security; and

(2) Conducting counterintelligence activities, special activities, and other functions related to foreign intelligence and national security as directed by the President."[27]

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26   Title VIII, Intelligence Renewal and Reform Act of 1996, Section 809.
27   "CIA Vision, Mission, and Values," http://www.cia.gov/cia/information/mission.html.

The ODCI does not have a separate vision statement.

B. Core Competencies: CMS, as the primary ODCI staff element, defines its core competencies as the ability to provide an independent assessment of IC needs through mission-based budgeting and assessment activities and to provide coordinated, community-supported policy positions in its staff support role to the DCI, the DDCI, and the DDCI/CM. CMS prides itself on its professionalism and strives to employ staff that brings the most highly prized skills (i.e., broad-based policy skills, program assessment and budget skills, collection management expertise, and specific functional skills).

4. Organizational Culture. By definition, the concept of a community implies a high degree of collaboration across a broad range of activities. Research and interviews indicate that collaboration is pursued to differing degrees in varying circumstances. Several interviewees noted that, while the IC functions very well as a community in crisis situations, in day-to-day activities the community has some distance to go before achieving full cooperation in every situation. CMS itself emphasizes both collaboration (in its policy and guidance development role) and independence (in its budget development and evaluation roles). The organization also thrives on informal processes and thus provides a fertile atmosphere for continuous interactions between CMS and its major partners in policy, planning, oversight, and resourcing activities. A third key cultural description is CMS' emphasis on nonhierarchical internal operations. The EXDIR/ICA works closely with the office directors and spearheads the community coordination activities.[28]

A. Values: CMS emphasizes effective and efficient processes for community affairs.[29] As a result, it does not stress the development of "products" in the same sense as the IC's component agencies do, but instead strives to develop methods, techniques, and tools to facilitate the community's business.

Within CMS, collaboration and independence are both highly valued. Cooperation with the IC component agencies, the Office of the Secretary of Defense (OSD), and others is critical to policy and planning activities. Budget and evaluation activities require a more independent approach, which CMS prides itself on providing.

B. Leadership Traditions: According to those interviewed, those carrying out the DCI's advisory and community management roles support the organization's culture and values. This is due in part due to the professionalism of the leadership (both the DDCI/CM and the EXDIR/ICA are community veterans) and the staff, which largely consists of seasoned intelligence employees, many of whom have experience spanning several agencies (and intelligence disciplines). CMS' mix of core staff and detailees also bolsters its commitment to collaboration and expertise development. CMS' relatively flat organization fosters extensive interaction between the leadership and the staff. CMS' relatively small size (approximately 250 employees) facilitates communication of senior leadership views and agendas.

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[28] One interviewee noted that, with the creation of the DDCI/CM position, the EXDIR/ICA now essentially serves as the DDCI/CM's chief of staff. Interview with CMS staff, October 4, 1999.

[29] An interlocutor emphasized that "CMS doesn't run agencies, it runs processes." Interview with former CMS official, November 11, 1999.

C. Staff Attributes: CMS has faced significant hurdles in finding talented staff in sufficient quantities. One interlocutor described CMS' challenges, observing that, until recently, CMS has not been seen as a "magnet" for the IC's best talent.[30] CMS' staff is generally quite senior (GS-14 being the most junior rank) and highly experienced in the intelligence community. Consisting initially only of detailees from IC component agencies, today's staff represents a mix of core staff and detailees. Interviews indicate that CMS now has sufficient numbers of qualified budget staff; however, one interviewee observed that employees supporting policy and planning activities are of mixed quality. CMS has struggled to develop adequate evaluation expertise, resorting to recruiting from outside the IC (primarily in the Department of Defense (DoD)) and training budget staff on assessment methods and techniques. CMS' Program Assessment and Evaluation Office (PA&EO) emphasized the recruitment of cost analysts to support its Cost Analysis Group (CAG). PA&EO has also engaged contractor support (e.g., in developing cross-intelligence assessment methodologies) to carry out its evaluation responsibilities.[31]

The ADCI/Collection maintains a small, dedicated staff of senior intelligence professionals. The ADCI/Analysis & Production relies primarily on the NIC staff for support.

D. Strategy: The DCI's community management approach is reflected in the DCI's Strategic Intent, a classified document that addresses the IC's goals and objectives in support of national security policy and strategy.

CMS has no published strategy. Interviews indicate that its strategic approach is in line with its vision and values.
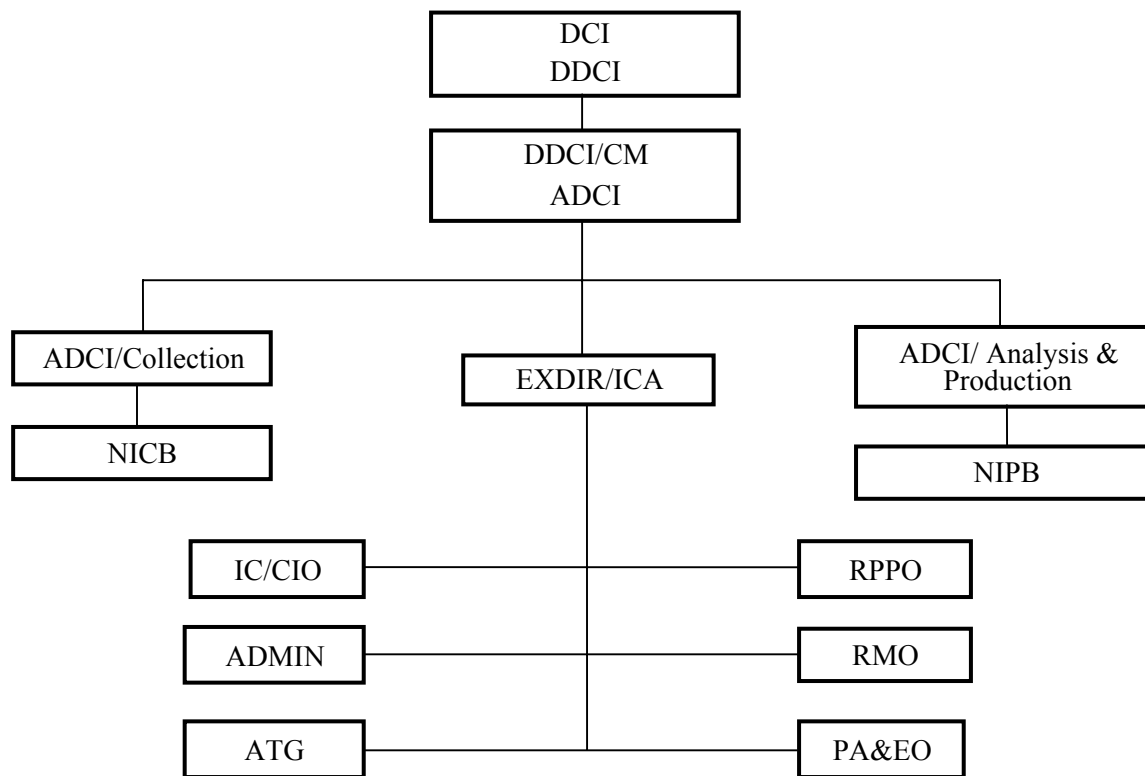
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[30]   This same interviewee praised CMS for taking strides to address this perception problem by building a high-quality core staff.

[31]   Interview with CMS staff, November 16, 1999.

E. ODCI Organizational Structure:

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                        ┌─────────────┐
                        │    DCI      │
                        │    DDCI     │
                        └──────┬──────┘
                        ┌──────┴──────┐
                        │  DDCI/CM    │
                        │    ADCI     │
                        └──────┬──────┘
        ┌──────────────────────┼──────────────────────┐
┌───────────────┐      ┌──────────────┐      ┌──────────────────┐
│ ADCI/Collection│     │  EXDIR/ICA   │      │ ADCI/ Analysis & │
└───────┬────────┘     └──────────────┘      │   Production     │
┌───────────────┐                            └────────┬─────────┘
│     NICB      │                            ┌──────────────────┐
└───────────────┘                            │      NIPB        │
                                             └──────────────────┘

      ┌──────────┐                    ┌──────────┐
      │  IC/CIO  │────────────────────│   RPPO   │
      └──────────┘                    └──────────┘
      ┌──────────┐                    ┌──────────┐
      │  ADMIN   │────────────────────│   RMO    │
      └──────────┘                    └──────────┘
      ┌──────────┐                    ┌──────────┐
      │   ATG    │────────────────────│  PA&EO   │
      └──────────┘                    └──────────┘
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Figure 1: Organization of the ODCI

(1) DCI and DDCI: See Section 2, Missions/Functions/Purposes.

(2) DDCI/CM and ADCI: See Section 2, Missions/Functions/Purposes.

(3) ADCI/Collection and NICB: See Section 2, Missions/Functions/Purposes.

(4) ADCI/Analysis & Production and NIPB: See Section 2, Missions/Functions/Purposes.

(5) EXDIR/ICA: See Section 2, Missions/Functions/Purposes.

(6) Intelligence Community Chief Information Officer (IC/CIO): The IC/CIO oversees the IC's information technology and information security programs and is responsible for ensuring compliance with DCIDs addressing these issues. Among the IC/CIO's responsibilities is infrastructure assurance planning under the auspices of Presidential Decision Directive 63 (PDD-63).

(7) Administration (Admin): Assists the EXDIR/ICA with CMS's administrative functions.

(8) Advanced Technology Group (ATG): The ATG provides executive management of Community advanced research and development.

(9) Requirements, Plans, and Policy Office (RPPO): RPPO addresses planning and policy for the IC, emphasizing information operations; counterintelligence and security; workforce issues (including the Special Assistant for Diversity); intelligence capabilities policy; policy support; Hard Target requirements coordination; and other requirements and plans.

(10) Resource Management Office (RMO): RMO oversees the development of CBJBs. RMO also prepares congressional testimony and responses to Congressionally-Directed Actions (CDAs) and Questions for the Record (QFR). The office is responsible for program integration, budget and execution reviews, and the implementation of the IC Budget Information Systems (ICBIS).

(11) Program Assessment and Evaluation Office: PA&EO administers CMS' oversight functions, including conducting MAAs and other studies and assessments. PA&EO prepares the DCI Intelligence Guidance and conducts the Intelligence Program Objective Memorandum (IPOM) (the IC's programming process that identifies the funding objectives for the two-year budgeting cycle) review process on behalf of the DDCI/CM and the EXDIR/ICA. The office performs other program evaluation functions, including independent cost analyses of major acquisitions through the Cost Analysis Group. PA&EO also houses the IPRG secretariat.

5. Formal National Security Process Involvement.

			Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
Products		DCI Strategic Intent	✓						
		Congressional Budget Justification Book (CBJB)							✓
		DCI Intelligence Guidance			✓				
		Intelligence Program Decision Memorandum (IPDM)							✓
		Intelligence Program Budget Decision (IPBD)							✓
		DCI Directives (DCIDs)		✓					
		Mission Area Assessments (MAAs)					✓	✓	
		Independent Cost Analyses						✓	
		Annual Report on Intelligence Community					✓		
Roles	DCI	IC Head	✓	✓	✓	✓	✓	✓	✓
		Principal Intel Advisor	✓	✓	✓				
		CIA Head	✓	✓	✓	✓	✓	✓	✓
		IC/PC Chair	✓	✓	✓				
		NFIB Chair					✓		
		E/DRB Co-Chair							✓
		NSC PC Member	✓						
	DDCI	CIA Oversight	✓	✓	✓	✓	✓	✓	✓
		DCI Role (in DCI's Absence)	✓	✓	✓	✓	✓	✓	✓
		IC/DC Chair		✓	✓				
		NFIB Vice Chair					✓		
		NSC DC Member	✓	✓					
	DDCI/CM (ExDir/ICA)	IC Management	✓	✓	✓	✓	✓	✓	✓
		CMS Management	✓	✓	✓	✓	✓	✓	✓
		ADCI/Collection			✓	✓	✓		
		ADCI/Analysis & Production			✓	✓	✓		
		IPRG Chair						✓	✓

A. Strategy Development:

  (1) Major Activities: Develops DCI Strategic Intent; participates in NSC Principals and Deputies Committees and Interagency Working Groups (IWGs); manages IC/PC and IC/DC.

  (a) DCI Strategic Intent: A major innovation of the DDCI/CM, the Strategic Intent, a classified document, articulates the DCI's vision for the future. The 1999 version depicts a unified IC brought together by the best use of advanced technologies.[32]

  (b) NSC Principals and Deputies Committees: The DCI and DDCI serve as representatives on these bodies that address national security strategy. ODCI elements provide staff support in the form of talking points, briefings, and issue papers.

  (c) IWG participation: The ODCI participates in NSC IWGs on a variety of topics. When major issues are discussed, the ODCI (through CMS) develops an initial position on behalf of the DCI and staffs it throughout the community, consolidating comments and developing a final position. Depending on the issue and the representation required various ODCI representatives could participate.[33] ODCI elements provide staff support in the form of talking points, briefings, and issue papers.

  (d) IC/PC and IC/DC: These committees, managed and staffed by the ODCI, serve the senior advisory bodies advising the DCI on intelligence policy and planning, needs management and evaluation, and decisions affecting NFIP programs. The IC/PC and IC/DC Committees serve as the principal mechanism through which major policy issues affecting the IC are addressed. ODCI elements provide staff support in the form of talking points, briefings, and issue papers.

  (2) Major Stakeholders: President, NSC, DoD, and IC Component Agencies.

  (3) Key ODCI Processes: IC/PC and IC/DC.

  (4) Associated Higher-Level Processes: NSC Principals and Deputies Committees.

  (5) Associated Lower-Level Processes: DCID development, CPBS guidance, IPOM development.

B. Policy, Guidance, and Regulation:

  (1) Major Activities: Develops and issues DCIDs; manages IC/PC and IC/DC.

  (a) DCID Development: CMS' Requirements, Plans, and Policy Office (RPPO) helps formulate DCI policy and disseminates it through DCID development. RPPO (and now the IC/CIO's office) develop DCIDs in a variety of policy areas, including personnel

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[32] CIA, DCI Annual Report, May 1999, p. 2 (Introduction).

[33] CMS staff cited the development of Presidential Decision Directive 63 (PDD 63) as an issue on which it was heavily engaged at the interagency level on the DCI's behalf. Interview with CMS staff, October 4, 1999.

management, information technology and physical security, communications, infrastructure assurance and information operations, and space. RPPO drafts the DCID and coordinates it through relevant community officials before submission to the DCI.

(b) IC/PC and IC/DC Committees: See Section A, Strategy.

(2) Major Stakeholders: IC Component Agencies.

(3) Key ODCI Processes: DCI Strategic Intent; IC/PC and IC/DC participation and support; NICB and NIPB participation and support.

(4) Associated Higher-Level Processes: Support to strategy development in an interagency context.

(5) Associated Lower-Level Processes: IPOM preparation; issue/alternative development.

C. Planning:

(1) Major Activities: Prepares and disseminates the DCI Intelligence Guidance; manages IC/PC and IC/DC; manages NICB and NIPB.

(a) DCI Intelligence Guidance Preparation: CMS plays a key role in developing the Joint Intelligence Guidance, which provides integrated planning and programming guidance for the NFIP.[34]

During the late fall and early winter months, CMS gathers community inputs and performs analyses needed to formulate the direction to be taken in the DCI Intelligence Guidance. CMS then develops a "for comment" draft version of the guidance document, which reflects the inputs and analyses and is then jointly issued to NFIP and JMIP program managers and Service and Defense Agency intelligence headquarters. The draft Guidance provides initial guidance on policy, requirements, and priorities; gives preliminary fiscal guidance on anticipated funding levels for NFIP programs; and provides important information on the DCI's priorities at an early stage of the program building process. With the receipt of comments, CMS prepares the final version of the Guidance that is then issued to the NFIP program managers by the DCI. The final version gives direction and guidance to those addressing NFIP programming actions.

The DCI Intelligence Guidance reflects the IC's use of mission-based budgeting in the CPBS. The MBB process consists of four major steps: determination of missions; determination of intelligence contribution and capabilities required; associating capabilities with missions; and translating mission-based data to budgets. The MBB approach aims to determine how intelligence contributes to the accomplishment of specific missions; to identify the specific

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[34] Throughout the mid-1990s, the NFIP and DoD's non-NFIP programs (the Joint Military Intelligence Program (JMIP), and the Tactical Intelligence and Related Activities (TIARA)) had been viewed as so highly interrelated as to lead to the issuance of joint intelligence guidance by the DCI and the Deputy Secretary of Defense (DepSecDef). This practice was discontinued in 1997. Interview with CMS staff, November 16, 1999.

intelligence capabilities that make such contribution; and to link those capabilities to the investment made to create and maintain the capabilities.[35]

    (b) IC/PC and IC/DC Committees: See Section A, Strategy.

    (c) NICB and NIPB: The ODCI chairs and staffs these boards, which provide strategic planning for collection, analysis and production capabilities. These boards meet approximately quarterly and address many of their major concerns in interagency working groups designed to develop recommendations for collection, analysis, and production strategies.

    (2) Major Stakeholders: IC Component Agencies.

    (3) Key ODCI Processes: CPBS (planning phase); IC/PC and IC/DC Committees; collection, analytical, and production management through the NICB and NIPB.

    (4) Associated Higher-Level Processes: DCI Strategic Intent development; NSC Principals and Deputies Committees.

    (5) Associated Lower-Level Processes: CPBS (programming, budgeting, and execution phases); Mission Area Assessments; other technology-oriented studies and assessments; independent cost assessments.

  D. Mission Execution:

    (1) Major Activities: Manages support to collection, analysis, production, and dissemination on designated Hard Targets; coordinates collection, analysis, production, and dissemination in support of defined national security missions.

    (a) Hard Target Support: CMS' RPPO serves as the main integrator and disseminator of requirements for designated Hard Targets. The Hard Target Executive Board, consisting of representatives from the major intelligence agencies, determines collection requirements against those countries and assets determined to be of the highest intelligence priority to meet a specified intelligence mission.

    (b) Collection Management: Through the ADCI for Collection, the ODCI ensures an appropriate allocation of collection assets against critical developments by coordinating strategies for imagery, signals intelligence, and measures and signatures intelligence against key collection targets; ensures that collection managers have adequate contingency plans in place to collect in crisis situations.[36]

    (c) Analysis and Production Management: Through the ADCI for Analysis and Production, ODCI ensures that the IC's production posture against Hard Target countries meets customer needs; and develops specific actions to address analytical shortfalls discussed in the Future of Intelligence Analysis.

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[35] JMITC, p. 120.

[36] CIA, DCI Annual Report, May 1999, p. 3 (Introduction).

(d) Dissemination Management: Through the IC/CIO and RPPO, the ODCI manages the implementation of policies, procedures, processes, and technology to assure the effective dissemination of intelligence according to defined priorities.

(2) Major Stakeholders: President, NSC, DoD, State Department, and IC Component Agencies.

(3) Key ODCI Processes: Collection, production, analysis, and dissemination management.

(4) Associated Higher-Level Processes: DCI Strategic Intent development; associated DoD processes.

(5) Associated Lower-Level Processes: MAAs; other technology-oriented studies and assessments; IC Component Agency collection, production, analysis, and management strategies.

E. Observation, Orientation, and Oversight:

(1) Major Activities: Prepares an annual review of the elements of the IC in order to determine success in meeting intelligence requirements; conducts MAAs on IC support to the defined national security missions; conducts other studies related to technology performance; manages the Hard Target Joint Review; and manages Integrated Collection Management Task Force.

(a) Annual Report: CMS prepares an annual report on the IC's major accomplishments that fulfills several oversight and observation requirements (including the submission of an annual report on IC activities to the Congress).[37] To prepare this report, CMS collects inputs from agencies throughout the IC; no analysis or evaluation is performed.[38]

(b) MAAs: A particular suite of assessments performed by CMS' PA&EO, MAAs are directly tied to the adoption of MBB under the CPBS. MAAs focus on identifying relationships between projects and technologies on the one hand and the accomplishment of defined national security missions on the other. One interviewee described the ultimate goal of these assessments as defining a return on investment for IC "dollars."[39]

(c) Other Studies and Assessments: Other studies performed by PA&EO focus on technology adopted by the IC and how well that technology meets intelligence needs as defined through various community processes. Both MAAs and these technology-focused studies result in briefings and reports presented to senior IC leadership individually or collectively through the IC/PC and/or IC/DC.

(d) Hard Target Joint Review: Led by the DDCI/CM, this review process involves representatives from across the IC brought together to assess the effectiveness of the IC's assets in generating needed intelligence on designated "hard targets." The NICB and

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37   Title VIII, Intelligence Renewal and Reform Act of 1996, Section 805.

38   Interview with CMS staff, November 16, 1999.

39   Interview with CMS staff, November 16, 1999.

NIPB are both active in assessing the Hard Target Executive Board's strategies and executing after-actions stemming from the Joint Review.

(e) **Integrated Collection Management Task Force:** Chaired by the ADCI for Collection, the Task Force has as its primary charter the development of a plan to overhaul the current stovepipe intelligence collection management system.[40]

(2) **Major Stakeholders:** Congress; NSC; OSD; IC Component Agencies.

(3) **Key ODCI Processes:** MAA development; Program Reviews for the IPRG and the E/DRB; ad hoc studies and analyses; collection management.

(4) **Associated Higher-Level Processes:** CPBS (planning phase).

(5) **Associated Lower-Level Processes:** CPBS (programming, budgeting, and execution phases), IPOM submissions.

F. Preparation:

(1) **Major Activities:** Manages CAG, producing independent cost analyses of proposed major acquisitions; and develops MAAs and other studies and analyses.

(a) **CAG:** The CAG, modeled on OSD's Program Analysis and Evaluation Cost Analysis and Improvement Group, provides the DCI with independent cost analysis to assist in major acquisition decisions.[41] The independent cost assessments that result are generated by a dedicated, professional core of cost analysts under the direction of PA&EO's director.

(b) **MAA:** See Section E, Observation, Orientation, and Oversight.

(c) **Other Studies and Assessments:** See Section E, Observation, Orientation, and Oversight.

(2) **Major Stakeholders:** IC component agencies; NSC; Congress.

(3) **Key ODCI Processes:** Program evaluation and assessment; acquisition support.

(4) **Associated Higher-Level Processes:** CPBS (planning phase).

(5) **Associated Lower-Level Processes:** CPBS (programming, budgeting, and execution phases), IPOM submissions.

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[40]   CIA, DCI Annual Report, May 1999, p. 3 (Introduction).

[41]   See section entitled Program Analysis and Evaluation Directorate in the volume entitled Department of Defense for a description of the CAIG process.

G. Resourcing:

(1) Major Activities: (See Appendix 1 for process map) Co-chairs IPRG; conducts program reviews; conducts program crosswalks (special programmatic and budgetary reviews) between two or more NFIP and/or non-NFIP component programs; conducts DCI/DoD Joint Topical Reviews; manages and participates in IPRG issue and study teams; manages and participates in E/DRB meetings; prepares and issues IPDM; conducts budget reviews; prepares and issues IPBD; submits NFIP budget to President; prepares and issues CBJB.

(a) IPRG: CMS, through the EXDIR/ICA, co-chairs and staffs the IPRG, which reviews priorities, analyzes issues, and investigates funding options. Co-chaired by the DASD (I&S), IPRG representation includes the Vice Chairman of the NIC; USD(P), USD (A&T), USD (C), D/PA&E, and the C4I Integration Activity (CISA); the JCS (J-2 and J-8) and the operations and intelligence components of the Services; Office of Management and Budget (OMB), Department of State (State/INR), Department of Energy (DoE), and Federal Bureau of Investigation (FBI) representatives; representatives from the major intelligence agencies; and other representatives on an ad hoc basis depending on the issue reviewed.

(b) Program Reviews: In May-June (16-17 months prior to budget execution), CMS' RMO reviews the IPOM submissions on behalf of the ODCI. RMO's program monitors determine what issues need to be addressed during the program reviews. Generally each program will provide an overview of their IPOM, showing consistency with the DCI Intelligence Guidance. The reviews focus on the following topics: the feasibility of proposed new projects and operations; evidence of tradeoffs to accommodate priority projects; and identification of any potential redundancies. The information the reviews generate is used to prepare issue and decision papers for senior IC managers, either individually or as a body through the IC/PC and/or IC/DC.[42]

(c) Program Crosswalks: Crosswalks (special programmatic and budgetary reviews) are performed in the June-July period (16-15 months before budget execution) between two or more NFIP and/or non-NFIP component programs whose interests overlap and where close coordination is necessary. RMO program monitors work with their NFIP and non-NFIP counterparts to determine projects for crosswalks. Following internal coordination, RMO produces a final list for each program crosswalk.[43]

(d) DoD/DCI Joint Topical Reviews: Conducted during April-August (18-14 months prior to budget execution), these senior-level reviews, hosted by the DCI and the Deputy Secretary of Defense, focus on three to four selected IC topics. Similar reviews may be called for by the DDCI/CM or the EXDIR/ICA, focusing on seven to eight topics.[44]

(e) IPRG Issue and Study Teams: During the June-October period (16-12 months before budget execution), the IPRG meets on a regular basis to receive briefings on major issues prepared by its supporting issues and study teams. For these issues, a written summary of the IPRG's discussion is prepared by the CMS component serving as the IPRG Secretariat. A report describing the issue, the alternatives, and the key points raised by the IPRG

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[42] JMITC, p. 129.

[43] JMITC, p. 129.

[44] JMITC, p. 129.

members is then forwarded to the DCI and the Deputy Secretary of Defense for their consideration. For minor issues, an Issue Decision Book, representing the findings of the IPRG's supporting issues teams, is assembled and provided to IPRG members, who vote on the alternatives by secret ballot. The tabulated results and the book itself are then forwarded to the DCI and the Deputy Secretary of Defense.

The DCI and the Deputy Secretary of Defense jointly resolve the issues raised in the Issue Decision Book, with the decisions captured as IPDMs (for the NFIP agencies).[45]

(f) E/DRB meetings: The E/DRB is also used as a venue for discussing and resolving issues. The DCI and the Deputy Secretary of Defense meet privately after the E/BRD's deliberations in late July – early August (15-14 months before budget execution) to consider the board's recommendations. They then resolve any remaining issues and make final decisions on the major issues for the NFIP (DoD portion), JMIP, and TIARA. [46]

(g) IPDM: Following the deliberations of the IPRG and E/DRB, the DCI's decisions on the NFIP IPOMs are recorded and submitted to the NFIP program managers in the form of IPDMs, establishing the programmatic baseline for NFIP. [47]

(h) Budget Reviews: With the submission of the Intelligence Budget Estimate Submissions (IBES), RMO initiates budget reviews, or "hearings," in the mid-September – October timeframe (12-11 months prior to budget execution). These hearings are formal meetings at which NFIP agencies present and justify their IBESs to RMO, the Office of Management and Budget (OMB), OSD, and other relevant attendees. These reviews aim to gather information for making budget assessments in terms of compliance with program decisions.[48]

(i) IPBD: The DCI's final budget decisions are recorded in forms compatible with respective departmental budgets. For the DoD-NFIP programs, these decisions are issued as IPBDs.[49]

(j) Submission of NFIP Budget to the President: In November (11 months prior to execution), the DCI forwards the NFIP budget to the President for consolidation into the overall budget.

(k) CBJB: In early February (8 months prior to execution), the DCI forwards the CBJBs prepared by RMO, providing written support for the testimony of the DCI, the NFIP program managers, and others called to testify during the authorization and appropriation processes.[50]

(2) Major Stakeholders: President, OSD (ASD [C3I], PA&E), Joint Chief of Staff (J-8), Military Services, IC Component Agencies, OMB, and Congress.

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45 JMITC, p. 130.
46 JMITC, p. 130.
47 JMITC, p. 130.
48 JMITC, p. 138.
49 JMITC, p. 138.
50 JMITC, p. 139.

(3) Key DCI Processes: CPBS (programming and budgeting phases).

(4) Associated Higher-Level Processes: CPBS (planning phase), IPOM submissions.

(5) Associated Lower-Level Processes: CPBS (execution phase).

6. Informal National Security Process Involvement. Although several formal national security-related processes exist in the IC, much of the ODCI's business is conducted informally. ODCI staff elements continually produce briefings, talking points, questions and answers, and testimony as a result of ad hoc requests from the DCI and other senior IC officials. Informal, issue-oriented working groups associated with the NSC's IWG, IC/PC, IC/DC, and other senior-level bodies involve the generation of the same types of products on an ad hoc basis. For Congress, CDAs and QFRs are addressed as they are presented to the DCI for action. Even within the structure of CPBS, the ODCI interacts extensively with its counterparts in an informal manner before, during, and after the scheduled program and budget reviews.

7. Funding and Personnel.

A. Authorization and Appropriations: For authorization, the primary legislative committees are the HPSC(I), the SSC(I), and the House Armed Services and Senate Armed Services Committees. Appropriations are addressed by the National Security Subcommittee of the House Appropriations Committee and the Defense Subcommittee of the Senate Appropriations Committee.

B. Funding Sources: Funded from NFIP appropriations; community functions funded out of the Community Management Account (CMA).

C. Budget: Part of the overall CIA budget (classified).

D. Manpower: Publicly available estimates put the size of the CMS staff at approximately 250.

8. Observations.

A. The majority of those interviewed indicated that while the IC functions extremely well as a community in a crisis, in day-to-day operations full collaboration is generally in short supply. Stovepiping remains an IC reality in practice, but it is a function of culture rather than organization. Organizational change alone will thus meet limited success.

B. Having the DCI focus only on community issues is not desirable, interviewees indicated. The DCI needs a powerful agency not only to staff functions, but also to provide needed credibility with the President and Congress.

C. A full sense of community can be achieved within existing authorities and under the current operating structure if the DCI demonstrates a robust interest in community-wide affairs and does not become overly focused on his or her CIA role. This demonstrable interest will go a long way towards dispelling the widespread community view that the DCI is a captured pawn of

the CIA. With the creation of the DDCI/CM position (and the supporting ADCIs for Collection, and for Analysis and Production), the DCI now has the staff support — both in terms of numbers and quality—to be an effective community leader if the will to do so is indeed there.

D. Two of the primary values of the organization—fostering collaboration across the community while maintaining a sense of independence—create a level of tension that interviewees found to be healthy. While the policy and planning functions encourage cooperation, those performing the resource and evaluation functions strive to be seen as honest brokers in conducting their activities.

E. Informal processes and products dominate how the IC conducts its business. Much of the support, especially in the strategy and policy area, consists of working groups and individual staff producing issue papers, talking points, briefings, and congressional testimony in response to requests from supported offices and institutions.
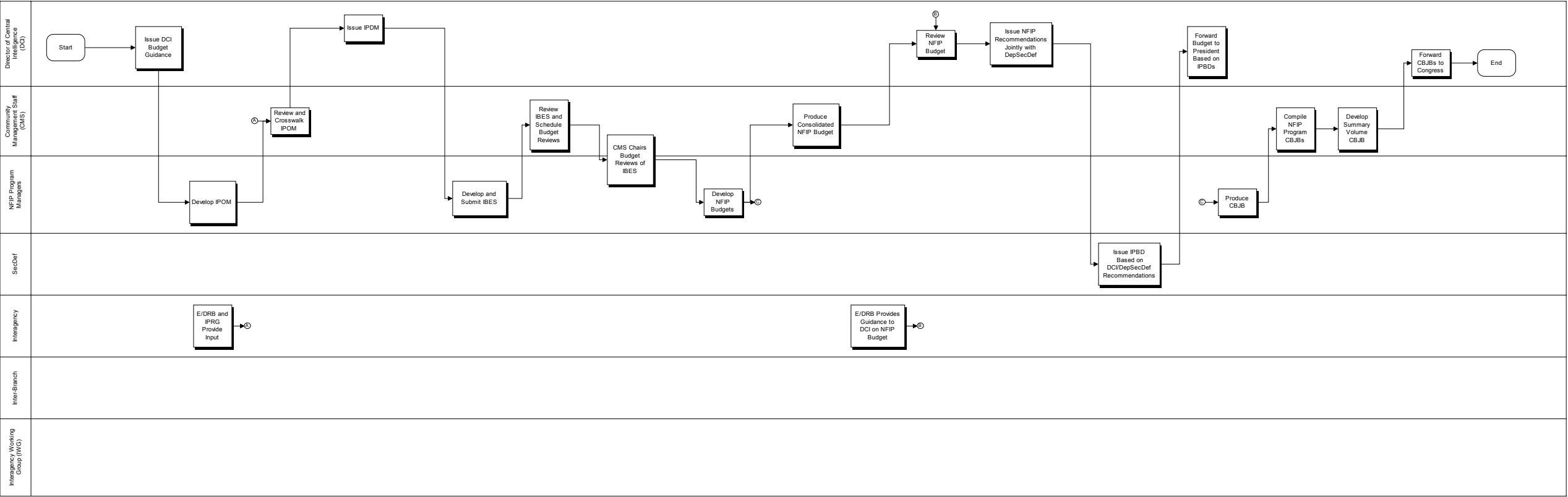
F. The current CMS staff, consisting of a blend of permanent staff and detailees, is reaching an overall equilibrium of needed talent, although the staff quality remains mixed across functions. The continued presence of detailees fosters a sense of collaboration, improves the level of expertise, and provides community agencies with a sense of having a seat at the CMS table.

G. Those interviewed indicated that, with the advent of the IC/CIO's office and DCI's commitment to technology investments, an Assistant DCI for Dissemination would not be required to improve the community's dissemination record.

H. Cooperation between the IC and the law enforcement community has improved significantly over the past several years (particularly in support of counterintelligence investigations and criminal prosecutions). Law enforcement community detailees now support the Counterterrorism Center and the Crime and Narcotics Center. Interviews, however, indicate that the flow of information remains largely one-way (IC to the law enforcement community).

APPENDICES

DCI - Key Process - (Formal) - Resourcing - Capabilities Programming and Budgeting System (CPBS)

Director of Central Intelligence (DCI)	Start → Issue DCI Budget Guidance ... Issue IPDM ... Review NFIP Budget → Issue NFIP Recommendations Jointly with DepSecDef ... Forward Budget to President Based on IPBDs ... Forward CBJBs to Congress → End	
Community Management Staff (CMS)	Review and Crosswalk IPOM ... Review IBES and Schedule Budget Reviews ... Produce Consolidated NFIP Budget ... Compile NFIP Program CBJBs → Develop Summary Volume CBJB	
NFIP Program Managers	Develop IPOM ... Develop and Submit IBES ... CMS Chairs Budget Reviews of IBES ... Develop NFIP Budgets ... Produce CBJB	
SecDef	Issue IPBD Based on DCI/DepSecDef Recommendations	
Interagency	E/DRB and IPRG Provide Input ... E/DRB Provides Guidance to DCI on NFIP Budget	
Inter-Branch		
Interagency Working Group (IWG)		

CBJB - Congressional Budget Justification Book
E/DRB - Expanded Defense Resources Board
IBES - Intelligence Budget Estimate Submission
IPBD - Intelligence Program Budget Decision
IPDM - Intelligence Program Decision Memorandum
IPOM - Intelligence Program Objective Memorandum
IPRG - Intelligence Program Review Group
NFIP - National Foreign Intelligence Program

Appendix 1

ORGANIZATIONAL DESCRIPTION

CENTRAL INTELLIGENCE AGENCY (CIA)

Prepared for the U.S. Commission on National Security/21st Century

EXECUTIVE SUMMARY

The Central Intelligence Agency

Overview.

The Central Intelligence Agency was created in 1947 with the signing of the National Security Act by President Truman. The National Security Act called for the appointment of a Director of Central Intelligence (DCI) charged with coordinating the nation's intelligence activities. The DCI serves as head of the United States Intelligence Community, as principal advisor to the President for Intelligence matters related to National Security, and as head of the Central Intelligence Agency (CIA).[1]

The CIA is an independent agency, responsible to the President through the DCI, and accountable to the intelligence oversight committees of the U.S. Congress. The Central Intelligence Agency's primary mission is to collect, evaluate, and disseminate foreign intelligence in order to assist the President and senior U.S. Government policymakers in making decisions related to national security. The Central Intelligence Agency does not make national security policy; it is an independent source of foreign intelligence information for those who do. The overarching goal is to minimize the uncertainty for national security policy and decision makers.[2]

The CIA fulfills its mission to support the President, the National Security Council, and policymakers who develop and execute US national security policy by:

- Providing accurate, comprehensive, and timely foreign intelligence on national security topics; and by

- Conducting counterintelligence activities, special activities, and other functions related to foreign intelligence and national security, as directed by the President.

Organization.

The Central Intelligence Agency is headed by the DCI, who is nominated by the President and confirmed by the Senate. The Director has two primary responsibilities: first, as the Director of the CIA; second, as the head of the Intelligence Community (IC).[3] This report will focus on the DCI's role as Director of the CIA, and will discuss the CIA's role in supporting the DCI in this capacity. However, it will also note those instances when roles or supporting functions are not easily separated and those cases in which the CIA can have significant impact on the national security process by its support to the DCI in both primary responsibilities.[4]

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1   http://www.odci.gov/cia/information/info.html.

2   http://www.odci.gov/cia/public_affairs/faq.html.

3   For a discussion of the DCI's role as head of the IC, see the section in this volume entitled Office of the Director of Central Intelligence.

4   See the section in this volume entitled the Office of the Director of Central Intelligence for a discussion of the roles and responsibilities of the DCI as the Head of the Intelligence Community.

The DCI is assisted by a Deputy Director (DDCI), an Executive Director (EXDIR), and a Deputy EXDIR. Each of these positions requires Senate confirmation and approval. The DDCI assists the Director in his duties as the head of the CIA and the Intelligence Community. He exercises the powers of the DCI in the Director's absence or when the Director's position is vacant. The EXDIR manages the CIA on a day-to-day basis. He is effectively the Agency's Chief Operating Officer, charged with formulating and implementing policies and programs that affect the agency's corporate interests, including budget and resources, strategic planning, and issues that affect the operations of the entire Agency. When the DCI or DDCI represent the IC before Congress or in Community fora, the EXDIR represents the Agency.

Four Assistant Directors who manage the four main functional or operational directorates assist the DCI.[5] Assistant Directors are nominated by the DCI and appointed by the President. The four directorates are:

- Directorate of Administration (DA)**,** which provides administrative support to the CIA in such areas as communications, security, human resources, and logistics;

- Directorate of Intelligence (DI), which is the analytical branch of the CIA and is responsible for the production and dissemination of all-source intelligence analysis on key foreign issues;

- The Directorate of Science and Technology (DS&T)**,** which creates and applies innovative technology to the intelligence collection mission; and

- The Directorate of Operations (DO), which is responsible for the clandestine collection of foreign intelligence.[6]

Role in Formal and Informal National Security Processes.

The CIA influences higher-level national security processes by providing authoritative intelligence estimates and analytic judgments and raising issues for decision makers to consider during strategy and policy development. The principal means by which the CIA formally influences and participates in the national security processes include:

- Production of various types of finished intelligence products; and

- Providing key judgments and recommendations.

The DI is the Director's executive agent for finished intelligence products used for policy and decision making. It can therefore be considered the principal component of the Agency involved in national security processes.[7]

The CIA can also influence national security through regularly scheduled intelligence testimony and briefings for Congressional Subcommittees on Intelligence. These presentations include a variety of current intelligence issue and topics as identified

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[5] The Assistant Directors are sometimes also referred to as Deputy Directors.

[6] www.odci.gov/cia/information/info.html.

[7] http://www.odci.gov.cia.mission/organization.html.

by the Committees. Frequently, the DCI or DDCI make these presentations. These briefings can influence the national security process in several ways, including resource allocation.[8]

The following matrix depicts the relationship of the CIA products and roles to the seven key national security processes identified by the U.S. Commission on National Security/21st Century.

		Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
Product	President's Daily Brief	✓	✓	✓	✓			✓
	Economic Executives' Intelligence Brief	✓	✓	✓	✓			✓
	Senior Executive Intelligence Brief	✓	✓	✓	✓			✓
	Regional Reviews	✓	✓	✓	✓			✓
	Terrorism Review	✓	✓	✓	✓			
	The Narcotics Monitor		✓	✓				
	Proliferation Digest		✓	✓				
	International Arms Trade Report		✓	✓				
	Special Intelligence Report	✓	✓	✓	✓			✓
	Intelligence Memorandum	✓	✓	✓	✓			✓
	Intelligence Report	✓	✓	✓	✓			✓
Roles	Provide Intelligence to Senior Policy Makers and Congress	✓	✓	✓	✓	✓	✓	✓

Strategy Development. The CIA supports the development of national security strategy by providing top-level analytic judgments and intelligence estimates on key regional issues or specific topics of concern to policymakers. The DCI or DDCI is often asked to present special briefings to Executive Branch strategy and policymakers, including the President, Vice President, the President's National Security Advisor and cabinet secretaries and their assistant secretaries *inter alia*. There is a regular formal process for providing intelligence to the President: the President's Daily Brief (PDB). This is the Agency's most important product. Although the CIA has an advisory and not a decision-making role, the PDB can directly (and relatively immediately) influence national security policy and strategy development.[9]

Policy, Guidance, and Regulations. As was the case in the CIA's role in strategy development, the Agency has a supporting role in policy development. Finished intelligence products, focused intelligence estimates, and the key analytical judgments made in these products influence policy, guidance and regulation decisions, even though the CIA does not have responsibility for policy making. The Agency is responsible for developing guidance in the form of recommendations based on the best available

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8   See the discussion of hearings in the volume entitled Congress for accounts of how Congress uses hearings to shape Administration national security perspectives and decisions.

9   Interview with senior CIA official, 29 November, 1999.

intelligence and all source analysis. U.S. Code Sec 403-3, requires the CIA to "correlate and evaluate intelligence related to the national security and provide appropriate dissemination of such intelligence" and "perform such other functions and duties related to intelligence affecting the national security as the President or the National Security Council may direct."[10] In fulfilling these requirements, the CIA influences the development of national security guidance and in some cases regulations. However, the CIA does not issue formal guidance or regulations, except for those prescribing management of internal CIA activities. (While guidance and regulations for IC management activities are promulgated as DCI Directives (DCIDs), they are released by the DCI in his role as the head of the Intelligence Community, not as the head of the CIA.)[11]

Planning. The CIA has a supporting role in planning and provides information to activities that prepare formal plans. This information includes up-to-date, accurate formal intelligence estimates that are key to developing viable plans.

Mission Execution. Effective mission execution requires continuous updates and the CIA is the primary intelligence agency responsible for providing timely and accurate intelligence to the policymakers and decision makers during crises. In this way the Agency supports mission execution even though it plays no role in actively directing operational forces.

Observation, Orientation, and Oversight. The CIA supports the DCI and the DCI's Assistant Directors for Collection and Analysis and Production in their oversight responsibilities for the CIA and within the IC.[12] The Agency is also responsible for observation and orientation of its own internal collection, analytical, and production processes, including quality control oversight for finished intelligence products. Additionally, the Fiscal Year (FY) 1997 Intelligence Authorization Act requires the DCI to submit an annual report to Congress. To respond to this requirement, Agency components perform oversight and review internal processes and accomplishments.

Preparation. The CIA leadership emphasizes the continuing development and training of Agency personnel. Each Directorate establishes internal training programs and monitors training progress. The Agency is designing a skills inventory and survey tool that will be used to gather and maintain a single database of Agency employees' skills. Managers will use the database to identify personnel to fill critical surge needs and to address skill-mix issues. The DI established Tradecraft 2000, a mandatory course for DI analysts and managers, to reinforce and enhance core analytical skills. The DO has a similar comprehensive training program.

Resourcing. Frequently, CIA analyses or intelligence estimates have implications that influence customer resourcing decisions. This influence can extend to the Executive Branch (including the Departments of Defense and State), Congress, and the IC (through the resourcing process managed by the DCI).[13] Occasionally, CIA officials may present testimony before

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[10] United States Code, Sec. 403-3.

[11] See the section in this volume entitled the Office of the Director of Central Intelligence for a discussion of the DCID process.

[12] For a description of the duties of the Assistant Directors, see the section in this volume entitled Office of the Director of Central Intelligence.

[13] See the section in this volume entitled the Office of the Director of Central Intelligence for a discussion of the resourcing process. See the section entitled Office of the Secretary of Defense in the volume entitled Department of Defense for a discussion of the Assistant Secretary of Defense (C3I)'s involvement in resourcing processes for DoD-related intelligence requirements.

Congressional committees on resource-related Intelligence issues. However, more frequently the CIA's influence on the resourcing process comes from the intelligence products and analytic judgments presented to decision makers. In this process, the CIA's role is purely supporting and not directive.

In addition to formal processes, informal processes are perhaps equally important to the CIA's ability to influence the development of national security strategy. On a frequent basis the DCI or other senior CIA officials are asked to present testimony at Congressional hearings or to provided special briefings on topics relevant to the IC or national security issues.

The DI and other CIA offices also help prepare the DCI for informal interagency meetings by providing intelligence estimates and analytic reports on relevant topics. In doing so, the CIA provides information and analytic judgments that support the DCI as the spokesperson for the IC, and it can influence the policy making process by providing important intelligence.

Observations.

The CIA produces a variety of intelligence products and its substantive scope is worldwide. It covers functional as well as regional issues, and its products range from quick-reaction, informal oral briefings to complex, long-term research studies that may take months to complete. Virtually all of CIA's finished intelligence supports national-level policy deliberations.[14]

The CIA enjoys an extraordinary level of access to the highest levels of Administration policymakers. Senior CIA officials interviewed for this report believe this degree of access is due to the excellent working relationship that exists between the DCI and the White House, and is founded on the CIA's professional competency. It is principally because of this relationship that the CIA is able to influence national security strategy and policy and to be effectively involved in the policy development process. The White House-CIA relationship is of the highest importance to the DCI, and he actively works to maintain and improve it.

The DI requires greater interaction with outside experts to meet the broad and complex analytic challenges it faces in the future. It must position itself to compete in a new information age in which consumers increasingly will have ready access to alternative sources of high-quality data and expertise.[15]

The CIA has a very strong program directed at improving the Agency's internal capabilities. The current DCI's "Strategic Direction Program" stresses expertise-building. The program is to improve communications and operational effectiveness among the four main directorates and to make significant improvements in recruiting and training of new personnel. Developing fully qualified intelligence analysts and providing an environment that is conducive to retaining these highly qualified individuals are the key focuses of the Director's personnel strategy. [16]

"Enabling," which is defined as efforts to make better use of technology in the production and dissemination of intelligence products, is another key component of the DCI's Strategic

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14   CIA Publication, A Consumer's Guide To Intelligence, dated July 1995.

15   http://www.odci.gov/cia/di/undiplan/outreach.html.

16   Based on comments made during interviews of senior CIA officials in November 1999.

Direction Plan. Achieving complete electronic connectivity in the IC and being able to disseminate all products electronically, with the appropriate safeguards and controls, is a long-term strategic goal.

ORGANIZATIONAL DESCRIPTION

THE CENTRAL INTELLIGENCE AGENCY

1. Legal Specifications, Authorizations and Responsibilities.

    A. Authorizing Statutes:

        (1) The Central Intelligence Agency (CIA) was established by the National Security Act of 1947 Section 103(b) and amended by the National Security Act Amendments of 1949.

        (2) The Intelligence Organization Act of 1992, which became effective 1 October 1992, clarified and defined the roles, responsibilities, and authorities of the Director of Central Intelligence (DCI) as the head of both the Intelligence Community (IC) and the CIA.

    B. Department Directives: None.

    C. Interagency Directives:

        (1) Executive Order 12333: reaffirms and further defines the responsibilities of the CIA as set forth in the National Security Act of 1947 and the 1949 amendment to it. Presidential Decision Directive (PDD) 35 defines intelligence requirements and sets priorities for collection and analysis.

        (2) Intelligence Community Guidance: DCI guidance to the community is disseminated through the DCI Directives (DCIDs) that address intelligence collection, production, and dissemination. The DCID system is under revision at present and may change substantially in the near future.[17]

2. Missions/Functions/Purposes.

    A. Major Responsibilities: The CIA is responsible for supporting the National Intelligence Effort as directed by Executive Order 12333. This Order states: "The United States intelligence effort shall provide the President and the National Security Council with the necessary information on which to base decisions concerning the conduct and development of foreign, defense and economic policy, and the protection of U.S. interests from foreign security threats." The specific responsibilities assigned to the Central Intelligence Agency in support of this national intelligence effort are as follows:

        (1) Collect, produce and disseminate foreign intelligence and counterintelligence, including information not otherwise obtainable [Key Process Relations: Strategy Development; Policy, Guidance, and Requirements; Planning, Preparation, Resourcing];

        (2) Conduct counterintelligence activities outside the U.S. and, without assuming or performing any internal security functions, conduct counterintelligence activities within the U.S. in coordination with the Federal Bureau of Investigation (FBI)

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17   CIA. <u>Annual Report To Congress</u>, 1998.

(pursuant to procedures agreed upon (by) the DCI and the Attorney General); coordinate counterintelligence activities and the collection of information [Key Process Relations: Policy, Guidance, and Regulation; Observation, Orientation, and Oversight; Planning; Resourcing];

(3) Support the DCI in his responsibility to develop objectives and guidance for the IC to enhance Community capabilities for responding to future needs for national foreign intelligence [Key National Security Process Relation: Strategy Development; Policy, Guidance, and Regulation; Planning, Preparation, Resourcing];

(4) Support the DCI in providing overall direction for national intelligence collection by human intelligence sources as authorized by the IC and in coordination with other authorized Government agencies, and ensure that the most effective use is made of resources with the minimal amount of risk [Key National Security Process Relation: Strategy Development; Policy, Guidance, and Regulation; Planning, Preparation, Resourcing];

(5) Correlate and evaluate intelligence related to the national security and disseminate appropriately [Key National Security Process Relation: Strategy Development; Policy, Guidance, and Regulation; Observation, Orientation, and Oversight; Planning; Resourcing];

(6) Perform additional services of common concern to the IC, when the DCI determines those services can be accomplished more efficiently if centralized [Key National Security Process Relation: Potentially all]; and

(7) Perform such other functions and duties related to intelligence affecting the national security as the President or the National Security Council may direct [Key National Security Process Relation: Potentially all]. [18]

B. Subordinate Agencies and Activities: The CIA exercises authority, direction, and/or control over the following DCI activities:

(a) The DCI Environmental Center, a focal point for all Intelligence Community activities related to environmental issues;

(b) The DCI Crime and Narcotics Center that monitors, assesses, and disseminates information on international narcotics trafficking and international organized crime;

(c) The DCI Nonproliferation Center, a focal point for all IC activities related to nonproliferation;

(d) The DCI Counterterrorist Center, which is the IC's focal point for intelligence related to international terrorism;

(e) The National Human Intelligence (HUMINT) **Requirements Tasking Center,** which coordinates IC HUMINT collection requirements and evaluation of collection activities; and

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18   Responsibilities of the CIA are specified in EO 12333 and United States Code Sec.403-3.

(f) The Counterintelligence Center, a focal point for and coordination of IC activities related to counterintelligence.

C. Major Products:

(1) General: The DI delivers finished intelligence information and analysis to U.S. policymakers in a variety of forms. DI intelligence analysis may be delivered as written reports, oral briefings, or other forms tailored to the needs of individual consumers. The DI produces a large volume of individual intelligence products, including quick-reaction papers, and in-depth analyses.   Most of these respond to specific requests by intelligence consumers.

The DI supports a wide range of intelligence consumers responsible for U.S. foreign policy and national security, including the President, Vice President, Cabinet officers, the National Security Council, sub-cabinet officials, and several Congressional Committees. Other consumers include the FBI, U.S. Customs Service, and the Drug Enforcement Agency (DEA). The DI also provides ongoing intelligence support to diplomatic negotiations and military operations.[19]

(2) Daily Intelligence Products: The DI's flagship products are its daily publications. Because of the sensitive nature of the information, these publications are highly classified and made available only to a select group of senior officials. These products are specifically tailored to consumer needs and are intended to support policymakers on a day-to-day basis. They also focus on new developments and potentially dangerous future situations. They provide analysis of these situations, related background information, and assess their significance.[20] Daily products include:

(a) President's Daily Brief (PDB): This document is prepared six days a week, and contains intelligence reports of the highest significance designed to assist the President in performing his national security duties. It is distributed only to the President, Vice President, and a select group of executive branch officials designated by the President.[21] According to senior CIA officials, this is the Agency's most important product and provides intelligence information that can directly influence national security strategy and policy development.[22]

(b) Senior Executive Intelligence Brief (SEIB): This document is produced in coordination with other intelligence agencies and contains key current intelligence items. It has replaced the National Intelligence Daily (NID). It is produced six days a week and is tailored to meet the information needs of senior officials throughout the government who are responsible for U.S. national security policy. Intelligence reports from this publication are regularly sent to major U.S. military commands and selected U.S. diplomatic posts overseas.[23]

(c) Economic Executives' Intelligence Brief (EEIB). This document is prepared five days a week and is designed to serve the intelligence needs of senior economic

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19   http://www.cia.gov/di.html.
20   http://www.cia.gov/di.html.
21   http://www.cia.gov/di.html.
22   Interview with senior CIA official, 29 November, 1999.
23   http://www.cia.gov/di.html.

policy officials. EEIB topics include foreign trade practices, illicit finance, and international energy developments.[24]

        (3) Serial Publications and Situation Reports: The DI also produces a variety of classified serial publications and situation reports that address more specialized topics, policy issues, or key countries. These publications are classified and disseminated to a designated group of officials and include:[25]

        (a) Regional Reviews: These are periodic assessments (ranging from daily to monthly) of foreign political, economic, military, and societal issues relevant to U.S. policy interests. They are published by the DI's regional analytic offices.

        (b) Terrorism Review: This is a monthly publication produced by the DCI's Counterterrorist Center and addresses current trends in international terrorist activity and methods.

        (c) Narcotics Monitor: This document is published weekly by the DCI's Crime and Narcotics Center. It assesses developments related to narcotics worldwide.

        (d) Proliferation Digest: This document is published periodically by the DI, and all DI components contribute to its content.

        (e) International Arms Trade Report: This document is published bimonthly by the DI's Office of Transnational Issues.

        (4) Research Studies: The DI also produces numerous medium and long-term research studies on key foreign countries and transnational issues. There are three types of intelligence research monographs. All are classified and intended for use by designated officials. These reports are:[26]

        (a) Special Intelligence Report (SIR): These reports provide senior policymakers with brief, highly focused analyses of extremely important topics or events.

        (b) Intelligence Memorandum (IM): These serve the policymaking community's needs for brief but somewhat more detailed analyses of important issues.

        (c) Intelligence Report (IR): IRs provide all levels of the policymaking community written intelligence support, including basic research and information, responses to specific questions, situation reports, and briefing books.

3. Vision and Core Competencies.

      A. Vision: The CIA's published vision statement is "Our vision is to be the keystone of a U.S. Intelligence Community that is pre-eminent in the world, known for both the high quality of our work and the excellence of our people."[27]

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24   http://www.cia.gov/di.html.

25   Information an all serial publications derived from information found on http://www.cia.gov/di/work.html.

26   Information on all research publications derived from information found on http://www.cia.gov/di/work.html.

27   http://www.odci.gov/cia/information/mission.html.

B. Core Competencies: The CIA identifies five core competencies:

(1) Teamwork throughout the Agency;

(2) Total participation of an excellent and diverse work force;

(3) Continuous improvement in all that we do;

(4) Innovating and taking risks to get the job done; and

(5) Taking an active part in IC analytical efforts and producing all source analysis on the full range of topics that affect national security.[28]

4. Organizational Culture. Organizational culture typically refers to the values and beliefs evidenced in an organization in its day-to-day operations. It generally characterizes how the work is done, how the employees relate to each other, and how employees relate to others outside the organization. Effective teamwork is probably the single most important aspect of the relationship among employees at the CIA, and it is a primary objective of the leadership's personnel strategy. The DI in particular has published detailed guidance regarding the importance of effective teamwork. Part of this guidance includes a commitment to corporate behavior (defined as supporting the corporate agenda, accepting collective responsibility, constantly supporting colleagues, and seeking the views of team members during preparation).

A. Values: As an organization, the CIA has published two specific statements with regard to its principal core values.

(1) "We stand for intelligence that adds substantial value to the management of crises, the conduct of war, and the development of policy."

(2) "We stand for objectivity in the substance of intelligence, and a deep commitment to the customer in its form and timing."[29]

Other values that are a part of the CIA's organizational culture include personal and professional integrity, adaptability, and accepting accountability for actions.

B. Leadership Traditions: The DCI and each of the Assistant Directors exert significant influence and have extensive responsibility within the CIA. The overall effectiveness of the CIA depends on the DCI's ability to create and maintain close, effective, and highly trusted relationships with the most senior policymakers in the government. Without these relationships, the CIA as an organization would not have the access to the policymakers and the intelligence it produces would not influence their decisions and plans. The DCI and the Deputy Directors set the tone for the organization, and their personalities and focus areas of interest substantially affect what is done and how it is accomplished.

Top-level CIA leadership has significant authority and responsibility. Typically the leadership at levels below the DCI is composed of career intelligence officers, usually from the CIA, although the Deputy Director is often a military officer. [Traditionally, a senior military

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28   http://www.odci.gov/cia/information/mission.html.
29   http://www.odci.gov/cia/information/mission/html.

officer occupies one of the senior positions in the Agency; however, by law, only one of the top three Community positions (i.e., the DCI, the DDCI and the Deputy DCI for Community Management) can be a retired or active duty military officer at any given time.] [30]

C. Staff Attributes: The CIA cites certain qualities as desired staff attributes, including personal integrity, open mindedness, a willingness to be innovative in thinking and approach, and a personal commitment to the organization's mission. Senior officials interviewed noted that there is also a strong commitment to providing an environment that is conducive to developing and maintaining technical and professional expertise.[31]

D. Strategy: The DCI has a formal strategic plan, known as the DCI's Strategic Intent, first published in 1999. It is the vision for the future of the Community, and at its core, it envisions a unified IC brought together through the effective use of highly advanced technology. Additionally, the DI has published a strategic plan, known as the Strategic Plan for the Directorate of Intelligence in the 21st Century.[32] In fulfilling the vision of this plan, the DI has identified six major goals for the Directorate to pursue. These goals respond to national security concerns defined by the Executive Branch, as well as to criteria advanced by Congress. Achieving these goals will help the DI become the:

(1) Major provider of all-source analysis on issues of highest priority to our national security;

(2) Major all-source interface with key customers;

(3) Primary driver of collection to meet key customers' needs;

(4) Leading promoter and user of technology for collection, analysis, and delivery of intelligence;

(5) Model work force, diverse and highly skilled, in which all personnel are provided training and encouragement to achieve their potential in support of the DI mission; and

(6) Leader in constructive engagement with academia, business, and the U.S. public.

E. Organizational Structure: As a result of the dual roles and responsibilities of the DCI as head of the CIA and head of the IC, a complete organizational diagram of the CIA would include the activities that fall under the DCI in both roles.   To focus the description of the Agency's functions and organization, the following diagram has been
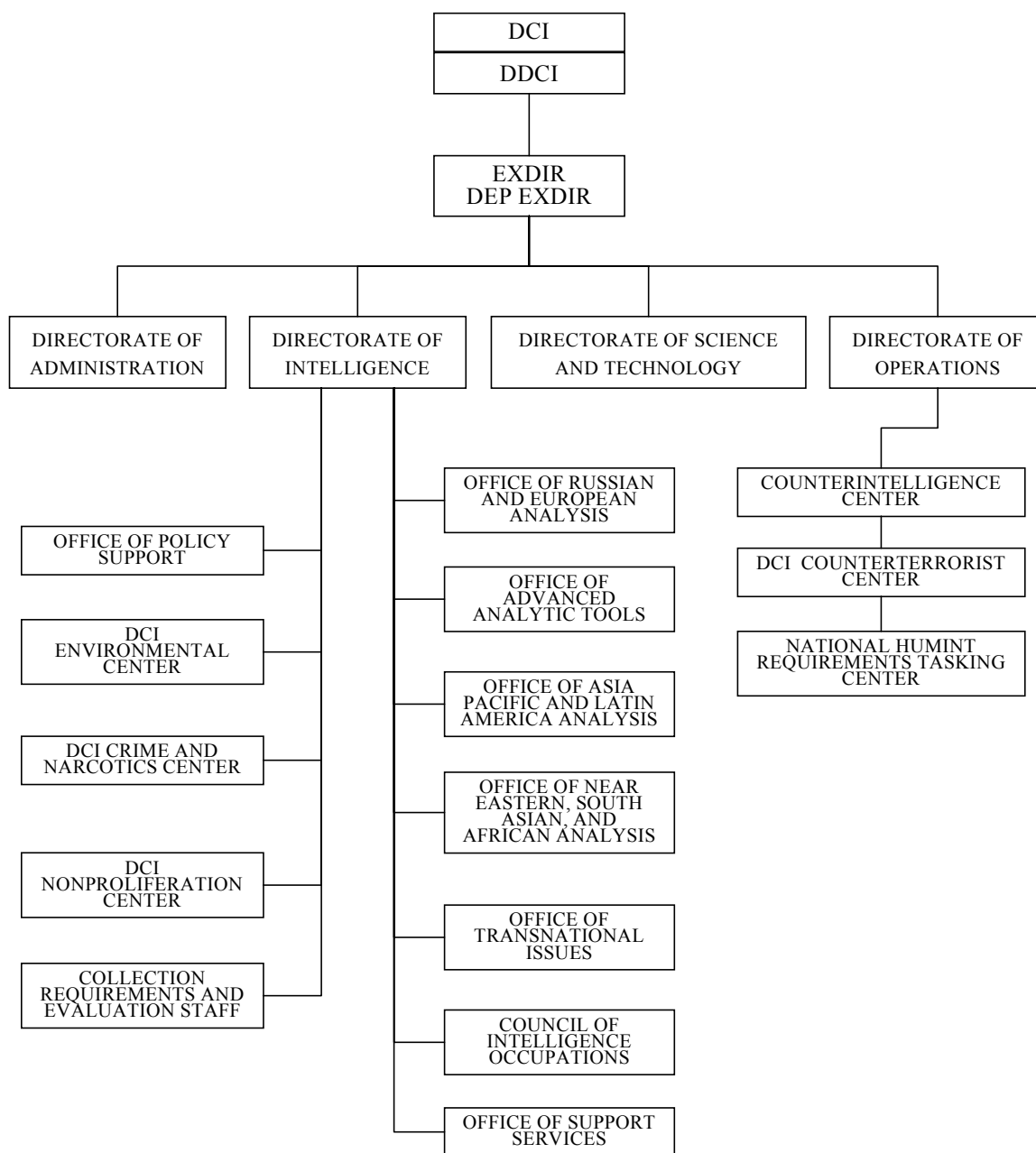
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30   The 1996 Intelligence Renewal and Reform Act.

31   Interview with senior CIA official, 29 November, 1999.

32   http://www.odci.gov/cia/di/undiplan/di_goals.html.

modified. It depicts only those components that are directly subordinate to the DCI as the Director of the CIA. [33]

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| DIRECTORATE OF ADMINISTRATION | DIRECTORATE OF INTELLIGENCE | DIRECTORATE OF SCIENCE AND TECHNOLOGY | DIRECTORATE OF OPERATIONS |

Directorate of Administration:
- OFFICE OF POLICY SUPPORT
- DCI ENVIRONMENTAL CENTER
- DCI CRIME AND NARCOTICS CENTER
- DCI NONPROLIFERATION CENTER
- COLLECTION REQUIREMENTS AND EVALUATION STAFF

Directorate of Intelligence:
- OFFICE OF RUSSIAN AND EUROPEAN ANALYSIS
- OFFICE OF ADVANCED ANALYTIC TOOLS
- OFFICE OF ASIA PACIFIC AND LATIN AMERICA ANALYSIS
- OFFICE OF NEAR EASTERN, SOUTH ASIAN, AND AFRICAN ANALYSIS
- OFFICE OF TRANSNATIONAL ISSUES
- COUNCIL OF INTELLIGENCE OCCUPATIONS
- OFFICE OF SUPPORT SERVICES

Directorate of Operations:
- COUNTERINTELLIGENCE CENTER
- DCI COUNTERTERRORIST CENTER
- NATIONAL HUMINT REQUIREMENTS TASKING CENTER

Figure 1: Organization of the Central Intelligence Agency[34]

(1) Director: The DCI is the primary adviser to the President and the National Security Council (NSC) on national foreign intelligence matters. As noted, the

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[33] See section entitled Office of the Director of Central Intelligence in this volume for a listing of organizations subordinate to the DCI.

[34] Does not include all offices for security reasons.

Director is the head of both the CIA and of the IC. The DCI also serves as Chairman of the NSC's Senior Interagency Group when it meets to consider intelligence matters. This committee addresses issues requiring interagency attention, deals with interdepartmental matters, and monitors the execution of approved intelligence policies and decisions.[35] The President nominates the DCI and the Senate confirms his appointment. The DCI develops policies for and provides guidance to the Community on future needs and capabilities. As Director of the CIA, he is also charged with producing and disseminating national foreign intelligence and with administrative and operational control of the CIA.[36]

(2) Deputy Director: The DDCI is nominated by the President and confirmed by the Senate. The DDCI assists the Director by performing such functions as the DCI assigns or delegates. He acts for and exercises the powers of the Director in his absence, disability, or in the event the Director's position is vacant.

(3) Executive Director (EXDIR): The DCI appoints the EXDIR, who is the Agency's Chief Operating Officer. The EXDIR manages the CIA on a daily basis, formulating and implementing policies and programs that affect the corporate interests of the Agency and its personnel. The EXDIR's functions include budget and resources, strategic planning, senior personnel assignments, and issues that affect the operations of the entire Agency. The EXDIR represents the Agency before Congress when the DCI or DDCI represent the IC.

(4) The Directorate of Administration (DA): The DA is managed by the Deputy Director for Administration (DDA) and provides administrative support to the Agency and to the full range of IC components. DA support services include information technology, communications, logistics, training, financial management, medical services, human resources, and the protection of Agency personnel and facilities worldwide.

(5) The Directorate of Intelligence (DI): The DI is managed by the Deputy Director for Intelligence (DDI) and is responsible for the production and dissemination of all-source intelligence analysis. The DDI is responsible for the timeliness, accuracy, and relevance of intelligence analysis provided to national security policymakers and other intelligence consumers. The DI includes three offices that deal with regional issues, an office that addresses transnational issues, and another that provides information services and support.

The DI also houses three interagency centers responsible for analysis of weapons proliferation, international crime and narcotics, and the environment. With the Deputy Director of Science and Technology (DDS&T) the DI jointly manages an office that develops new automated analytic tools. As CIA's principal analytic arm, the DI has the primary role in providing support to senior policy and strategy makers. Component offices and organizations of the DI are:

(a) Office of Policy Support (OPS): OPS manages the delivery of intelligence to the most senior U.S. policymakers. Two of its major elements are the President's Analytic Support Staff (PASS) and the CIA Operations Center.

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[35] http://www.cia.gov/cia/publications.html.

[36] DCI responsibilities are summarized here from the specific responsibilities set forth in the Intelligence Organization Act of 1992 3 and reaffirmed in Sections 1.5(a)-(s) of EO 1233.

(i) The PASS is DI's key interface with senior U.S. policy officials. It publishes the Agency's daily intelligence products, such as the PDB, SEIB, and the SIR described in paragraph 2.C. above. In addition, the PASS briefing team provides daily intelligence briefings for the President, Vice President, and other senior national security officials.

(ii) The CIA Operations Center provides CIA leadership with 24 hour a day alert and warning of global events affecting U.S. interests and helps ensure the accuracy of current intelligence for senior decision makers.[37]

(b) DCI Environment Center: This center is the focal point for all IC activities related to the environment.

(c) DCI Crime and Narcotics Center: The DI houses this center, which monitors, assesses, and disseminates information on international narcotics trafficking and international organized crime.

(d) DCI Nonproliferation Center: The DI houses this center, which is the IC focal point for nonproliferation issues. The Center develops and updates strategic plans, enhances collection efforts, and assesses information to provide policymakers with a coordinated view of nonproliferation issues.

(e) Collection Requirements and Evaluation Staff (CRES): CRES serves as the focal point for obtaining information for DI analysts. CRES tasks IC collectors, educates analysts on tasking procedures and collection capabilities, and evaluates collection systems. CRES also makes recommendations on future systems and collection related resource issues.[38]

(f) Office of Advanced Analytic Tools: This office is the joint responsibility of DI and the DDS&T. It was created to improve the quality of analysis through use of state of the art technologies.

(g) Regional Offices: DI includes three offices that deal with intelligence and analysis for specific regions. These offices are:

(i) Office of Russian and European Analysis;

(ii) Office of Asia, Pacific, and Latin America Analysis; and

(iii) Office of Near Eastern, South Asian, and African Analysis.

Regional offices are further subdivided in order to analyze specific countries and issues.

(h) Office of Transnational Issues (OTI): OTI produces analytic assessments on critical intelligence related issues that transcend regional and national boundaries.

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[37] http://www.cia.gov/cia/di/mission/components.html.
[38] http://www.cia.gov/cia/di/mission/components.html.

(i) Council of Intelligence Occupations: The main objective of the Council is to ensure a steady supply of talent so that the DI has the expertise needed to provide the best possible all source analysis to consumers. The Council works closely with DI managers to project future expertise requirements, measure current skill levels, and develop plans to fill projected gaps through recruiting, training, and developmental assignments.[39]

(j) Office of Support Services: This office enables the production and dissemination of finished intelligence and fosters the modernization of information systems.

(6) The Directorate of Science and Technology (DS&T): The DS&T is managed by the Deputy Director for Science and Technology and is responsible for creating and applying innovative technology to meet today's intelligence needs. The DS&T is engaged in all intelligence disciplines and in all phases of the intelligence process so that intelligence can be collected, analyzed, and disseminated to consumers.

(7) The Directorate of Operations (DO): The DO is managed by the Deputy Director for Operations (DDO) and has primary responsibility for the clandestine collection of foreign intelligence, including human source intelligence (HUMINT). Domestically, the DDO is responsible for the overt collection of foreign intelligence volunteered by individuals and organizations in the U.S. There are three principal components of the DO, which produce finished intelligence products that have influence on the national security process. They are:

(a) The Counterintelligence Center: A focal point for and coordination of IC activities related to counterintelligence;

(b) The Counterterrorism Center: The IC's focal point for intelligence related to international terrorism; and

(c) The National HUMINT Requirements Tasking Center: The center for coordination of IC HUMINT collection requirements and evaluation of collection activities.

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39   http://www.cia.gov/cia/di/mission/components.html.

5. Formal National Security Process Involvement. The CIA interacts with all of the seven key national security processes. The following matrix summarizes CIA involvement in these processes. The following paragraphs discuss that involvement.

		Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
Product	President's Daily Brief	✓	✓	✓	✓			✓
	Economic Executives' Intelligence Brief	✓	✓	✓	✓			✓
	Senior Executive Intelligence Brief	✓	✓	✓	✓			✓
	Regional Reviews	✓	✓	✓	✓			✓
	Terrorism Review	✓	✓	✓	✓			
	The Narcotics Monitor		✓	✓				
	Proliferation Digest		✓	✓				
	International Arms Trade Report		✓	✓				
	Special Intelligence Report	✓	✓	✓	✓			✓
	Intelligence Memorandum	✓	✓	✓	✓			✓
	Intelligence Report	✓	✓	✓	✓			✓
Roles	Provide Intelligence to Senior Policy Makers and Congress	✓	✓	✓	✓	✓	✓	✓

A. Strategy Development:

       (1) Major Activities: Preparation of the PDB, the SEIB, the Economic Intelligence Brief, SIR, Intelligence Memorandums, and Intelligence Reports. Preparation and dissemination of all finished intelligence estimates, analyses, and reports that may influence national security strategy development.

       (2) Major Stakeholders: All members of the White House, the National Security Council, the Departments of Defense and State, and Congress, and the Intelligence Community.

       (3) Key Internal Processes: The CIA provides the primary intelligence support to policymakers for long-term strategy, during crisis situations, ongoing missions, humanitarian support missions, and/or military operations. The PDB and the other daily intelligence publications are developed by a formal internal production and coordination process, followed by formal delivery to the President, Vice President, and principal senior officials, as directed by the President. Special intelligence briefings by the DCI or other key senior CIA officials to the President or other members of the Executive Branch are supported internally by CIA's analytic resources and have a regular, though less formal coordination and review process. Other formal processes that support strategy development are:

       (a) Preparation and delivery of special intelligence briefings or assessments to policymakers outside the Executive Branch who are involved in strategy development; and

(b) Preparation and presentation of testimony to Congress on intelligence related matters.

(4) Associated Higher-Level Processes: National Security Strategy,[40] National Military Strategy, and Contingency Planning Guidance.[41]

(5) Associated Lower-Level Processes: Interagency working groups or special task forces with a specific area or topic.

B. Policy, Guidance, and Regulation:

(1) Major Activities: (See process map at Appendix 1.) The CIA supports the policy and guidance processes through delivery of a number of products and services. These products include the finished intelligence products discussed in paragraph 2.C. The CIA also affects policy, guidance, and regulation through contributions to and membership in Interagency Working Groups (IWG) that are empowered to formulate policy, guidance, and regulation. Other activities supporting policy, guidance, and regulation include:

(a) Special Intelligence Briefings to specific individuals or groups, including members of the Executive Branch and Congress;

(b) Formal testimony to Congress, presented at hearings, or in written format; and

(c) Management and participation in the DCI Intelligence Production Committees; the Joint Atomic Intelligence Committee (JAEIC); the Scientific and Technical Intelligence Committee (STIC); the Weapons and Space Systems Intelligence Committee (WSSIC); the Foreign Denial and Deception Committee (FDDC).

(2) Major Stakeholders: All departments and agencies of the IC and selected agencies and organizations of the federal government.

(3) Key Internal Processes: IWGs consist of permanent and ad hoc groups that have geographic, functional, and/or topical areas of responsibility. Typically CIA analysts are invited to participate in established IWGs, and the CIA can also convene special IWGs to assist in producing special intelligence reports or other products, or to keep the analytic community current on high-priority topics.

(4) Associated Higher-Level Processes: Formal IC coordination of published intelligence products.

(5) Associated Lower-Level Processes: Preparation of special intelligence estimates or assessments provided to the requestor informally, e.g., a short, one-topic summary paper.

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[40] See section entitled National Security Council in the volume entitled Executive Office of the President.

[41] See volume entitled Department of Defense.

C. Planning:

        (1) Major Activities: Similar to its role in strategy and policy development, the CIA has a supporting role in contingency planning, defense structure planning, and planning for other activities requiring timely, accurate intelligence estimates and analytic judgments. The Agency accomplishes its responsibilities by providing supporting intelligence estimates and analyses that influence contingency operation and other national security plans. The CIA also influences IC planning by supporting community reviews of intelligence production and collection and supporting the Assistant Director of Central Intelligence (ADCI) for Analysis and Planning in the DCI's office.

        (2) Major Stakeholders: Potentially all departments and agencies of the federal government (depending on the situation, topic, or regional area issue) and the IC.

        (3) Key Internal Processes: Supports the ADCI for Analysis and Production, and the ADCI for Collection.

        (4) Associated Higher-Level Processes: National Security Strategy, National Military Strategy, Contingency Planning Guidance, and Unified Command Operational or Contingency Plans.

        (5) Associated Lower-Level Processes: IC and Interagency working groups focused on a specific area or topic.

D. Mission Execution:

        (1) Major Activities. CIA analysts regularly provide support to interagency task forces or to military organizations and some humanitarian operations. This is accomplished by providing specialized and focused intelligence assessments, reports, estimates, or key judgments. Analyst teams are also used to support these activities on a day-to-day basis and the structure of the team is determined by the mission. For example, CIA could provide support through a Crisis Management Task Force, which provides 24-hour all-source analytic support, or a Negotiation Support Team that provides support to a U.S. policy team for an international conference or bilateral negotiation.

        (2) Major Stakeholders: NSC, DoS, DoD, Joint Staff, and Congress.

        (3) Key Internal Processes: Development of standard or special intelligence products, such as SIRs, to support policymakers.

        (4) Associated Higher-Level Processes: Managing complex contingency operations; crisis management teams; high-level diplomatic negotiations.

        (5) Associated Lower-Level Processes: Participation in IWGs or special task forces.

E. Observation, Orientation, and Oversight:

        (1) Major Activities: The CIA supports the ADCI for Analysis and Production and the ADCI for Collection who supervise the process that guides and

evaluates IC collection and production. This involves supervising activities of the National Intelligence Production Board, participation in the IC collection requirement definition process, and evaluating various collection activities.

(2) Major Stakeholders: The IC.

(3) Key Internal Processes: CIA analysts participate in IC meetings on collection requirements and evaluation and provide support to the ADCI on issues of evaluation of analysis and production.

(4) Associated Higher-Level Processes: None.

(5) Associated Lower-Level Processes: IC production processes and processes for determining intelligence collection priorities and requirements.

F. **Preparation**:

(1) Major Activities. Internal training and development programs (such as the Tradecraft 2000 course for analysts and managers), analyst rotational assignments within the IC, overseas experience for analysts, opportunities for professional development, and continuing education.

(1) Major Stakeholders: The CIA, the IC.

(2) Key Internal Processes: None.

(3) Associated Higher Level Processes: None.

(4) Associated Lower Level Processes: None.

G. **Resourcing**:

(1) Major Activities: The CIA can play a supporting role in the resource allocation process by identifying areas of concern or potential concern. Typically, IC resources (notably collection) are most often affected, but the CIA could influence decisions in other Agencies or Departments. For example, intelligence reports could influence DoD's consideration of options for equipping military forces. CIA officials may also present testimony to Congressional committees on resource related intelligence issues. The CIA also influences resourcing by engaging in the formal process of reviewing and revising intelligence collection and production requirements, but the Agency's role in the process is purely supporting and not directive.

(2) Major Stakeholders: The IC, DoD, and DoS.

(3) Key Internal Processes: Production of finished intelligence products as described in paragraph 2.C., which provide formal and informal intelligence support to policymakers; production of other intelligence products; and/or participation in IWGs and other advisory committees or organizations both within CIA and in the IC.

(4) Associated Higher-Level Processes: Preparation of the president's Annual Budget.

(5) Associated Lower Level Processes: IC or CIA collection and production resourcing decisions.

6. Informal National Security Process Involvement.

A. General: The CIA participates in informal processes by providing background information to the DCI in preparation for his attending informal interagency working groups such as the National Security Council's Weekly Foreign Policy Breakfast.[42] Typically this input would be provided via the ADCI for Analysis and Production or in coordination with the National Intelligence Council (NIC).[43]

B. Analytic Production Teams: The DI's analytic production teams deliver outstanding support to policymakers during crises. These teams are characterized by collaboration among members representing multiple analytic specialties and are structured to ensure high performance in meeting particularly demanding needs of U.S. policymakers and decision makers. These ad hoc production teams usually have participants from multiple DI offices and often include collectors and analysts from other Agency directorates and other intelligence agencies. Policy officials regularly comment on the special value added of DI assessments and briefings.[44]

C. Other Personal Contacts: Analysts frequently hold informal discussions in a number of different venues to discuss substantive topics related to intelligence issues. Sometimes informal discussions occur as staff members prepare formal analytical and estimative intelligence products. Or they may occur in the form of "think" sessions among colleagues. Substantive discussions can also take place during or in connection with IWG or DCI advisory boards or committees. Sometimes informal information exchanges occur as sidebars at conferences, meetings, or seminars. Often, these unplanned meetings and discussions lead to more formal exchanges, or even result in the establishment of a special working group or ad hoc group to consider a particular topic.

7. Funding and Personnel.

A. Authorizations and Appropriations: The Central Intelligence Agency's budget is reviewed by the Office of Management and Budget, and authorized by the Senate Select Committee on Intelligence, the House Permanent Select Committee on Intelligence, the House Armed Services Committee and the Senate Armed Services Committee.[45] The Defense Subcommittees of the Appropriations Committees make appropriations in both the House and the Senate.

B. Manpower: The Central Intelligence Agency does not comment publicly concerning the number of its employees.

C. Budget: Classified.

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[42] For a description of the Weekly Foreign Policy Breakfasts, see the section on the Office of the Secretary of State in the volume entitled Department of State.

[43] See section in this volume entitled National Intelligence Council.

[44] http://www.cia.gov/cia/di/toolkit/trade.html.

[45] See section in this volume entitled House Permanent Select Committee on Intelligence and Senate Select Committee on Intelligence.

8. Observations.

A. **Finished Intelligence Products:** The CIA produces a variety of finished intelligence products. Its substantive scope is worldwide and covers functional as well as regional issues. Products range from quick-reaction, informal oral briefings to complex, long-term research studies that may take months to complete. Virtually all of CIA's finished intelligence supports national-level policy deliberations.[46]

B. Access to Senior Policymakers: The CIA enjoys an extraordinary level of access to policymakers at the highest levels of the Administration. Senior CIA officials interviewed believe that this degree of access is due to the excellent working relationships that exist between the DCI and the White House that are founded on the professional competency that the CIA has consistently demonstrated. This relationship is of the highest importance to the DCI, and he actively works to maintain and improve it. It is because of this excellent relationship with the Executive Branch that the CIA is able to influence National Security strategy and policies and to be involved in the policy development process.

C. Future Analytic Challenges: The CIA's Directorate of Intelligence will need greater interaction with outside experts to meet the broad and complex analytic challenges it faces in the future. It must position itself to compete in a new information age where consumers increasingly will have ready access to alternative sources of high-quality data and expertise.[47]

D. **Strategic Direction Program:** The CIA has a very strong program directed at improving the Agency's internal capabilities. This effort is known as the "Strategic Direction Program," and is intended to improve communications and operational effectiveness among the four main directorates, and to make significant improvements in recruiting and training of new personnel. Developing fully qualified intelligence analysts and providing an environment that is conducive to retaining these highly qualified individuals are the key focuses of the Director's personnel strategy.[48]

 E. **Connectivity in the Information Age:** "Enabling," which is defined as efforts to make better use of technology in the production and dissemination of intelligence products, is another key component of the DCI's Strategic Direction Plan. Achieving complete electronic connectivity in the IC and being able to disseminate all products electronically, with the appropriate safeguards and controls, is a long-term strategic goal.

F. CIA's View of Its role in the 21st Century: According to those interviewed, CIA sees itself as the pre-eminent intelligence agency and the leader of the IC in the 21st Century.

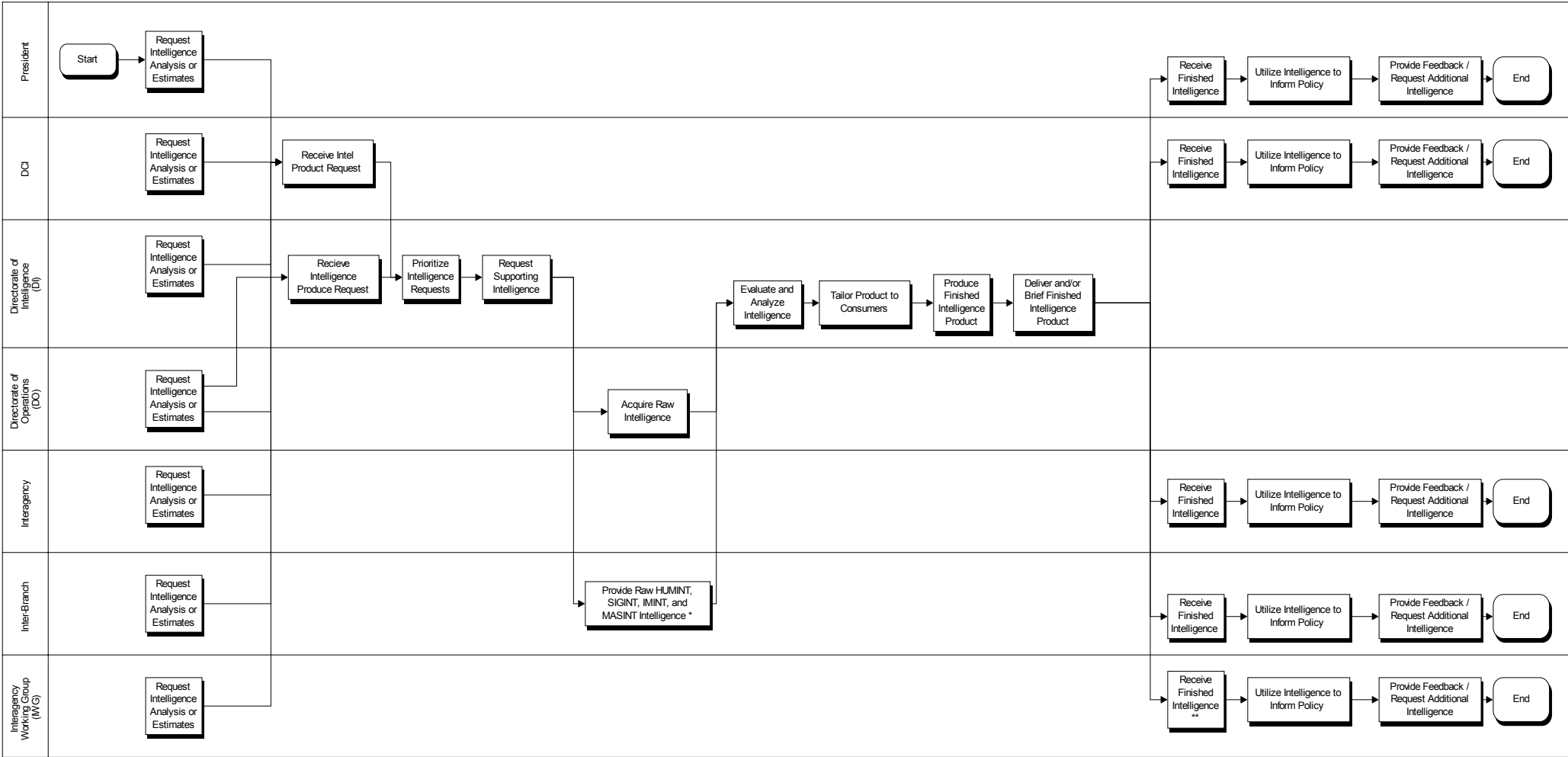[46] CIA Publication, A Consumer's Guide To Intelligence, dated July 1995.

[47] http://www.odci.gov/cia/di/undiplan/outreach.html.

[48] Based on comments made during interviews of senior CIA officials in November 1999.

APPENDIX

CIA - Key Process - (Formal) - Policy, Guidance, and Regulation - Intelligence Production and Dissemination

President
- Start
- Request Intelligence Analysis or Estimates
- Receive Finished Intelligence
- Utilize Intelligence to Inform Policy
- Provide Feedback / Request Additional Intelligence
- End

DCI
- Request Intelligence Analysis or Estimates
- Receive Intel Product Request
- Receive Finished Intelligence
- Utilize Intelligence to Inform Policy
- Provide Feedback / Request Additional Intelligence
- End

Directorate of Intelligence (DI)
- Request Intelligence Analysis or Estimates
- Recieve Intelligence Produce Request
- Prioritize Intelligence Requests
- Request Supporting Intelligence
- Evaluate and Analyze Intelligence
- Tailor Product to Consumers
- Produce Finished Intelligence Product
- Deliver and/or Brief Finished Intelligence Product

Directorate of Operations (DO)
- Request Intelligence Analysis or Estimates
- Acquire Raw Intelligence

Interagency
- Request Intelligence Analysis or Estimates
- Receive Finished Intelligence
- Utilize Intelligence to Inform Policy
- Provide Feedback / Request Additional Intelligence
- End

Inter-Branch
- Request Intelligence Analysis or Estimates
- Provide Raw HUMINT, SIGINT, IMINT, and MASINT Intelligence *
- Receive Finished Intelligence
- Utilize Intelligence to Inform Policy
- Provide Feedback / Request Additional Intelligence
- End

Interagency Working Group (IWG)
- Request Intelligence Analysis or Estimates
- Receive Finished Intelligence **
- Utilize Intelligence to Inform Policy
- Provide Feedback / Request Additional Intelligence
- End

* Other intelligence collectors / agencies provide raw intelligence.
** Ocasionally under special circumstances.

Appendix 1

ORGANIZATIONAL DESCRIPTION

NATIONAL INTELLIGENCE COUNCIL (NIC)

Prepared for the U.S. Commission on National Security/21st Century

EXECUTIVE SUMMARY

The National Intelligence Council

Overview.

The statute that authorizes the National Intelligence Council (NIC) states that the Council "will constitute the senior intelligence advisors of the intelligence community for purposes of representing the views of the intelligence community within the Government."[1] To carry out this responsibility, the NIC reports directly to the Director of Central Intelligence (DCI) in his role as head of the Intelligence Community (IC). Under the direction of the NIC Chairman, the Council provides mid-term and long-term strategic thinking and ensures IC collaboration on substantive issues.[2] Additionally, the NIC supports the DCI in the following ways:

- Providing estimative, timely, and tailored intelligence support and authoritative interagency assessments to senior policymakers and warfighters on national security issues using the best sources inside and outside the IC;

- Representing the DCI and the IC in interagency groups that are responsible for assisting in the development of U.S. foreign policies by identifying intelligence needs upon which the Community should focus; and

- Evaluating the adequacy of intelligence support and working with the Community's functional managers to refine all-source collection and analytic production strategies.[3]

Organization.

The NIC is composed of a Chairman and a Vice Chairman, whose office includes three staffs: the Evaluation Staff, the Director for Outreach and Strategic Planning, and the Senior Review, Production and Analysis Staff. The NIC also includes 12 National Intelligence Officers (NIOs) who are either functional or regional experts and are drawn from the government, academia, and/or the private sector. Each NIO has a deputy and a staff of one to three senior analysts.

The NIC Chairman guides the NIOs who serve as senior substantive advisers to the DCI and to senior policymakers. He also oversees the production of National Intelligence Estimates (NIEs) and other interagency products, and he supervises the processes that guide and evaluate IC collection requirements and production activities. The NIC staff generally consists of career intelligence officers; although sometimes staff members are drawn from outside the IC.

Role in Formal and Informal National Security Processes.

The NIC uses a formal process to produce its major intelligence estimates and products. It often uses less formal processes in providing guidance and making recommendations to the

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[1]   50 United States Code, Section 403.
[2]   NIC Publication.
[3]   NIC Publication.

DCI or other senior government officials. The NIC Chairman is a member of the Intelligence Community Executive Committee and also chairs the National Intelligence Production Board.[4] Many NIC publications are produced by interagency teams and formally coordinated throughout the IC as appropriate. The production and key judgments and recommendations made in these products help the NIC influence various key national security processes.

The following matrix depicts the relationship of NIC products and roles to the seven key national security processes identified by the U.S. Commission on National Security/21st Century.

		Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
Products	National Intelligence Estimates (NIE)	✓	✓	✓				✓
	Intelligence Community Briefs (ICB)	✓	✓	✓				
	Sense of the Community Memorandums (SOCM)	✓	✓	✓	✓			
	Intelligence Community Assessments (ICA)	✓	✓	✓	✓			✓
	Desktop Memorandums	✓	✓	✓				
	Warning Memorandums		✓	✓	✓			
	Warning Committee Watchlists		✓	✓	✓			
	Analytic Depth Studies		✓	✓			✓	
	Strategic Intelligence Reviews	✓						✓
Roles	NIC Chairman	✓	✓	✓		✓		✓*
	NIOs	✓	✓	✓		✓		✓*

* Acts only in an advisory role

Strategy Development. The NIC advises on strategy development but does not engage in the actual development of strategy, and as such it is not a policy or decision-making organization. However, the NIC supports strategy development by providing top-level IC coordinated analytic judgments and authoritative intelligence estimates on key regional or functional topics.

Policy, Guidance, and Regulations. As was the case in strategy development, the NIC supports policy development by providing coordinated intelligence estimates and key judgments. The NIC can provide guidance to customers by preparing recommendations that are based on the best available intelligence and analysis. However, the NIC does not issue any formal policy directives, guidance, or regulations.

Planning. The NIC has a supporting role in planning and provides information to activities that prepare formal plans. This information includes formal intelligence estimates that are key to developing viable operations plans.

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[4] The National Intelligence Production Board is composed of senior Community production managers, including the chairmen of the DCI production committees.

Mission Execution. The Council provides situation updates during crises that are vital to effective mission execution, but it plays no role in actively directing operational forces.

Observation, Orientation, and Oversight. By providing authoritative intelligence estimates and by assessing the effectiveness and efficiency of the intelligence collection and production apparatus, the NIC assists the DCI in his role in oversight and observations of the IC and its processes.

Preparation. No involvement.

Resourcing. Often NIC recommendations have resource implications, which will be dealt with in the resourcing process managed by the DCI.[5] Occasionally NIC members may present testimony before Congressional committees on resource-related IC matters.

In addition to formal processes (including involvement in the interagency), the Council's structure and its unique role create an opportunity for informal interactions with policy makers, senior government officials, and non-governmental experts. Interviews indicate that the latter is especially valuable and almost unique to the NIC among IC activities.

Apart from direct involvement in informal processes by NIOs and other Council officials, the NIC helps prepare the DCI for his participation in informal interagency meetings. In doing so, the NIC provides views and recommendations that it would like shared with members of these influential groups. The special relationship that the NIC Chairman and the NIOs have with the DCI and with other senior government officials is very important and key to the success of this informal process involvement.

Observations.

The NIC provides a unique type of support for the DCI and other organizations and offices within the Executive and (to a lesser extent) the legislative branches. Because it is small and organizationally flat, the NIC is able to focus on issues without being burdened by bureaucratic processes or cumbersome administrative requirements.

The NIC functions as the DCI's "think tank" and contains an eclectic mix of expertise and experience. In addition to career Central Intelligence Agency (CIA) intelligence officers, NIOs are often experts from other (non-CIA) agencies, or even from outside the government. The ability of NIOs to expand beyond government intelligence activities to draw on other experts in the private or academic sectors is a nontraditional approach for the IC and a key NIC strength.

By publishing NIEs (which are authoritative IC judgements), the NIC exerts significant influence in the policy and decision making process. Through the NIEs, the NIO's views reach the top levels of government where they are treated as valuable decision support tools. One

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[5]   See the section in this volume entitled the Office of the Director of Central Intelligence for a discussion of the resourcing process. See the section entitled Office of the Secretary of Defense in the volume entitled Department of Defense for a discussion of the Assistant Secretary of Defense (C3I)'s involvement in resourcing processes for DoD-related intelligence requirements.

senior official noted that the size of the NIO support staffs should be increased. This would allow the NIOs to increase the annual number of formal intelligence studies.
Interagency coordination is crucial to the success of the NIC. NIOs are sensitive to the need for effective IC and interagency working relationships. From the NIC's perspective, the interagency coordination process works very well, but it clearly depends on effective interpersonal communication and personal relationships.

There is some indication that coordination between the NIC and organizations responsible for intelligence collection could be improved. While coordination for Human Intelligence (HUMINT) requirements development is good, coordination in Signal Intelligence (SIGINT) and Imagery Intelligence (IMINT) requirements processes is less effective.[6] One reason for this may be that the NIC actively participates in HUMINT requirements processes through a formal interagency committee mechanism. However, although the NIC has the opportunity to review SIGINT and IMINT requirements and can influence them, the process is less formal than the process for HUMINT. The lack of an adequate formal process may affect both targeting and requirements development.

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[6]   Interview with NIO, 10/22/99.

ORGANIZATIONAL DESCRIPTION

THE NATIONAL INTELLIGENCE COUNCIL (NIC)

1. Legal Specifications, Authorizations and Responsibilities.

      A. Authorizing Statutes:

         (1) The National Intelligence Council (NIC) was established by the **National Security Act of 1947 Section 103(b)** as amended by the National Security Act Amendments of 1949. This statute states that "There is established within the Office of the Director of Central Intelligence, the National Intelligence Council."

         (2) The Intelligence Organization Act of 1992, which became effective 1 October 1992, clarified and defined the roles, responsibilities, and authorities of the Director of Central Intelligence (DCI) as the head of both the Intelligence Community (IC) and the Central Intelligence Agency (CIA). This act also established legal authority for the National Intelligence Council and designated the NIC as an IC organization responsible directly to the DCI.

      B. Department Directives: None.

      C. Interagency Directives: Executive Order 12333 reaffirms the National Security Act of 1947 and amendment of 1949.

2. Missions/Functions/Purposes.

      A. Major Responsibilities: The NIC assists the DCI in overseeing intelligence community activities, including intelligence collection, production, and evaluation. The NIC is not a decision-making body. Its primary mission is to serve as an advisory group for the DCI and other senior policymakers. To this end the NIC provides objective, interagency intelligence for mid-term and long-term strategic thinking and facilitates IC collaboration on substantive issues.[7] In addition, the NIC:[8]

         (1) Produces national intelligence estimates, which are IC judgements [Key Process Relations: Strategy Development; Policy, Guidance and Requirements; Planning];

         (2) Evaluates IC-wide intelligence collection and production including requirements and resources [Key Process Relations: Observation, Orientation, and Oversight; Planning; Resourcing];

         (3) Assists the Director in carrying out his responsibilities. [Key National Security Process Relation: Potentially all];

         (4) Provides authoritative guidance to IC collectors based on intelligence gaps identified during the preparation of National Intelligence Estimates (NIEs) and other products

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7   NIC publication, October 1999.

8   The 1947 National Security Act.

and through a formal requirements review process for Human Intelligence (HUMINT). [Key National Security Process Relation: Strategy Development; Policy, Guidance, and Regulation; Resourcing];

        (5) Evaluates the adequacy of intelligence support and works with IC functional managers to refine all-source collection and analytic production strategies [Key National Security Process Relation: Policy, Guidance, and Regulation; Resourcing].

        B. Subordinate Agencies and Activities: Although the following organizations are directly subordinate to the DCI, the NIC has some management responsibilities for them and the Chairman can influence their activities. The Council acts as the executive agent for:

        (1) DCI Advisory Panels;

        (2) National Security Advisory Panel (NSAP);

        (3) Economic Intelligence Advisory Panel (EIAP);

        (4) Global Expertise Reserve (GER);

        (5) National Intelligence Production Board (NIPB); and

        (6) DCI Intelligence Production Committees including:

            (a) Joint Atomic Energy Intelligence Committee (JAEIC);

            (b) Scientific and Technical Intelligence Committee (STIC);

            (c) Weapons and Space Systems Intelligence Committee (WSSIC); and

            (d) Foreign Denial and Deception Committee (FDDC).

        C. Major Products:

        (1) National Intelligence Estimates: NIEs are the NIC's principal product and are intended to help the military and civilian leadership develop policies, strategies, and plans to defend U.S. national security. They represent the IC's most authoritative written judgments on national security issues by addressing capabilities; vulnerabilities; probable courses of action of foreign nations or groups; and/or key developments relevant to national security.[9] NIEs (which are often lengthy, can take up to a year to produce, and are coordinated in the IC) are estimates that make judgments about possible future events and their likely implications for U.S. policy. Executive summaries are prepared for the President and his senior advisors. The NIC considers NIEs to be the most authoritative IC product.[10]

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[9]   NIC Publication.

[10] NIC Publication.

(2) The Intelligence Community Brief (ICB): These "mini-estimates" provide a brief (compared to NIEs) focus on a specific issue or question.

(3) Sense of the Community Memorandum (SOCM): These memos, usually only one page in length, provide a general "sense" of the IC on a single key issue. They are likely to be produced quickly in response to a sudden event or crisis (such as a coup) at the request of the DCI, President, or other senior government officials.

(4) Intelligence Community Assessments (ICAs): These assessments are similar to NIEs in that they are formally coordinated within the IC and reflect the Community's position. However, ICAs are intended for the working-level policy makers, not senior officials. Generally, they address issues of broader IC interest and may include substantial reference material.

(5) Desktop Memorandums: These are short, very focused papers that are designed for a narrow audience. Often they are produced for one office or individual and address specific information needs.

(6) Warning Memorandums: These time-sensitive assessments are designed to alert policy makers and defense officials to potential crisis situations. They explore potential threats to national security that could involve U.S. military forces or require an immediate policy response. For example, Warning Memorandums might address the possibility of a coup, a terrorist act, or indications of possible armed conflict.

(7) Warning Committee Watchlists and Watchlist Supplements: These lists assist policy makers in monitoring potential crisis situations or issues and examine potential threats on a global basis. The lists often highlight issues that are subsequently addressed in Warning Memorandums.

(8) Studies and Reviews: The NIC also produces two products designed to assess the IC's collection capabilities and highlight collection priorities. Generally, these products have a much more limited distribution than the analytic products discussed above.

(a) Analytic Depth Studies: These documents look at high-priority targets and assess IC collection capabilities. The studies are used to inform operational plans and target list preparation.

(b) Strategic Intelligence Reviews: These documents identify key intelligence issues and collection priorities.

3. Vision and Core Competencies.

A. Vision: The NIC vision's statement, "is to ensure that National Intelligence Estimates are the most authoritative record of the state of our knowledge and ability to understand and anticipate future challenges to our national security."[11]   There are no other published vision statements that address the NIC products other than the NIEs.

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11   NIC Publication.

B. Core Competencies: Although the NIC has not published a list of core competencies, recognized staff competencies include functional or regional expertise and the ability to respond quickly while maintaining rigorous standards for careful analysis and making key judgments. Another core competency is the ability to deal with issues that cut across several activities, while another is the ability to tap into non-IC assets.

4. Organizational Culture. The NIC takes pride in its unique organization and streamlined, non-bureaucratic system. Members are encouraged to be freethinking and creative in approaching problems and in applying their perspectives on issues. The Council's culture encourages members to make use of resources outside traditional IC boundaries and to develop working relationships in non-governmental sectors and organizations. Frequent and effective communication between NIC staff members is a part of the culture, also.

      A. Values: The NIC values the capability to provide objective, thorough analysis and sound judgments, often on short notice. The ability to interact effectively with senior policymakers and other members of the Intelligence Community is also a core value.

      B. Leadership Traditions: NIC effectiveness and value depends in large measure on the Chairman. Typically, the Chairman is a career intelligence officer with substantial expertise in analysis and production. He must be able to interact effectively with senior government policy and decision makers. The Chairman is appointed by the Director of Central Intelligence, but is not confirmed by the Senate. He has no fixed term of office; the DCI has the authority to replace or retain the Chairman as he chooses.

      C. Staff Attributes: The NIC staff assists the Chairman and Vice Chairman in carrying out their responsibilities within the Intelligence Community, and it is structured to facilitate interagency coordination. Generally, the NIC staff is composed of career intelligence officers with demonstrated areas of expertise. Recognized, substantive issue or area expertise is the most important NIC staff attribute.[12] A unique NIC strength is the ability to draw upon subject matter experts from outside the Intelligence Community to serve as National Intelligence Officers.

      D. Organizational Structure: The NIC is organized to meet policy maker particular needs. The NIOs are organized regionally and functionally, and the NIC staffs are designed to facilitate Council production processes within the IC and the government. While the NIC is a very streamlined, flat organization, it has not changed significantly since its establishment, except to add or delete positions in response to changing requirements for intelligence. Structure changes include the addition of a new area or topical NIO, or the creation of a new supporting staff. For example, the position of the NIO-At-Large was abolished and then brought back. The following figure describes the current organizational structure for the NIC.

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12   Interview with NIO, 22 October 1999.
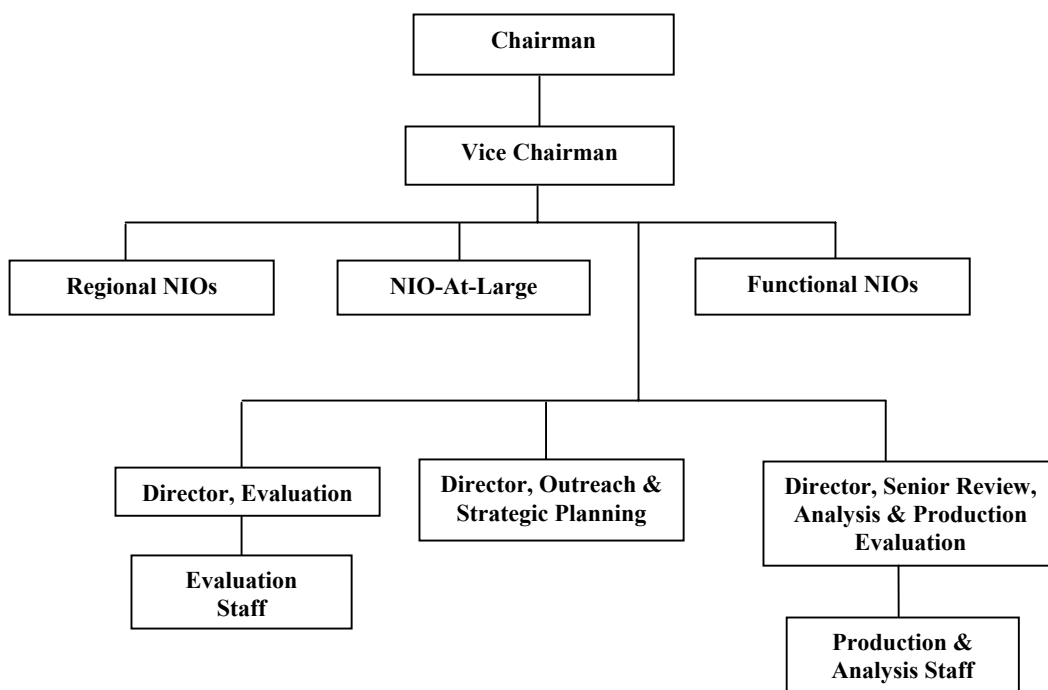
Figure 1: Organization of the National Intelligence Council[13]

        (1) Chairman: The Chairman oversees the NIOs and the production of the NIEs and other NIC products, and supervises the process that guides and evaluates IC collection and production. The Chairman is a member of the IC Executive Committee and chairs the National Intelligence Production Board, which is composed of senior Community production managers. Additionally, the Chairman is the DCI's Assistant Director for Analysis and Production (ADCI/AP).[14]

        (2) Vice Chairman: The Vice Chairman supports the Chairman for both management and substantive requirements, including analytic projects. He also works to strengthen NIC and IC links to outside experts.[15]

        (3) NIO: The NIOs serve as the DCI's senior most substantive experts on either functional or regional areas.

        (a) Regional NIOs: NIOs are assigned responsibility for the following geographic regions:

        (i) Africa;

        (ii) East Asia;

        (iii) Europe;

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13   NIC Publication.

14   See section entitled Office of the Director of Central Intelligence in this volume for a more complete description of the DCI and ADCI/AP relationship.

15   NIC Publication.

(iv) Latin America;

(v) Near East and South Asia; and

(vi) Russia and Eurasia.

(b) NIO-at-Large: The NIO-at-Large is responsible for a variety of functions not covered by another NIO.

(c) Functional NIOs: Functional NIOs are assigned for the following:

(i) Economics and Global Issues;

(ii) General Purpose Forces;

(iii) Science and Technology;

(iv) Strategic and Nuclear Programs; and

(v) Warning.

(4) The Director for Evaluation and Staff: The Director for Evaluation is an expert on all aspects of the intelligence cycle, including requirements generation, collection, exploitation, and analysis. His activity facilitates the efforts of the National Intelligence Production Board and supports the NIC Chairman in his capacity as the ADCI/AP. Staff members are involved in a variety of projects, including the management of the Global Expertise Reserve, a unique effort to tap into outside expertise and to develop the future national imagery architecture.[16]

(5) The Director, for Outreach and Strategic Planning: This position supports the NIC by facilitating communication between the IC and non-governmental experts. It also ensures that NIC and IC products meet the needs of policy and decision makers.

(6) The Director, Senior Review, Production and Analysis and Staff: This staff element provides broad support in the production of NIEs and other NIC reports. Staff members assist in drafting and reviewing NIEs to ensure conceptual soundness, analytic integrity, policy relevance, and presentational clarity.[17]

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[16]   NIC Publication.

[17]   NIC Publication.

5. Formal National Security Process Involvement. The NIC interacts with four of the seven key national security processes. The matrix that follows summarizes NIC participation in these processes. The following paragraphs discuss that involvement.

		Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
Products	National Intelligence Estimates (NIE)	✓	✓	✓				✓
	Intelligence Community Briefs (ICB)	✓	✓	✓				
	Sense of the Community Memorandums (SOCM)	✓	✓	✓	✓			
	Intelligence Community Assessments (ICA)	✓	✓	✓	✓			✓
	Desktop Memorandums	✓	✓	✓				
	Warning Memorandums		✓	✓	✓			
	Warning Committee Watchlists		✓	✓	✓			
	Analytic Depth Studies		✓	✓				✓
	Strategic Intelligence Reviews	✓						✓
Roles	NIC Chairman	✓	✓	✓		✓		✓*
	NIOs	✓	✓	✓		✓		✓*

* Acts as an advisor only.

A. Strategy Development:

(1) Major Activities: (See Appendix 1 for process map.) Development of the National Intelligence Estimates, ICBs, SOCMs, ICAs, Desktop Memorandums and Strategic Intelligence Reviews. Requests for NIC products are received by the DCI, who forwards them to the NIC Chairman. The Chairman forwards the request to the appropriate NIO. NIOs produce internal assessments, or they develop interagency intelligence assessments based on the nature of the requests and the Chairman's guidance. While the NIC does not directly develop strategy, it does provide information to senior policy makers, which is used to develop strategy. (This kind of support also can be provided during crisis situations, or in the case of an ongoing mission, such as humanitarian support or military operations.)

(2) Major Stakeholders: All members of the IC, the National Security Council (NSC), the Departments of Defense (DoD) and State (DoS), and Congress.

(3) Key Internal Processes: The NIEs are developed by a formal internal review and coordination process, followed by formal coordination within the IC. At the outset, the appropriate NIO and his staff develop a work plan. As the NIE is constructed, the NIO seeks input from both inside and outside the IC. External sources include experts from the private sector and academia. The NIO and his staff then formulate a draft NIE and circulate it throughout the IC for feedback and comments.

Once coordinated, the NIE is modified and a final version is prepared. The NIC Chairman brings it to a session of the National Foreign Intelligence Board for review and final

approval. Upon final approval, the NIEs are formally disseminated. [18] Other less formal processes that support strategy development are:

(a) Preparation and presentation of special intelligence briefings or assessments (e.g., Sense of the Community Memorandum, Intelligence Community Assessments, Warning Memorandum); and

(b) Congressional testimony.

(4) **Associated Higher-Level Processes:** National Security Strategy,[19] National Military Strategy, and Contingency Planning Guidance.[20]

(5) **Associated Lower-Level Processes:** IC and Interagency working groups with a specific area or topic.

B. Policy, Guidance, and Regulation:

(1) **Major Activities:** The NIC does not participate directly in establishing Policy, Guidance, or Regulation; however, a number of its products or services are used in this process. These products include NIEs and the others discussed in paragraph 5.A. The NIC also affects policy, guidance, and regulation through membership on Interagency Working Groups (IWGs) that are empowered to formulate policy, guidance, and regulation. Other activities that would support policy, guidance, and regulation would be:

(a) Special Intelligence Briefings to specific individuals or groups, including members of the Executive Branch and Congress;

(b) Formal testimony to Congress, presented at hearings, or in written format;

(c) Management of and participation in any of the DCI advisory panels such as the National Security Advisory Panel or the Economic Intelligence Advisory Panel; and

(d) Management and participation in the DCI Intelligence Production Committees; the JAEIC, the STIC, the WSSIC, the FDDC.

(2) **Major Stakeholders:** All departments and agencies of the Intelligence Community and selected agencies and organizations of the federal government.

(3) **Key Internal Processes:** IWGs consist of permanent and ad hoc groups that have geographic, functional, and/or topical areas of responsibility. Each IWG is a primary interagency forum for the development and review of intelligence estimates and analyses on specific topics of intelligence interest. Typically NIOs are invited to participate in established

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18   NIC Publication.

19   See section entitled National Security Council in the volume entitled Executive Office of the President.

20   See section volume entitled Department of Defense.

IWGs, but the NIC can also convene special IWGs to assist in the production of NIEs or other products, or to keep the analytic community current on certain high priority topics.[21]

       (4) Associated Higher-Level Processes: Formal IC coordination of published intelligence products such as SOCM, ICAs, and ICBs.

       (5) Associated Lower-Level Processes: Preparation of special intelligence estimates or assessments provided to the requestor informally, perhaps as a short one-page issue/topic summary.

     C. Planning:

       (1) Major Activities: Similar to its role in strategy and policy development, the NIC has a supporting role in contingency planning, defense structure planning, and planning for other activities requiring timely, accurate intelligence estimates and analytic judgments. This is accomplished by providing the supporting intelligence estimates and analyses that will influence the contingency operation or other plans developed by the policy makers. The NIC also influences planning within the IC by review of intelligence production and collection.

       (2) Major Stakeholders: Potentially all departments and agencies of the federal government depending on the situation, topic, or regional area issue.

       (3) Key Internal Processes: The production of intelligence reports, estimates and other products such as Warning Committee Watch Lists and Watch List Supplements, which are tailored to meet specific needs of planners and policymakers engaged in planning activities. In the case of production review, the NIC's evaluation staff supervises the National Intelligence Production Board and supports the NIC Chairman in his position as the ADCI for Analysis and Production.

       (4) Associated Higher-Level Processes: National Security Strategy, National Military Strategy, and Contingency Planning Guidance.

       (5) Associated Lower-Level Processes: IC and Interagency working groups with a specific area or topic.

     D. Mission Execution:

       (1) Major Activities: NIC activities normally do not support ongoing missions on a day-to-day basis. There are exceptions, however, and the NIC does provide short-notice support to military organizations and some humanitarian operations as required. It does this through production of specialized and focused intelligence assessments, reports, estimates, or key judgments. These can be provided in written form, usually short one-page products, or as personal briefings to individuals or small groups, depending on the situation.

       (2) Major Stakeholders: NSC, DoS, DoD, Joint Staff, and Congress.

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21   Interview with NIO.

(3) Key Internal Processes: Development of standard intelligence products, or special products, to support policy makers such as Warning Memorandum or Sense of the Community memorandum.

(4) Associated Higher-Level Processes: National Security Strategy; National Military Strategy.

(5) Associated Lower-Level Processes: Participation in Interagency Working Groups or special task forces created for specific missions or situations. The NIC may be called on to participate as advisors for real-time intelligence support.

E. Observation, Orientation, and Oversight:

(1) Major Activities: The NIC supervises the process that guides and evaluates IC collection and production. This involves supervising activities of the National Intelligence Production Board and participation in the IC collection requirements definition process, and in evaluating various collection activities.

(2) Major Stakeholders: The IC.

(3) Key Internal Processes: NIOs chair IC meetings on collection requirements and evaluation. The Chairman supervises the NIPB.

(4) Associated Higher-Level Processes: None.

(5) Associated Lower-Level Processes: Influences IC production activities and intelligence collection priorities and requirements.

F. Preparation: No involvement.

G. Resourcing:

(1) Major Activities: The NIC can play a supporting role in the resource allocation process by identifying areas of concern or potential concern. Typically, resources of the Intelligence Community, notably collection, would be affected most often, but the NIC could influence decisions in other government agencies or departments. For example, an intelligence warning memorandum could influence the Department of Defense's decision making process in considering the commitment of military forces. The NIC also influences resourcing by engaging in the formal process of reviewing and revising intelligence collection requirements.

(2) Major Stakeholders: The IC, NSC, DoD, DoS, and Joint Chiefs.

(3) Key Internal Processes: Through the production of NIEs (described in paragraph 5.A.) and all other intelligence products, or by participation in IWGs and other Advisory Committees or organizations (i.e., DCI panels listed in paragraph 2.B.), the NIC provides formal and informal intelligence support to policy makers.

(4) Associated Higher-Level Processes: National Security Strategy; National Military Strategy.

(5) Associated Lower-Level Processes: IC collection and production activities.

6. Informal National Security Process Involvement.

A. General: Informal processes involve coordination of estimates and judgments supplement the formal coordination processes. NIOs often engage in a more informal coordination process in responding to short-term, time-sensitive requests for analytic judgments or assessments on high-priority intelligence topics. For example, the NIC substantive expert on a particular topic could convene an ad hoc working group to develop a quick turnaround response to a specific information request from the DCI or other senior government official in response to a mission execution requirement.

Also, the NIC Chairman is frequently called upon to provide comments or advice to the DCI on a "no notice" basis, perhaps in a private office meeting or during a telephone conversation. An example of how the NIC can indirectly influence policy would be in providing background information (via the Chairman) to the DCI in preparation for his attending the National Security Council's Weekly Foreign Policy Breakfast.[22] In satisfying these requirements, the NIC Chairman functions as a top-level advisor.

B. NIOs: The NIOs also engage in informal national security processes by preparing the DCI for formal or informal meetings with other members of the IC, the Secretary of State, or the President's National Security Advisor. According to those interviewed, the NIOs also engage in personal consultations with other senior DoD officials, such as the Defense Intelligence Officers (DIOs), Senior State Department officials, or senior staff members of other government agencies and organizations.

C. NIC Influence: This depends on the recognized expertise and credibility of the NIOs, and to some degree, on their personality and interpersonal communication skills. The ability of the NIOs to gain respect and support of the other members of the IC is key to the success of the NIC. The personality, leadership style, and overall perception of the NIC Chairman affect the NIC's influence, as well. How he interacts with the DCI, and how he is regarded by other senior policymakers, and in the IC as a whole, is critical to the degree of influence the NIC can have on the national security process.

D. Other Personal Contacts: NIOs frequently hold informal discussions in a number of different venues to discuss substantive topics related to intelligence issues. Sometimes these discussions occur as staff members prepare formal analytical/estimative intelligence products; at other times merely as "think" sessions among colleagues. Substantive discussions can also take place at any of the numerous interagency working groups or DCI advisory boards or committees where NIOs are either members or invited participants. Sometimes they occur as sidebars at conferences, meetings, or seminars. Often, these unplanned meetings and discussions lead to

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[22]   For a description of the Weekly Foreign Policy Breakfasts, see the section on the Office of the Secretary of State in the volume entitled Department of State.

more formal exchanges or even result in the establishment of a special working group or ad hoc group to consider a particular topic.

7. Funding and Personnel.

      A. Authorizations and Appropriations: NIC funding is included under authorizations and appropriations for the Office of the Director of Central Intelligence, through the Community Management Staff budget.

      B. Manpower: The NIC staff consists of a Chairman, Vice Chairman, 12 National Intelligence Officers, each with a Deputy NIO and a staff from one to three senior analysts, along with technical and clerical support.

      C. Budget: Classified.

8. Observations.

      A. Based on comments from Council members, the NIC provides a unique type of staff support to the DCI and to other government organizations and offices. With its relatively small size and streamlined organization, the NIC is able to focus on substantive issues without being overly burdened by a large bureaucratic process or administrative requirements.

      B. The NIC functions as the DCI's "think tank" and contains an eclectic mix of expertise and experience. In addition to career CIA intelligence officers, NIOs are often experts from other (non-CIA) government agencies or even from outside the government. The ability of NIOs to expand beyond government intelligence activities to draw on other experts in the private or academic sectors is a nontraditional approach for the IC and a key NIC strength.

      C. The NIC exerts significant influence through the publication of the NIEs, which are considered to be authoritative intelligence community statements. These estimates are circulated among senior policy and decision makers. Thus, although the NIC is not specifically considered a policy or strategy making organization, the influence and support it lends to these processes is considerable. The views of the NIOs are heard at the top levels of government, and due to their acknowledged positions as the senior subject matter experts, their views are held in high regard.

      D. One senior official noted that the size of the NIO support staffs should be increased. This would allow the NIOs to increase the annual number of formal intelligence studies.

      E. Interagency coordination is crucial to the success of the NIC. NIOs are sensitive to the need for effective IC and interagency working relationships. From the NIC's perspective, the interagency coordination process works well, but it clearly depends on effective interpersonal communication and personal relationships.

      There is some indication that coordination between the NIC and organizations responsible for intelligence collection could be improved. While coordination for Human Intelligence (HUMINT) requirements development is good, coordination in Signal Intelligence
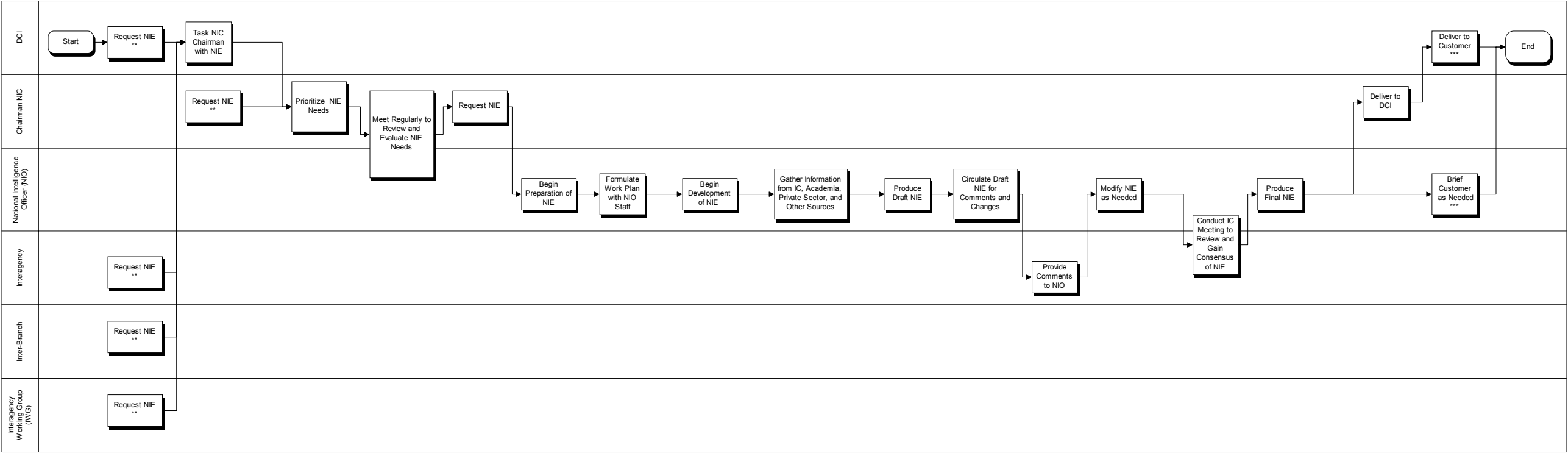
(SIGINT) and Imagery Intelligence (IMINT) requirements processes is less effective.[23] One reason for this may be that the NIC actively participates in HUMINT requirements processes through a formal interagency committee mechanism. However, although the NIC has the opportunity to review SIGINT and IMINT requirements and can influence them, the process is less formal than the process for HUMINT. The lack of an adequate formal process may affect both targeting and requirements development.

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23   Interview with NIO, 10/22/99.

APPENDIX

NIC - Key Process - (Formal) - Strategy, Policy, Guidance, and Regulation - National Intelligence Estimate Formulation (NIE) *

DCI	Start → Request NIE ** → Task NIC Chairman with NIE		Deliver to Customer *** → End
Chairman NIC	Request NIE ** → Prioritize NIC Needs → Meet Regularly to Review and Evaluate NIE Needs → Request NIE		Deliver to DCI
National Intelligence Officer (NIO)		Begin Preparation of NIE → Formulate Work Plan with NIO Staff → Begin Development of NIE → Gather Information from IC, Academia, Private Sector, and Other Sources → Produce Draft NIE → Circulate Draft NIE for Comments and Changes → Modify NIE as Needed → Conduct IC Meeting to Review and Gain Consensus of NIE → Produce Final NIE	Brief Customer as Needed ***
Interagency	Request NIE **		Provide Comments to NIO
Inter-Branch	Request NIE **		
Interagency Working Group (IWG)	Request NIE **		

*   In addition to policy, guidance, regulation, and strategy, NIC products may also have implications for resourcing and planning.
**   NIE requests can come from Executive Branch, Legislative Branch, or the Department of State.
*** NIE customers are usually, but not limited to, the White House, NSC, Congress, Department of State, and Pentagon.

IC - Intelligence Community
NIE - National Intelligence Estimate
NIO - National Intelligence Officer

Appendix 1

ORGANIZATIONAL DESCRIPTION

DEFENSE INTELLIGENCE AGENCY (DIA)

Prepared for the U.S. Commission on National Security/21st Century

EXECUTIVE SUMMARY

Defense Intelligence Agency (DIA)

Overview.

The Defense Intelligence Agency (DIA) reports directly to the Secretary of Defense, although administratively it falls under the direction of the Assistant Secretary of Defense for Communications, Command, Control and Intelligence (ASD(C3I)). DIA provides military intelligence products to the Director of Central Intelligence, and represents the military intelligence services in the national foreign intelligence process. Additionally, DIA provides defense intelligence to the Joint Staff through regular briefings for the Chairman of the Joint Chiefs of Staff (CJCS).

DIA's mission is to provide timely, relevant intelligence to the services, unified commands, defense decision and policy makers, and the individual warfighter.

DIA's products include:

- Intelligence estimates;

- Current intelligence;

- Indications and warnings on current imminent threats;

- Support to strategic and operational planning; and

- Mission execution in contingency, crisis, and combat operations.

DIA is designated by Title 10, United States Code, as a combat support agency (CSA) and employs over 7,000 military and civilian personnel. It occupies two major facilities, spaces in the Pentagon, and several smaller offices in the National Capital Region. The Armed Forces Medical Intelligence Center (AFMIC), located in Frederick, MD, and the Missile and Space Intelligence Center (MSIC) in Huntsville, AL, also report to DIA. DIA is the central agency for the management of all personnel and resources devoted to measurement and signature intelligence (MASINT) and military-related human intelligence (HUMINT). The agency also is responsible for managing the Defense Attaché Offices (DAOs) located in U.S. embassies.

Organization.

DIA is organized into a command element supported by nine corresponding staff elements and eight directorates, based on core functions and missions. The command element consists of the Director, Deputy Director, and Chief of Staff. The nine staff elements that support these offices are Director of Military Intelligence Staff; Executive Secretariat; General Counsel; Inspector General; Senior Enlisted Advisor; Plans, Programs, and Operations; Diversity Management; Comptroller; and Small and Disadvantaged Business Utilization.

The chief directorates and sub-directorates include:

- Central Measurement and Signature Intelligence Organization (CMO);

- Directorate for Intelligence, J-2;

- Directorate for Intelligence Production;

- Armed Forces Medical Intelligence Center (AFMIC);

- Missile and Space Intelligence Center (MSIC);

- Directorate for Operations;

- Directorate for Policy Support;

- Joint Military Intelligence College (JMIC).

Role in Formal and Informal National Security Process.

DIA is involved in several key processes related to defense strategy, policy, planning, preparation, and most significantly mission execution. DIA is the central source for defense-related intelligence in DoD and the Intelligence Community, and the Director, DIA is the principle briefer on defense intelligence for the Secretary of Defense, CJCS, Director of Central Intelligence (DCI), and other agencies, when appropriate.

Conclusions and Observations.

DIA plays a role in the national security process as the main source of defense intelligence. Its products figure most prominently into the strategy making, planning, policy making and mission execution processes of national security. In military-related missions, DIA plays the role of the central source for intelligence for combat support, planning, and operational guidance at all levels of engagement. As indicated in its mission statement, DIA places a high priority on providing relevant, timely intelligence to defense planners, policy makers, and warfighters.

ORGANIZATIONAL DESCRIPTION

DEFENSE INTELLIGENCE AGENCY (DIA)

1. Legal Specifications, Authorizations, and Responsibilities.

A. Authorizing Directive: The Defense Intelligence Agency (DIA), originally established in 1961, was created within the Department of Defense (DoD) pursuant to Section 113 of Title 10, U.S.C., which gives the Secretary of Defense broad powers to organize and create agencies within DoD as he deems necessary. Additionally, Section 193 of Title 10, U.S.C. designates DIA as a combat support agency, which gives the Chairman of the Joint Chiefs of Staff (CJCS) a role in oversight when related to military operations.

B. Department/Agency Directives: The current governing Directive is DoD Directive (DoDD) 5105.21 (18 February 1997), which replaced DoDD 5105.21 (19 May 1977). The Directive "reissues [DoDD 5105.21 (19 May 1977)] to update the responsibilities, functions, relationships and authorities of the DIA; and establishes the Military Intelligence Board (MIB), with mission, organization, responsibilities, functions, and authorities as prescribed herein."[1]

2. Missions/Functions/Purposes.

A. Mission: As set out by DoDD 5105.21 (18 Feb 1997), "DIA shall satisfy, or ensure the satisfaction of the military and military-related intelligence requirements of the Secretary and Deputy Secretary of Defense, the Chairman of the Joint Chiefs of Staff, other DoD Components, and, as appropriate, non-DoD Agencies of the Federal Government; and provide the military intelligence contribution to national foreign intelligence and counterintelligence."

In DIA's words, its mission is "[t]o provide timely, objective and cogent military intelligence to the warfighters—soldiers, sailors, airmen, marines—and to the decision makers and policymakers of the U.S. Department of Defense and the U.S. Government."[2]

B. Major Responsibilities: DoDD 5105.21 (18 Feb 1997) sets forth the following responsibilities for the Defense Intelligence Agency: "The Director of the Defense Intelligence Agency advises the Secretary and Deputy Secretary of Defense, the Chairman of the Joint Chiefs of Staff, the Combatant Commanders, and the ASD(C3I) on all matters concerning military and military-related intelligence; is the principal advisor on substantive intelligence matters to the Secretary and Deputy Secretary of Defense, the Chairman of the Joint Chiefs of Staff, the Combatant Commanders, and the ASD(C3I); is the principal DoD intelligence representative in the national foreign intelligence process; and, with the agreement of the Heads of the DoD Intelligence Components, is responsible for coordinating the employment of DoD Intelligence Components' personnel and resources to satisfy DoD intelligence requirements."[3]

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1 Department of Defense Directive 5105.21 (18 February, 1997).

2 Vector 21: A Strategic Plan for the Defense Intelligence Agency, Defense Intelligence Agency website, www.dia.mil/vector21.pdf

3 Department of Defense Directive 5105.21 (18 February, 1997).

In pursuit of these responsibilities, the Director, DIA, is required to perform the following functions, outlined in DODD 5105.21 (18 Feb 1997): [4]

       (1) Organize, direct, and manage the DIA and all assigned resources.

       (2) Provide peacetime, crisis, contingency, and combat intelligence support to the operational military forces.

       (3) Provide military intelligence support for the policy and planning activities of DoD and, as appropriate, for similar activities of non-DoD national authorities.

       (4) Be responsible for planning, programming, and budgeting activities in furtherance of the Defense Department intelligence mission as follows:

              (a) Prepare and submit the DIA program and budget input to the General Defense Intelligence Program (GDIP) as an input to the National Foreign Intelligence Program (NFIP); participate in the NFIP approval process, the DoD Foreign Counterintelligence Program, and the Joint Military Intelligence Program (JMIP).

              (b) Review and provide recommendations to the Chairman and the Assistant Secretary of Defense for Communications, Command, Control and Intelligence (ASD(C3I)) concerning the planning, programming, budgeting, and use of intelligence resources for the collection and production of intelligence in support of planning and operational requirements of the military forces in peacetime, crisis, contingency, and combat situations.

       (5) Establish and operate a Joint Staff Intelligence Directorate (J2) that shall be responsible for responding to the direct intelligence support requirements of the CJCS, and task DIA and the military intelligence components to provide this intelligence and intelligence staff support.

       (6) Manage and direct DoD human intelligence activities.

       (7) Participate in and support the activities of the Missile and Space Intelligence Center; the Intelligence Community centers, committees, and working groups established by the Director of Central Intelligence (DCI); and comparable activities established by the Secretary of Defense.

       (8) Prepare intelligence assessments and estimates concerning transfers of technology, goods, services, munitions, and other transfer mechanisms, and participate in interagency, national, and international fora on such transfer matters.

       (9) Protect the security of DIA installations, activities, property, information, and employees by appropriate means, including internal inquiries and reviews of civilian employees, military personnel assigned to DIA, and other persons having associations with DIA.

       (10) Provide representation on national and international intelligence fora.

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[4]   Department of Defense Directive 5105.21 (18 February, 1997).

(11) Conduct intelligence activities for which DIA is assigned responsibility, and coordinate the personnel and resources of the Military Intelligence agencies involved.

(12) Chair the Military Intelligence Board (MIB).

(13) Develop and coordinate joint intelligence doctrine in support of the CJCS.

(14) Operate the National Military Joint Intelligence Center (NMJIC) in support of military planning and operations, and ensure appropriate intelligence requirements for activities including: preparation, support, and conduct of coalition operations with international forces.

(15) Support the DoD weapons system acquisition process by producing threat assessments, or validating assessments produced by other DoD Intelligence agencies, for all major DoD acquisition programs. This function includes the maintenance of strong scientific and technical programs within DoD to provide inputs to the DoD acquisition process.

(16) Guide the collection of national military intelligence by performing the following functions:

(a) Operate the Defense Attaché System.

(b) Validate, register, and recommend priorities for military intelligence requirements.

(c) Provide central management of Measurement and Signature Intelligence (MASINT).

(17) Manage military intelligence support systems by performing the following functions:

(a) Oversee the research and development, procurement, and operation of DoD intelligence infrastructure-related programs, systems, and activities funded in the GDIP.

(b) Provide centralized intelligence dissemination services and supervise a DoD-wide intelligence dissemination system.

(18) Operate the Joint Military Intelligence Training Center and, in conjunction with ASD(C3I), oversee joint intelligence training activities within the Department of Defense.

(19) Operate the Joint Military Intelligence College (JMIC) for the professional education of joint intelligence officers in such a manner as to retain accreditation as an academic degree-granting college.

(20) Perform such other functions as the Secretary of Defense or the ASD(C3I) may prescribe.

C. Subordinate Activities/Agencies: Within DIA, the Military Intelligence Board (MIB)[5] shall advise the Director, DIA, concerning:[6]

      (1) How intelligence needs, plans, programs, and activities of the Military Services and the DoD Intelligence Components relate to improvement in intelligence capabilities to support the operating forces in peacetime, crisis, contingency, and combat situations.

      (2) Proposals for development and composition of the GDIP and JMIP, and information on execution of the approved GDIP and JMIP.

      (3) DoD Intelligence Component inputs to substantive national and military intelligence estimates and other substantive intelligence products on which a DoD position is being developed.

      (4) DoD Intelligence Component capabilities to provide intelligence required for Joint and Service-specific activities in ground, air, maritime, and amphibious operations.

      (5) Shortfalls within the military and national intelligence communities where attention should be directed.

      (6) DoD Intelligence Component recommendations concerning the operation of joint intelligence activities.

3. Vision and Core Competencies.

    A. Vision: In *Vector 21: A Strategic Plan for the Defense Intelligence Agency*, DIA describes its most critical responsibility as increasing its "relevance to and involvement with the warfighters, policymakers and planners" that it supports.[7] In support of this new approach, DIA's vision of military intelligence is to shape the future with "quality people, trained, equipped, and ready for joint operations, anywhere, anytime."[8] Characteristics of this vision include:

      (1) Intelligence driven by warfighter requirements;

      (2) Intelligence guided by joint doctrine and national policy; and,

      (3) Intelligence empowered by world-class leadership, joint education and professional experience.

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[5] The principals of the Military Intelligence Board are the heads or senior representatives of the DoD Intelligence components. Representatives of the military departments, the combatant commands, and the defense agencies, as appropriate, may also participate as MIB members

[6]   Department of Defense Directive 5105.21 (18 February, 1997).

[7]   DIA: Moving Toward the 21st Century, The Defense Intelligence Agency, found at Federation of American Scientists website, www.fas.org/irp/dia/product/001-03096.htm.

[8]   Vector 21: A Strategic Plan for the Defense Intelligence Agency, The Defense Intelligence Agency website, www.dia.mil/vector21.pdf.

B. Core Competencies: According to survey information received from DIA, "DIA's core competencies revolved around [its] ability to develop raw information onto finished all-source military intelligence for [its] customers to use in decision-making and action. The intelligence cycle consists of 5 components:

(1) Planning and Direction—establishes customer requirements.

(2) Collection—gathers raw data from which finished intelligence is produced.

(3) Processing and Exploitation—converts data to suitable form for production of finished intelligence.

(4) Analysis and Production—evaluates, analyzes, and integrates available data and prepares intelligence products (reports, studies, briefings, etc.).

(5) Dissemination and Integration—delivers intelligence products to consumers who generate requirements established in the Planning and Direction component."

4. Organizational Culture.

A. Values: DIA lists the following values: [9]

(1) Public Service: DIA must continually serve the interests of the American people, conserve their resources, and respond to their representatives in government.

(2) On-time intelligence: Provide the finest intelligence to U.S. policy makers, warfighters, peacekeepers, and defense planners in a timely manner.

(3) Dedication and Strength of Purpose: Understand that American lives depend on the intelligence provided by DIA and approach every task mindful of this obligation.

(4) Engagement of customers: Actively anticipate consumer needs, respond to changing requirements, and deliver quality products.

(5) Integrity: Ensure absolute integrity of intelligence products and follow the highest personal and professional standards and conduct.

(6) Sound management and leadership: Honest, empowering, effective principles of team building, coordination, communication, and decision-making.

(7) Maximizing individual and collective potential: Encourage creativity and initiative, and exploit growth opportunities with the aim of constantly improving individual and team contributions to DIA as a combat support agency.

(8) Harmony in professional relations: Create an environment that promotes fairness and openness, nurtures self esteem and individual worth, and respects cultural diversity.

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[9]   Vector 21: A Strategic Plan for the Defense Intelligence Agency.

(9) Promoting teamwork as a way of life: View mission accomplishment as a shared responsibility and an individual and organizational commitment to the greater good.

B. Leadership Traditions: The Director, Defense Intelligence Agency, is an officer of flag rank appointed by the Secretary of Defense from active military officers. The Director is responsible for advising the Secretary and Deputy Secretary of Defense, the Chairman of the Joint Chiefs of Staff, the Combat Commanders, and the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence) on all matters concerning military and military-oriented intelligence, and serves as their principle advisor on all substantive intelligence matters. Additionally, the Director, DIA serves as the principle DoD intelligence representative in the national foreign intelligence process, and holds responsibility for coordination of personnel resources for the other military intelligence services.[10]

Administrative responsibility for DIA rests with the ASD(C3I), but the DIA Director submits all intelligence estimates and other substantive intelligence products directly to the Secretary and Deputy Secretaries of Defense, and when appropriate, to the CJCS and the Director of Central Intelligence.[11] The Director has a civilian deputy, as well as a civilian Executive Director, who serves as acting Director in the absence of the Director or Deputy Director. At the mid to senior level, DIA places value on skilled and flexible managers, which it seeks to cultivate from within its ranks.

C. Staff Attributes: According to the Defense Intelligence Agency, it relies on a highly responsive, skilled, flexible, and competent staff in order to support its missions and respond to the higher tempo of operations today.[12] The staff of DIA is made up both of a civilian civil service and a military component assigned from the various services for joint duty.

In pursuit of a skilled staff, DIA recruits personnel trained in military art, operations, and defense policy, those with regional expertise, as well as technically trained personnel with a variety of computer and telecommunications skills. It seeks to develop senior level personnel from within the organization via internal development of personnel along defined career paths from entry level to senior managerial positions. DIA seeks to develop and retain its skilled personnel through a variety of training, certification, mentorship, and other professional development opportunities.

D. Strategy: The DIA mission, as stated above, is to deliver timely and relevant intelligence to support the military services, policy makers, and warfighters. In order to accomplish this mission, DIA has developed a strategy called *Vector 21: A Strategic Plan for the Defense Intelligence Agency*. This document reflects the vision, mission, values, organization, and goals that will bring DIA into the next decade. It includes direction and guidance from the National Military Strategy and Joint Vision 2010.[13] *Vector 21* examines the future threat environment, assesses the current role of DIA, and develops the DIA framework to respond to that future in fulfillment of its mission.

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[10] Department of Defense Directive 5105.21 (18 February, 1997). Mission & Functions: Defense Intelligence Agency, Federation of American Scientists website, www.fas.org/irp/dia/mission.htm.

[11] Department of Defense Directive 5105.21 (18 February, 1997).

[12] Vector 21: A Strategic Plan for the Defense Intelligence Agency.

[13] Vector 21: A Strategic Plan for the Defense Intelligence Agency.

E. Organizational Description:

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                          │    DIRECTOR     │
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                          ┌────────┴────────┐
                          │     DEPUTY      │
                          │    DIRECTOR     │
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DIRECTORATE FOR INFORMATION SYSTEMS & SERVICES	JOINT MILITARY INTELLIGENCE COLLEGE	PLANS, PROGRAMS & OPERATIONS

Under PLANS, PROGRAMS & OPERATIONS:

DEFENSE FOREIGN LIAISON	LEGISLATIVE LIAISON	PUBLIC AFFAIRS

DIRECTORATE FOR POLICY SUPPORT	DIRECTORATE FOR INTELLIGENCE OPERATIONS	DIRECTORATE FOR ADMINISTRATION	DIRECTORATE FOR INTELLIGENCE PRODUCTION	DIRECTORATE FOR INTELLIGENCE, JOINT STAFF (J-2)

| DEFENSE INTELLIGENCE OFFICERS | | JOINT INTELLIGENCE TRAINING CENTER / COUNTER-INTELLIGENCE & SECURITY ACTIVITY | | NATIONAL MILITARY JOINT INTELLIGENCE CENTER |

CENTRAL MASINT OFFICE	DEFENSE HUMINT SERVICE	MISSILE & SPACE INTELLIGENCE CENTER	ARMED FORCES MEDICAL INTELLIGENCE CENTER

Figure 1: Defense Intelligence Agency (DIA)[14]

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[14] Vector 21: A Strategic Plan for the Defense Intelligence Agency.

(1) The DIA Director, a general or flag officer, reports directly to the Secretary of Defense, although administratively he falls under the direction of the ASD(C3I). The Deputy Director is a civilian who serves directly under the Director and assists in the overall management of DIA.

(2) The Directorate for Information Systems & Services is a support agency that manages DIA's information technology and services.

(3) The Joint Military Intelligence College (JMIC) is a unique school that is accredited to award the Master of Science of Strategic Intelligence degree and the Bachelor of Science in Intelligence degree. The JMIC prepares its students for senior leadership positions in the military and the Intelligence Community by training intelligence professionals and military service members in intelligence with respect to military operations, force planning, and defense policymaking. The JMIC also offers the Post-Graduate Intelligence Program with a Master of Science of Strategic Intelligence (MSSI), the only degree of its kind, as a premier professional development opportunity. Research done here contributes directly to U.S. national security and to the theory, doctrine, and methodology of intelligence.

(4) Plans, Programs & Operations (PP&O) staff is responsible for internal planning and programming. There are three other areas of responsibility within PP&O:

(a) Defense Foreign Liaison works with foreign military counterparts.

(b) Legislative Liaison works with Congress.

(c) Public Affairs responds to public and media inquiries.

(5) The Directorate for Policy Support, under which all Defense Intelligence Officers serve, ensures that the intelligence needs of the Office of the Secretary of Defense (OSD) are fully satisfied. This involves providing specially tailored, daily substantive intelligence support to over 200 key defense policymakers. The directorate also serves as DIA's central authority for the management of DoD components' military intelligence agreements (non-Signals Intelligence (SIGINT)/ Imagery Intelligence (IMINT)) with foreign governments and international organizations, and for the release of DIA information to foreign entities.

(6) The Directorate for Intelligence Operations (IO) supports the national military strategy, collects Human Intelligence (HUMINT) information (through the Defense HUMINT Service), and manages collection requirements (Defense Collection Group) to ensure U.S. information superiority. Additionally, within the Directorate for IO, the Central MASINT Organization (CMO) manages measurement and signature intelligence (MASINT) for the National Foreign Intelligence Program (NFIP) and DoD.

(7) The Directorate for Administration (DA) provides central administrative oversight for DIA's security, military, and human resources, training and career development, as well as other areas and programs. Within the DA are the Joint Intelligence Training Center (JITC) and Counterintelligence & Security Activity (C&SA).

(a) The JITC provides training for DIA staff members on other defense intelligence needs as they may arise. This training is provided at all levels in basic defense intelligence skills, management, analysis, collection management, and automated systems.

(b) C&SA is directly involved in counterintelligence issues and assessments of threats posed by foreign intelligence activities. C&SA also provides staff support on counterintelligence to the CJCS and combatant commands.

(8) The Directorate for Intelligence Production (IP) produces and manages the all-source military intelligence knowledge base supporting the warfighter, policy makers and weapons acquisition community on regional, transnational, scientific and technical, missile, and medical topics. It ensures analytical capability is focused to satisfy customer needs across the entire spectrum of conflict. It operates the Operational Intelligence Crisis Center (OICC), which manages crisis-related all-source military intelligence production throughout DoD. Within the Directorate for IP are the Armed Forces Medical Intelligence Center (AFMIC) and the Missile & Space Intelligence Center (MSIC).

(a) The MSIC manages and produces all-source scientific and technical intelligence on foreign missiles, missile defense systems, directed energy weapons, selected space program/systems, and relevant command, control, communications, and computer systems.

(b) The AFMIC manages and produces all-source finished medical intelligence assessments that support U.S. military forces, national policy officials, and the medical research, development and acquisition community.

(9) The Directorate for Intelligence, J-2, supports CJCS, OSD, the Joint Staff, and the unified commands. The J-2 is the national level focal point for crisis intelligence support to military operations providing indications and warning intelligence in DoD and unified command intelligence requirements. This directorate also has an alert center called the National Military Joint Intelligence Center. The alert center represents the Director, DIA; the Director for Intelligence, J-2; and DIA during non-duty hours and provides military/crisis intelligence continuity for other intelligence producers and national-level decision makers.

5. Formal National Security Process Involvement. DIA is a player in the national security process by providing estimates and other intelligence products to the Secretary of Defense and the DCI.

A. Strategy Development: DIA does not play a direct role in strategy development, but provides intelligence to the Secretary of Defense, Chairman of the Joint Chiefs of Staff, and the Director of Central Intelligence. As the central source responsible for military intelligence for these three key players, the work done by DIA has a direct impact on visions, goals, and strategy for national security in the future.

The Director, DIA, chairs the MIB, which is composed of the heads, or senior representatives, of the DoD Intelligence Components. It advises the DIA Director concerning inputs to substantive national and military intelligence estimates and other substantive intelligence products on which a DoD position is being developed; shortfalls within the military

and national intelligence communities where attention should be directed; and other substantive and programmatic issues.

DIA is a member of the three interagency committees of the National Intelligence Council: Weapon and Space Systems Intelligence Committee (WSSIC), Scientific and Technical Intelligence Committee (STIC), and Joint Atomic Energy Intelligence Committee (JAEIC). Both the WSSIC and STIC meet twice monthly, and JAEIC meets once a month. These committees conduct coordinated interagency analyses of topics, which usually require specific subject matter expertise in scientific, technical, and engineering areas. DIA also plays a role in Interagency Working Groups as needed.

B. Policy Guidance and Regulation: DIA's Directorate for Policy Support (DP) provides direct intelligence support to the Office of the Secretary of Defense. The DP serves as the DIA focal point for tasking of all intelligence support requirements from the Secretary of Defense and other DoD principals, as well as non-DoD Executive Branch policy offices including the White House, National Security Council, State Department, and the President's Foreign Intelligence Advisory Board.[15]

C. Planning: DIA's Directorate for Intelligence Production (DI) produces and manages the production of military intelligence in support of the requirements of the armed forces, unified commands, and DoD and national policy makers for planning and policy.

D. Mission Execution: Mission execution for the military services is a key function for DIA at all levels—from peacekeeping to combat operations. Within the national security process, DIA is most concerned with mission execution for military operations, and provides key intelligence for the operational execution of such missions. Intelligence products also are provided for other kinds of operations, but combat support and support to the warfighter are central to the values and competencies of DIA.

The Directorate for Intelligence, Joint Staff (J2) has the major responsibility for military mission execution, serving the CJCS, Secretary of Defense, Joint Staff, and Unified Commands. J2 is the focal point for crisis intelligence support. As part of the National Military Joint Intelligence Center, J2 provides real-time assessments and targeting support to decision makers, while the Defense Intelligence Network disseminates timely crisis intelligence around the world.[16] Additionally, within the DI, the "Operational Intelligence Crisis Center (OICC) manages crisis-related military intelligence production, including joint intelligence preparation of the battle space."[17]

E. Observation, Orientation, and Oversight: DIA does not play a major role in this area of the national security process; however, the intelligence provided by DIA to key players in DoD does play a role in observation, orientation, and oversight as appropriate. Within DIA itself, the DI is responsible for ensuring that intelligence production is responsive to defense and

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15   Vector 21: A Strategic Plan for the Defense Intelligence Agency.   Organization: Defense Intelligence Agency, Federation of American Scientists website, www.fas.org/irp/dia/organ.htm.

16   Vector 21: A Strategic Plan for the Defense Intelligence Agency.

17   Vector 21: A Strategic Plan for the Defense Intelligence Agency.

national strategy guidelines, and reviewing programs, missions, and technical capabilities with respect to the changing threat environment.

F. Preparation: DIA does not engage in preparation on the national security process level. Within DIA, there are several professional development programs, such as the JMIC and JITC, which are utilized in the DIA preparation process. At the national security level, DIA is only involved to the extent that preparation programs within DIA create an agency well prepared to serve its mission within the larger national security process.

G. Resourcing: The Director, DIA, serves as Program Manager of the General Defense Intelligence Program within the National Foreign Intelligence Program, develops the GDIP as an input to the NFIP, participates in the NFIP approval process, and oversees execution of funds appropriated for GDIP and GDIP-related activities. The Director, DIA, also serves as the Defense General Intelligence and Applications Program (DGIAP) coordinator for the Joint Military Intelligence Program (JMIP).

6. Informal National Security Process Involvement: The Director, DIA, can make direct contact with his counterparts and the leadership in DoD and Intelligence Community, as well as other departments and agencies as necessary in order to fulfill the mission of DIA.

7. Funding and Personnel: Specific funding and personnel information is secret, and therefore not publicly available.

A. Authorization and Appropriations: The Senate Armed Services and House Armed Services Committees, Senate Select Committee on Intelligence and House Permanent Select Committee on Intelligence, and the Authorization Committees of each house have jurisdiction over DIA budgets.

B. Funding Sources: DIA receives resources from the National Foreign Intelligence Program, the Joint Military Intelligence Program, and from Communications Security (COMSEC) accounts in the DoD budget. Within the NFIP, DIA receives funding through the General Defense Intelligence Program as well as the Foreign Counterintelligence Program (FCIP). Within the JMIP, DIA receives funding through the Defense General Intelligence and Applications Program, as well as the Counterdrug Intelligence Program. The vast majority of DIA funds are in the GDIP, where DIA serves as the functional manager for Production, Collection, and Infrastructure; coordinating the DIA and Service GDIP activities. The Director, DIA, serves as the Program Manager for GDIP resources and activities.

C. Budget: Classified.

D. Personnel: Officially, DIA's personnel statistics are classified. Unofficially, DIA employs approximately 7,000 military and civilian professionals from all intelligence related disciplines. Manning is approximately 61 percent civilian and 39 percent military.

8. Conclusions and Observations: DIA is the central coordinator of military intelligence for the Department of Defense and the Intelligence community. It provides current and estimative defense-related intelligence, as well as Indications and Warnings reports on current threats, to the

National Command Authority, the Director of Central Intelligence, the Secretary and Deputy Secretary of Defense, the Chairman of the Joint Chiefs of Staff, and the Combatant Commands.

DIA plays a role in the national security process as the main source of defense intelligence. Its products figure most prominently in the strategy making, planning, policy making, and mission execution processes of national security. In military-related missions, DIA plays the role of the central source for intelligence for combat support, planning, and operational guidance at all levels of engagement. As stated in its mission statement, DIA places a high priority on providing relevant, timely intelligence to defense planners, policy makers, and warfighters in order that they fulfill their missions.

ORGANIZATIONAL DESCRIPTION

NATIONAL SECURITY AGENCY/ CENTRAL SECURITY SERVICE

Prepared for the U.S. Commission on National Security/21st Century

EXECUTIVE SUMMARY

National Security Agency (NSA)/Central Security Service (CSS)

Overview.

The National Security Agency (NSA) was established as an agency within the Department of Defense (DoD) in 1952. In 1972 the Central Security Service (CSS) was established to coordinate cyrptologic activities within the military and to create a more unified DoD effort. NSA/CSS is an element of both DoD and the Intelligence Community (IC) and is a Joint Chiefs of Staff Combat Support Agency. NSA/CSS has two broad missions, signals intelligence (SIGINT) and information systems security (INFOSEC). NSA/CSS is responsible for briefing the National Command Authority, Secretary of Defense, Director of Central Intelligence, and Chairman of the Joint Chiefs of Staff on all matters related to SIGINT, and receives specific taskings from the Director of Central Intelligence (DCI).

Organization.

The Director, NSA, is also the Chief, CSS. NSA/CSS Headquarters is organized into five directorates, each headed by a Deputy Director. Mission components are the Operations Directorate, which provides signals intelligence, and the Information Systems Security Directorate, which protects intelligence. The Support Services, Corporate Management, and Technology and Systems Directorates provide support for the missions. Intelligence units from the Service Cryptologic Elements (SCE) of the Army, Navy, Air Force, and Marine Corps and NSA/CSS personnel conduct operations under the oversight of the NSA Director at Fort Meade, MD, field sites around the world, and three Regional Security Operations Centers (RSOC) that provide focused support to major military commands. NSA/CSS also supervises the Cryptologic Training System (CTS), consisting of the National Cryptologic School (NCS) at Fort Meade and the Service cryptologic centers and schools, which provide training for all cryptologic personnel.

Role in Formal and Informal National Security Process.

NSA/CSS's SIGINT and information systems security capabilities play a role in the national security process. Specifically, the information NSA/CSS collects, processes, and disseminates to the national leadership allows it to support the strategy, policy making, and planning processes. Additionally, NSA/CSS plays a role in mission execution, oversight, preparation, and resourcing.

Conclusions and Observations.

NSA is a player in the national security process, and plays a significant role within the Intelligence Community. As the central agency for collection, processing and dissemination of signals intelligence, NSA has primary responsibility for briefing the DCI , as well as the Secretary of Defense and Chairman of the Joint Chiefs of Staff on SIGINT. Additionally NSA sits on the Military Intelligence Board (MIB), which is a formal connection between NSA, the Defense Intelligence Agency (DIA) and the National Imagery and Mapping Agency (NIMA). In these roles, NSA has the most impact on strategy, policy making, planning, and mission

execution, while having a lower impact on the observation, preparation, and resourcing processes.

ORGANIZATIONAL DESCRIPTION

NATIONAL SECURITY AGENCY (NSA)/CENTRAL SECURITY SERVICE (CSS)

1. Legal Specifications, Authorizations, and Responsibilities.

      A. Authorizing Directive: The National Security Agency (NSA) was established within the Department of Defense (DoD) by Presidential directive dated October 24, 1952, and implemented by National Security Council Intelligence Directive 9 on December 29, 1952.

      B. Department/Agency Directives: The following Directives/Orders have bearing on NSA/CSS:

      (1) Department of Defense Directive 5100.20 (5 November 1971) "prescribes authorities, functions, and responsibilities of the National Security Agency (NSA) and the Central Security Service (CSS)."[1] The NSA is a separately organized agency within DoD under the direction of the Secretary of Defense. The CSS was created in an effort to centralize within NSA the Signals Intelligence (SIGINT) capabilities of the military services. The result is that NSA/CSS is the chief coordinator of SIGINT for the Intelligence Community (IC). NSA/CSS is also charged with providing secure communications systems for all U.S. government departments and agencies.

      (2) Executive Order 12333 (4 December 1981) outlines thirteen responsibilities for NSA. (See Paragraph 2)

      (3) National Security Directive 42 (5 July 1990) designates the Director, NSA, as the National Manager for National Security Telecommunications and Information Systems Security. Included in the responsibilities are examining U.S. Government national security systems and evaluating their vulnerabilities to foreign interception and exploitation; acting as the U.S. government focal point for cryptography, telecommunications systems security, and information systems security for national security systems; prescribing the minimum standards, methods, and procedures for protecting cryptographic and other technical security material, techniques, and information related to national security systems; reviewing and assessing annually the national security telecommunications systems security programs and budgets of Executive departments and agencies of the U.S. Government; and reviewing annually the aggregated national security information systems security program and budget recommendations of the Executive departments and agencies of the U.S. Government.

      (4) National Security Council Intelligence Directive No. 6 (17 Feb 1972) designates the Secretary of Defense as the Executive Agent of the Government for the direction, supervision, funding, maintenance and operations of NSA/CSS as the unified SIGINT organization of the United States.

      (5) Department of Defense Directive S-3115.7 (25 January 1973) assigns responsibilities, roles, and missions to DoD components with regard to the SIGINT mission of

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[1]   Department of Defense Directive 5100.20, The National Security Agency and the Central Security Service, Dec. 23, 1971.

the U.S. and directs the Director, NSA/Chief, CSS to conduct all DoD SIGINT operations except when he delegates SIGINT operational tasking authority over NSA/CSS activities.

2. Missions/Functions/Purposes.

A. Major Responsibilities: The Director, NSA/Chief, CSS acts as the principle SIGINT advisor to the Secretary of Defense, the Director of Central Intelligence, and the Chairman of the Joint Chiefs of Staff. Executive Order 12333 is the blueprint for all intelligence agency interaction. The Director of Central Intelligence (DCI) oversees this process and is the primary link between the IC and the National Security Council (NSC). The Order also outlines thirteen specific responsibilities for NSA in detail:

(1) The Order establishes and guides the operation of an effective unified organization for signals intelligence activities, except for the delegation of operational control over certain operations that are conducted through other elements of the Intelligence Community. No other department or agency may engage in signals intelligence activities except pursuant to a delegation by the Secretary of Defense.

(2) It vests in NSA control of signals intelligence collection and processing activities, including assignment of resources to an appropriate agent for such periods and tasks as required for the direct support of military commanders.

(3) It authorizes collection of signals intelligence information for national foreign intelligence purposes in accordance with guidance from the Director of Central Intelligence.

(4) It grants responsibility for the processing of signals intelligence data for national foreign intelligence purposes in accordance with guidance from the Director of Central Intelligence.

(5) The Order requires dissemination of signals intelligence information for national foreign intelligence purposes to authorized elements of the Government, including the military services, in accordance with guidance from the Director of Central Intelligence.

(6) The Order governs collection, processing and dissemination of signals intelligence information for counterintelligence purposes.

(7) It outlines provision of signals intelligence support for the conduct of military operation in accordance with tasking, priorities, and standards of timeliness assigned by the Secretary of Defense. If provision of such support requires use of national collection systems, these systems will be tasked within existing guidance from the Director of Central Intelligence.

(8) The Order charges NSA with executing the responsibilities of the Secretary of Defense as executive agent for the communications security of the United States Government.

(9) Conduct of research and development to meet the needs of the United States for signals intelligence and communications security as required.

(10) The Order provides for the protection of the security of its installations, activities, property, information, and employees by appropriate means, including such investigations of applicants, employees, contractors, and other persons with similar associations with the NSA as are necessary.

(11) It also prescribes, within its field of authorized operations, NSA security regulations covering operating practices, including the transmission, handling and distribution of signals intelligence and communications security material within and among the elements under control of the Director of the NSA, and exercising the necessary supervisory control to ensure compliance with the regulations.

(12) It governs conduct of foreign cryptologic liaison relationships, with liaison for intelligence purposes conducted in accordance with policies formulated by the Director of Central Intelligence.

(13) Finally the Order outlines NSA conduct of such administrative and technical support activities within and outside the United States as are necessary to perform the functions described in sections (1) through (12) above, including procurement.

B. Subordinate Activities: Information Operations Technology Center (IOTC) is an Intelligence Community activity that is hosted by NSA within NSA facilities. IOTC was created in 1997 jointly by the Deputy Secretary of Defense and the DCI. Its main mission is to ensure that tools and techniques developed to support information operations by either the IC or DoD are shared, precluding duplication of effort and increased risk of compromise. Oversight of IOTC is held by the Bilateral Information Operations Steering Group, and thus is a joint DoD/IC activity.

3. Vision and Core Competencies.

A. Vision: According to NSA, "intelligence and information security work together as the offensive and defensive squads of a team dedicated to a single goal: information security for America and its Allies."[2] In order to implement this vision, the NSA has adopted a National Cryptologic Strategy for the 21st Century (NCS 21) as a roadmap for the future.

B. Core Competencies: NCS 21 enumerates five specific core competencies/continuing goals for the NSA:

(1) A guarantee of vital information for NSA customers. NSA seeks to:

(a) Ensure the efficient operation of all cryptologic functions of the U.S. government.

(b) Be the preferred source of actionable intelligence.

(c) Be the preferred provider of information systems security solutions.

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[2]   National Security Agency official website, www.nsa.gov:8080/programs/ncs21/vision.html.

(d) Foster cooperation between government and industry, and establish key technology standards.

(e) Establish a center for technical excellence for information warfare.

(f) Examine adequacy of existing authorities for information age cryptology.

(2) Integration of cryptology with joint operations to ensure dominant battlespace knowledge. NSA seeks to:

(a) Anticipate warfighter intelligence needs on time, anywhere, with the lowest possible classification.

(b) Provide the information security products and services necessary for battlespace security.

(c) Improve readiness as a Combat Support Agency to ensure participation in exercises and operations.

(d) Ensure interoperability of cryptologic systems.

(3) Integration of cryptologic support to enable policy makers to promote stability and thwart aggression. NSA seeks to:

(a) Expand collaboration with law enforcement agencies to improve support to counterintelligence, nonproliferation, and transnational issues.

(b) Work with policy customers to improve interoperability and ensure that intelligence can be tailored to meet customer needs.

(c) Expand "pull" dissemination capabilities to enable customers to initiate real time requests to improve crisis support.

(d) Work with the IC to create interactive databases that will enable searches for information gathered by members of the IC.

(4) Sustainment of leading edge capabilities in key technologies to remain the world's cryptologic leader. NSA seeks to:

(a) Work closely with U.S. industry to integrate technology forecasts and assess the rate of market implementation.

(b) Broaden collaborative partnerships with industry, academia, and other government agencies to maximize the return on technology investments.

(c) Focus research and development efforts on breakthrough capabilities.

(d) Expand our capability to model and simulate information operations.

(e) Develop applications to leverage emerging technologies; and sustain both offensive and defensive information warfare capabilities.

(5) Continued transformation of the cryptologic workforce, process, and infrastructure in order to meet emerging challenges. NSA seeks to:

(a) Recruit and retain the best qualified and best mix of personnel available.

(b) Invest in personnel through training, education, and career development.

(c) Provide the environment, systems, and facilities that personnel require to fulfill their mission.

(d) Empower the workforce to reengineer their processes to improve efficiency and create value.

(e) Foster an environment that encourages every employee to contribute.

4. Organizational Culture.

A. Values: NSA/CSS specifically highlights four values for the organization:

(1) People with skills and competencies second to none, adaptability and diversity, a willingness to take risks, and a forward-thinking, innovative approach to challenges;

(2) Strength from teamwork, effective partnerships with other federal agencies and private industry, and a relentless commitment to exceed customers' expectations;

(3) Focus driven by customer needs; and

(4) Responsibility that comes from accountability for its actions and the highest standards of ethical behavior[3]

B. Leadership Traditions: The Director, NSA/Chief, CSS, is an appointed general or flag officer (usually a lieutenant general or vice admiral), while the Deputy Director is a technically experienced civilian, typically a career NSA/CSS officer promoted from within the agency. The Deputy Chief, CSS is a military officer, typically of a different military service than the Chief.

A review of NSA/CSS's literature and additional information from in-house experts suggests that NSA does seek to function as a team and is customer focused. The customers in this case are the White House, Executive Agencies, Office of the Secretary of Defense (OSD),

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[3]   National Security Agency official website, www.nsa.gov:8080/programs/ncs21/values.html.

Chairman of the Joint Chiefs of Staff (CJCS), Commanders-in-Chief (CINCs), Military Departments, multinational forces and allies, and industry.

The NSA/CSS leadership's vision of team identity is embedded through the numerous training and development opportunities given to personnel through the National Cryptological School and sponsorship at leading universities. This training serves to upgrade skills and helps retain and advance qualified staff. Employees are also encouraged to reengineer their own processes to help improve the timeliness and quality of NSA/CSS's intelligence products and services. These practices were recently recognized by the White House, when NSA/CSS received a Presidential Quality Improvement Award on July 15, 1999. The award is presented annually to federal organizations who demonstrate: 1) Sound and systematic approaches to delivering quality products and services to customers; 2) Continuous process improvements; and 3) Documented business practices.

C. Staff Attributes: NSA/CSS consists of a jointly staffed headquarters made up of operating elements from the various military services. Additionally, the NSA/CSS staff includes a civilian career service similar to that of the Central Intelligence Agency. Within this civilian career service a great premium is placed on skills and education with numerous programs to augment employee education and accelerate career opportunities. There is also a specialized National Cryptologic School within the NSA headquarters.

D. Strategy: NSA/CSS has a dual mission of Information Security (INFOSEC) and SIGINT. Its strategy for achieving this mission is outlined in its National Cryptologic Strategy for the 21st Century (NCS 21). This strategy is based on the core values of guaranteed vital information to customers, integration of cryptology with joint operations to ensure dominant battle space knowledge, integration of cryptologic support to promote stability, sustainment of leading edge capabilities in key technologies, and continued transformation of the workforce and infrastructure to meet emerging challenges (See section 3-B above). These values are grounded in an understanding that NSA is a customer-based agency that must be responsive to customer needs in order to be successful in its mission.

E. Organizational Structure:
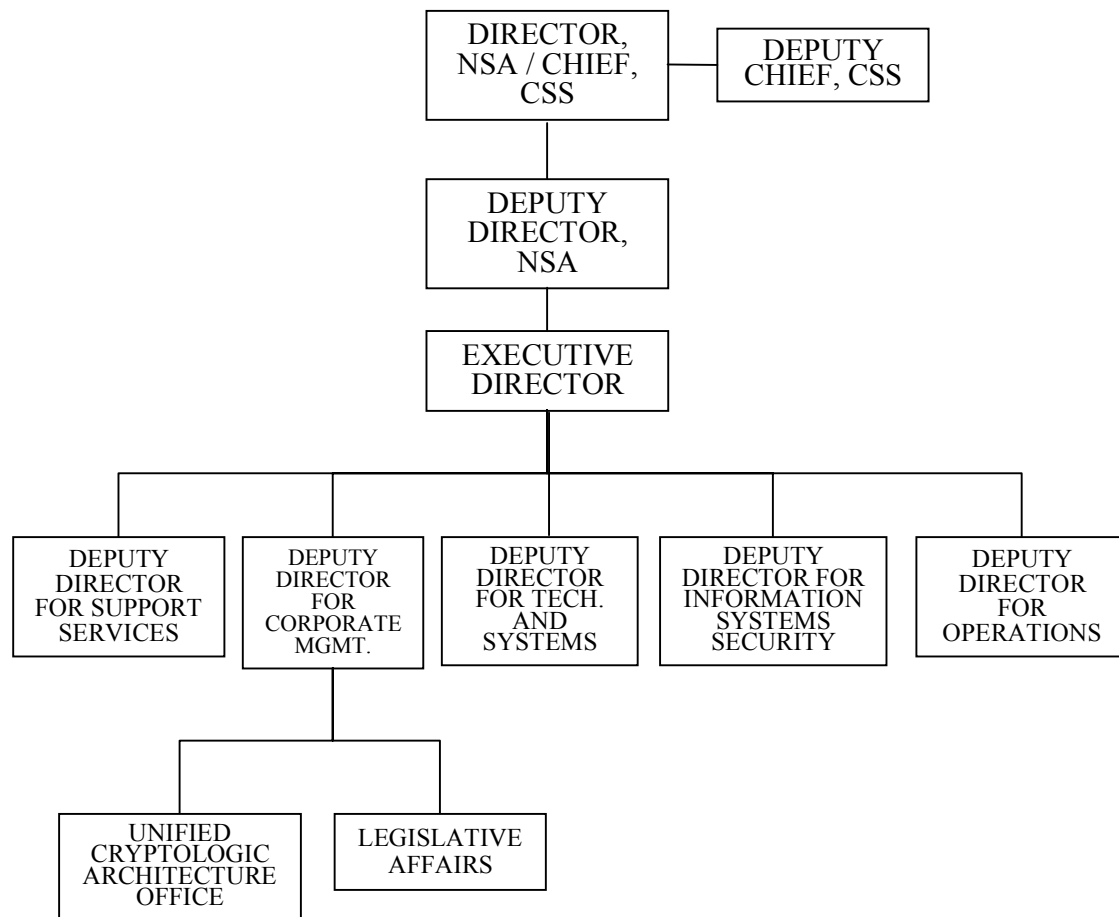
Figure 1: National Security Agency (NSA)/Central Security Service (CSS)[4]

(1) NSA and CSS are led by an appointed general or flag officer who serves as both the Director, NSA and as Chief, CSS. The Deputy Chief of CSS is a military officer, typically of a different military service than the Chief. The Deputy Chief oversees the Service cryptologic organizations, which remain in their parent services for administrative and logistical support. A technically experienced civilian, typically a career NSA/CSS officer promoted from within the agency serves as the Deputy Director of NSA. The Executive Director assists the Director and Deputy Director with the overall management of NSA.

(2) **The Deputy Director for Support Services** heads the directorate responsible for providing logistical and administrative support for NSA activities.

(3) **The Deputy Directory for Corporate Management** (formerly known as Plans, Policy, and Programs) provides staff support and general direction and internal planning for NSA. Within the Corporate Management Directorate are two subordinate offices.

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[4]   A Consumer's Guide to Intelligence, Central Intelligence Agency Public Affairs Staff, 1995.

(a) The Unified Cryptologic Architecture Office is responsible for managing and maintaining the overall cryptologic systems and infrastructure for NSA and the military intelligence agencies.

(b) The Legislative Affairs Office serves as NSA's liaison with Congress and the intelligence oversight committees.

(4) The Deputy Director for Technology and Systems is responsible for developing new technologies for SIGINT collection and processing. The directorate performs R&D for future SIGINT capabilities, including audio and speech signal processing, and algorithms and databases for signal processing. Additionally it provides performance parameters, requirements, and system configurations for collection.

(5) The Deputy Director for Information Systems Security is responsible for NSA's communications INFOSEC missions. This involves protection of all classified or sensitive information that is either stored or sent through U.S. government equipment.

(6) The Deputy Director for Operations oversees worldwide SIGINT collection operations.

5. Formal National Security Process Involvement. As an agency within the Intelligence Community responsible for signals intelligence and information systems security, NSA/CSS plays a supporting role in the overarching national security process. NSA/CSS provides key inputs to the DCI, who oversees the IC and disseminates intelligence to the NSC and others.

A. Strategy Development: NSA plays the major role in collecting, processing, and disseminating signals intelligence, which is required by the National Command Authority, the Secretary of Defense, the DCI, and other members of the IC to develop strategy as needed. Additionally, NSA/CSS is a member of the Military Intelligence Board (MIB), which is composed of the heads, or senior representatives, of the DoD Intelligence Components and advises the DIA Director. The MIB provides inputs to substantive national and military intelligence estimates and other substantive intelligence products on which strategy is based. NSA/CSS is also a member of the three interagency committees of the National Intelligence Council: 1) Weapon and Space Systems Intelligence Committee (WSSIC); 2) Scientific and Technical Intelligence Committee (STIC); and 3) Joint Atomic Energy Intelligence Committee (JAEIC). These committees conduct coordinated interagency analyses of topics with subject matter dealing in scientific, technical, and engineering area inputs to strategy development. Another formal process in which NSA/CSS participates is the formulation of the President's Daily Briefing and Senior Executive Intelligence Brief. These are both prepared in cooperation with the CIA and can play a role in the development of strategy.

B. Policy Guidance and Regulation: NSA/CSS is responsible for signals intelligence and secure communications regulations and policies. This entails working towards maximum interoperability of secure systems and intelligence dissemination. Specific details on these regulations and the processes by which they are adopted and implemented are classified and unavailable.

C. Planning: NSA/CSS provides SIGINT to its customers in response to standing and rapid response requirements. The National SIGINT Requirements System (NSRS) is the process by which customer requirements are accepted and prioritized. The National SIGINT Requirements List (NSRL) is an annual list of validated SIGINT requirements that address long- and near-term intelligence issues and priorities used for the preparation of operational and other plans in the coming year. Amplifying requirements address critical, time-sensitive needs and are managed by the National Security Operations Center (NSOC).

D. Mission Execution: Although NSA does much of its work at the strategic level, it is often specifically tasked by the DCI to provide SIGINT to the Secretary of Defense and various military services in support of military operations. This information can range from specific tactical information to operational and strategic-level information that NSA is able to gain through its technical capabilities.

Time-sensitive needs are met through 24-hour watch operations at the NSOC and three Regional Security Operations Centers (RSOCs). The NSOC can reach the White House with critical information (CRITIC) within 10 minutes. The Special Support Activity, an adjunct of the NSOC, provides secure communications equipment and cryptologic experts for deployment to crisis areas to support military customers. The NSOC manages time-sensitive product requests and is designed to respond to customers within eight hours.

E. Observation, Orientation, and Oversight: As a member of the MIB and the WSSIC, STIC, and JAEIC committees of the National Intelligence Council, NSA is able to play a role in observation, orientation and oversight of the IC. Additionally, in its INFOSEC mission, NSA is empowered to exercise supervisory control over the transmission, handling, and distribution of SIGINT and secure communications within the federal government.

F. Preparation: As a preparation function, the NSA has within its headquarters a specialized National Cryptologic School to advance the skills of its employees. Additionally, the NSA places a premium on continued education and skill development by offering numerous programs for scholarship and training at outside academic institutions. These programs are designed to attract, develop, and retain the best people to carry out the mission of NSA.

G. Resourcing: NSA/CSS is the Program Manager for the Consolidated Cryptologic Program (CCP) within the National Foreign Intelligence Program (NFIP).

6. Informal National Security Process Involvement: NSA, as a DoD intelligence agency within the IC, plays an important role in focusing intelligence assets from the IC and DoD for national security missions. The NSA Director can make direct contact with his counterparts and leadership within DoD and the IC in order to fulfill the NSA mission and the national security process.

7. Funding and Personnel: Officially, NSA's budget and personnel figures are classified. Available information on these topics is as follows.

A. Authorization and Appropriations: Senate Armed Services Committee and House Armed Services Committee; the House Permanent Select Committee on Intelligence and Senate Select Committee on Intelligence, and appropriations subcommittees have jurisdiction.

B. Funding Sources: NSA receives funding from the National Foreign Intelligence Program, the Joint Military Intelligence Program (JMIP), and from the Communications Security (COMSEC) accounts in the DoD budget.

C. Budget: The actual budget is classified, but unclassified sources estimate it to be approximately $3.6 billion.[5]

D. Personnel: Classified—estimates range from 20,000 (only counting to the civilian component) to 52,000 (which includes military personnel).[6]

8. Conclusions and Observations.

NSA plays a significant role within the Intelligence Community. As the central agency for collection, processing and dissemination of signals intelligence, NSA has primary responsibility for briefing the DCI, as well as the Secretary of Defense, and Chairman of the Joint Chiefs of Staff on SIGINT. Additionally NSA sits on the MIB, which provides a formal connection between NSA, DIA and the National Imagery and Mapping Agency (NIMA). In these roles, NSA has the most impact on strategy, policy making, planning, and mission execution, while having somewhat lower impact on the observation, preparation, and resourcing processes.

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[5]   Federation of American Scientists official website, www.fas.org.

[6]   Federation of American Scientists official website, www.fas.org.

ORGANIZATIONAL DESCRIPTION

THE PRESIDENT'S FOREIGN INTELLIGENCE ADVISORY BOARD (PFIAB)

Prepared for the U.S. Commission on National Security/21st Century

EXECUTIVE SUMMARY

The President's Foreign Intelligence Advisory Board (PFIAB)

Overview.

The President's Foreign Intelligence Advisory Board (PFIAB) is established by the President and acts as an advising body on issues pertaining to the intelligence community (IC). The PFIAB was established by Executive Order 12863 in September of 1993—although antecedent organizations date to the Eisenhower Administration—and is tasked with seven major responsibilities, including reporting directly to the President and advising him concerning the objectives, conduct, management, and coordination of the various activities of the agencies of the IC. Key PFIAB competencies include providing the President with unbiased analysis, and if needed, recommendations for changes relevant to the IC. Expertise, experience, objectivity, analysis, and advice are PFIAB's key values.

Organization.

The PFIAB currently consists of 15 Board members (with a limit of 16). The organization includes a Chairman and Vice-Chairman (appointed by the President and the PFIAB Chairman, respectively), six full-time staffers and a varied number of consultants as the situation requires. The PFIAB comprises the Intelligence Oversight Board (with the PFIAB Vice-Chairman serving as its chairman), which advises the President on the legality of foreign intelligence activities, and Special Investigative Panels, which are created at the direction of the PFIAB Chairman for specific taskings. PFIAB funding is provided for under the appropriation for the National Security Council and was $1M for FY99.

Role in Formal and Informal National Security Processes.

The PFIAB serves as an advising body to the President and therefore does not have a formal role in the national security process. Effects of the PFIAB's recommendations have included changes in the structure and composition of the IC.

Conclusions and Observations.

The President's Foreign Intelligence Advisory Board serves as yet another source of guidance for the President within the Executive Office of the President. The expertise and experience present in the makeup of the Board, along with its commitment to objective analysis, gives the President the benefit of additional information and analysis in the area of intelligence issues and policy.

ORGANIZATIONAL DESCRIPTION

THE PRESIDENT'S FOREIGN INTELLIGENCE ADVISORY BOARD (PFIAB)

1. Legal Specifications, Authorizations, and Responsibilities.

      A. Authorizing Directive: The President's Foreign Intelligence Advisory Board (PFIAB) was established within the Executive Office of the President by Executive Order (EO) 12863 on 13 September 1993 and is under the direct authority of the President.[1]

      B. Department/Agency Directives: None.

2. Missions/Functions/Purposes.

      A. Major Responsibilities: As stated in EO 12863, the PFIAB shall:[2]

      (1) Assess the quality, quantity, and adequacy of intelligence collection, of analysis and estimates, and of counterintelligence and other intelligence activities.

      (2) Have the authority to continually review the performance of all agencies of the Federal Government that are engaged in the collection, evaluation, or production of intelligence or the execution of intelligence policy.

      (3) Be authorized to assess the adequacy of management, personnel and organization in the intelligence agencies. The heads of departments and agencies of the Federal Government, to the extent permitted by law, shall provide the PFIAB with access to all information that the PFIAB deems necessary to carry out its responsibilities.

      (4) Report directly to the President and advise him concerning the objectives, conduct, management, and coordination of the various activities of the agencies of the Intelligence Community.

      (5) Report periodically, but at least semiannually, concerning its findings and appraisals, and make appropriate recommendations for the improvement and enhancement of the intelligence efforts of the United States.

      (6) Consider and recommend appropriate action with respect to matters identified to the PFIAB by the Director of Central Intelligence, the Central Intelligence Agency (CIA), or other government agencies engaged in intelligence or related activities, in which the advice of the PFIAB will further the effectiveness of the national intelligence effort.

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[1] President's Foreign Intelligence Advisory Board (PFIAB) website (http://www.whitehouse.gov/WH/EOP/pfiab/index.html). The Board was originally established in 1956 by President Eisenhower under the title the "President's Board of Consultants on Foreign Intelligence Activities". Its name was changed under President Kennedy and it has served all Presidents since that time except for President Carter.

[2] Executive Order 12863 (PFIAB website).

(7) Advise and make recommendations (on matters deemed appropriate by the President) to the Director of Central Intelligence, the Central Intelligence Agency, or other government agencies engaged in intelligence and related activities, concerning ways to achieve increased effectiveness in meeting national intelligence needs.

B. Subordinate Activities and Agencies:

(1) The Intelligence Oversight Board (IOB) is a standing committee of the PFIAB. It is tasked to:[3]

(a) Prepare reports for the President of intelligence activities that the IOB believes may be unlawful or contrary to Executive order or Presidential directive.

(b) Forward to the Attorney General reports received concerning intelligence activities that the IOB believes may be unlawful or contrary to Executive order or Presidential directive.

(c) Review the internal guidelines of each agency within the Intelligence Community (IC) that concern the lawfulness of intelligence activities.

(d) Review the practices and procedures of the Inspectors General and General Counsel of the Intelligence Community for discovering and reporting intelligence activities that may be unlawful or contrary to Executive order or Presidential directive.

(e) Conduct such investigations as the IOB deems necessary to carry out its functions under this order.

(f) Consider and take appropriate action with respect to matters identified by the Director of Central Intelligence, the Central Intelligence Agency, or other agencies of the Intelligence Community.

(g) Advise and make appropriate recommendations (with respect to matters deemed appropriate by the President) to the Director of Central Intelligence, the Central Intelligence Agency, and other agencies of the Intelligence Community.

(2) Special Investigative Panels are designated by the Chairman of the PFIAB and are responsible for analyzing and reporting findings on specific issue(s). An example of this panel was the one responsible for looking at security problems at the Department of Energy (DoE) in June 1999. These panels are a normal feature of the PFIAB and are used regularly even though they do not carry subpoena authority.[4] The Chairman has the authority to decide the size and makeup of these panels as he/she sees fit (depending on issue and importance).

3. Vision and Core Competencies.

A. Vision: None published.

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[3] EO 12863.

[4] PFIAB 10/5/99 (202-456-2352)

B. Core Competencies: None published.

4. Organizational Culture.

A. Values: None published.

B. Leadership Traditions: The Chairman of PFIAB is a civilian appointed by the President. The Chairman, in turn, appoints the Vice-Chairman (who also serves as Chairman of the IOB). These persons, like the remainder of the Board, are selected on the basis of "…achievement, experience, and independence."[5] The Chairman and Vice-Chairman act mostly as "facilitators" in that they ensure the proper and effective functioning of the organization.

C. Staff Attributes: Full-time staffers are detailees from other government agencies such as CIA, Department of Defense (DoD), Defense Intelligence Agency (DIA), and National Reconnaissance Office (NRO).

D. Strategy: Given the role intelligence plays in assisting the President and the fact that he must have ample, accurate and timely intelligence, PFIAB strives to provide advice that reflects an objective view of the kinds of intelligence that will best serve the country and the organizational structure most likely to achieve this goal.   This strategy has, over the years, resulted in influencing the composition and structure of the intelligence community, the development of major intelligence systems, and the degree of collection and analytic emphasis that is given to substantive areas.[6]

E. Organization Chart:
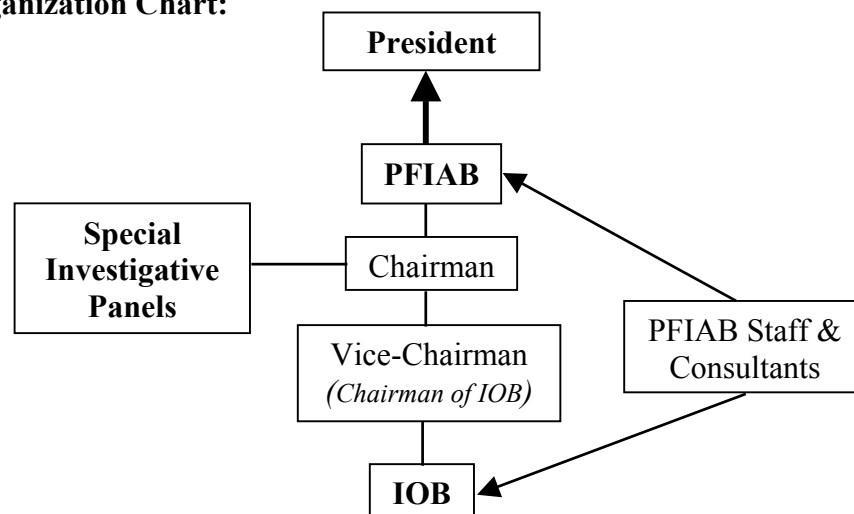
Figure 1: Organization of the President's Foreign Intelligence Advisory Board

The PFIAB consists of the Chairman, Vice-Chairman, Board members, and staff. The Vice-Chairman also acts as the Chairman of the IOB.[7] PFIAB staff and consultants (when required) serve in support (meeting preparation, issue research, etc.) of the Board and IOB as

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[5] EO 12863.

[6] EO 12863.

[7] The PFIAB Chairman can also serve as the IOB Chairman (EO 12863).

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needed. The PFIAB then reports its findings/products directly to the President. The current PFIAB is comprised of the following people (plus brief backgrounds):

(1) Warren B. Rudman, Chairman: Partner in the Washington law firm of Paul, Weiss, Rifkind, Wharton & Garrison. He served as a U.S. Senator from 1980 to 1992, where he was a member of the Select Committee on Intelligence. He previously was Attorney General of the State of New Hampshire.

(2) General Lew Allen, Jr., USAF (Ret): Served as Chief of Staff of the Air Force and Director of the National Security Agency. He retired in 1991 as a Vice President of the California Institute of Technology and Director of the Jet Propulsion Laboratory. He was a member of President Bush's PFIAB.

(3) Cresencio S. Arcos, Jr.: Regional Vice President, International Public Affairs for AT&T Corporation in Miami. His last position was Senior Deputy Assistant Secretary of State for International Narcotics and Crime from 1993 to 1995. He also served as American Ambassador to Honduras from 1989 to 1993.

(4) Zoe Baird: President of the Markle Foundation in New York City. Until the end of 1996, she was Senior Vice President and General Counsel of Aetna, Inc., and for the year 1997 she was Senior Visiting Scholar and Senior Research Affiliate at Yale Law School. Ms. Baird previously was Counselor and Staff Executive for General Electric Corporation; a partner in the law firm of O'Melveny & Myers; Associate Counsel to President Jimmy Carter; and an attorney in the Office of Legal Counsel, Department of Justice.

(5) John Shelby Bryan: Chairman and Chief Executive Officer, ICG Communications, Inc. Mr. Bryan co-founded Millicom International Cellular S.A., a publicly owned corporation providing international cellular service, and served as its president and CEO from 1985 to 1994.

(6) Ann Z. Caracristi: Former Deputy Director of the National Security Agency, where she served in a variety of senior management positions over a 40 year career. She recently chaired a DCI Task Force on intelligence training and was a member of the DCI/Secretary of Defense Joint Security Commission.

(7) Sidney D. Drell: Professor and Deputy Director of the Stanford University Linear Accelerator Center. He is an Adjunct Professor at Carnegie Mellon University and has served as a scientific consultant and advisor to several Congressional committees, the Departments of Defense and Energy, and the White House.

(8) Stephen Friedman: Chairman of the Board of Trustees of Columbia University, Chairman of the Executive Committee of The Brookings Institution and a member of the Executive Committee of the Memorial Sloan-Kettering Cancer Center in New York. He served as a member of the Commission on the Roles and Capabilities of the U.S. Intelligence community ("Aspin/Brown Commission"); and the Jeremiah Panel that studied the National Reconnaissance Office.

(9) Robert J. Hermann: Senior Partner, Global Technology Partners, LLC. He retired as Senior Vice President for Science and Technology of the United Technologies

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Corporation in March 1998. He is a former Director of the Defense Department's National Reconnaissance Office and a former senior official at the National Security Agency.

        (10) Harold W. Pote: Founding partner of The Beacon Group, a private investment firm, and a Trustee of Drexel University. He is a former Chief Executive Officer of Fidelcor, Inc., a major regional bank holding company in Philadelphia, and a former founding partner of PBS Properties of Pennsylvania.

        (11) Lois D. Rice: Guest Scholar in the Economics Studies Program at the Brookings Institution. She is a former Senior Vice President for Government Affairs at the Control Data Corporation and a former Vice President of the College Board (CEEB).

        (12) Stanley S. Shuman: Executive Vice President, Managing Director and Member of the Executive Committee of Allen & Company Incorporated where he is involved in investment banking and corporate finance. He is the longest sitting private member of the Financial Control Board of the City of New York.

        (13) Maurice Sonnenberg: Senior International Advisor to the law firm of Manatt, Phillips & Phelps as well as Senior International Advisor to the investment banking firm of Bear Stearns. He recently served as Special Advisor to the U.S. Commission on the Roles and Capabilities of the U.S. Intelligence Community, and as a member of the U.S. Commission on Reducing and Protecting Government Secrecy. He also has been a member of President's Export Council.

5. Formal National Security Process Involvement. The PFIAB has no formal role in the national security process. As an advisory body, it plays a supporting role in the process in that its findings and recommendations will often lead to changes in the manner in which "intelligence" policy is developed and implemented.

    A. Strategy Development: No current involvement.

    B. Policy, Guidance and Regulation: No current involvement.

    C. Planning: No current involvement.

    D. Mission Execution: No current involvement.

    E. Observation, Orientation, and Oversight: No current involvement.

    F. Preparation: No current involvement.

    G. Resourcing: No current involvement.

6. Informal National Security Process Involvement. None.

7. Funding and Personnel.

    A. Authorization and Appropriations: PFIAB is funded under the Executive Office of the President (EOP).

B. Funding Sources: PFIAB funding is a line item in the National Security Council (NSC) portion of the EOP appropriation.

C. Budget: $1M for FY 1999.

D. Personnel: PFIAB currently consists of 15 Board members and six full-time staff. Special consultants are brought in as required, with the number and duration of service dependent on the task(s).

8. Conclusions and Observations. The President's Foreign Intelligence Advisory Board serves as yet another source of guidance for the President within the Executive Office of the President. The expertise and experience present in the makeup of the Board, along with its commitment to objective analysis, gives the President the benefit of additional information and analysis in the area of intelligence issues and policy.

ORGANIZATIONAL DESCRIPTION

HOUSE PERMANENT SELECT COMMITTEE ON INTELLIGENCE

SENATE SELECT COMMITTEE ON INTELLIGENCE

Prepared for the U.S. Commission on National Security/21st Century

EXECUTIVE SUMMARY

House Permanent Select Committee on Intelligence
Senate Select Committee on Intelligence

Overview.

The House Permanent Select Committee on Intelligence (HPSC[I]) and the Senate Select Committee on Intelligence (SSC[I]) serve as the primary authorizing Committees for the National Foreign Intelligence Program (NFIP), the most significant of the national-level strategic intelligence programs. This authorizing role provides the HPSC(I) and SSC(I) with the unique responsibility—and capability—to oversee the increasingly complex U.S. intelligence community (IC) environment. Through the annual budget preparation and execution effort and its own inquiries and investigations, the HPSC(I) and SSC(I) play indisputably powerful roles in oversight, observation, and resourcing processes. Legislation, committee reports and staff studies (such as the HPSC(I)'s landmark *IC21* study) even impact strategy and policy development and mission execution through their well-researched and constructed recommendations.

Organization.

The HPSC(I)'s 19 members are selected in proportion to the majority-minority ratio in the House as a whole. All but four of these members serve in an at-large capacity, with the remaining members selected from the Appropriations, National Security, Foreign Affairs, and Judiciary Committees. The HPSC(I)'s members serve six-year consecutive terms.

The HPSC(I) staff reflects the partisan cast of the committee as a whole. Two staff directors each direct staffs that support the majority and minority party members, respectively. The HPSC(I) rules specify that the staff should support both majority and minority members without consideration to party affiliation; SSC(I) staff in interviews claim that, in practice, the HPSC(I) staff is notably partisan, in comparison with the distinctly bipartisan SSC(I) staff.[1] The HPSC(I) staff is structured to support both its budget authorization and audit and investigations functions.

The SSC(I) currently consists of 17 members; in contrast with the HPSC(I), half of the membership is drawn from each party, with the chair chosen from the majority party. Of the eight seats held for each party, four are reserved for incumbents who serve on the Appropriations, Armed Services, Foreign Relations, and Judiciary Committees. The remaining members are selected from the Senate at large. All members serve eight-year consecutive terms.

Two staff directors drawn from the majority and minority parties lead the SSC(I) staff. In contrast with the HPSC(I), the directors are supported by a distinctly bipartisan staff, organized into budget and audit/investigations teams. The budget team, led by the budget director, consists of five professional staff members each of whom holds responsibility for one of the major NFIP programs: the Consolidated Cryptologic Program (CCP), the National Reconnaissance Program (NRP), the National Imagery and Mapping Agency Program (NIMAP), the Central Intelligence

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[1]   Interview with SSC(I) staff, November 23, 1999.

Agency Program (CIAP), and the General Defense Intelligence Program (GDIP). The audit and investigations team conducts congressional inquiries, oversight investigations, and staff studies.

Role in Formal and Informal National Security Processes.

			Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
Products		Intelligence Authorization Bill	✓	✓					✓
		Other Legislation and Committee Reports	✓	✓		✓	✓		
		CDAs/QFRs							✓
		Staff Studies	✓	✓			✓		
Roles	HPSC(I)	Authorize Appropriations							✓
		Conduct Inquiries and Oversight Investigations	✓	✓		✓	✓		
		Conduct Staff Studies	✓	✓			✓		
	SSC(I)	Authorize Appropriations							✓
		Conduct Inquiries and Oversight Investigations	✓	✓		✓	✓		✓
		Conduct Staff Studies	✓	✓			✓		
		Treaty Review					✓		
		Presidential Nomination Recommendation					✓		

Strategy Development. The HPSC(I) and SSC(I) play a tangential but notable role in strategy development through their development of legislation and their issuance of committee reports to support legislation, Congressional inquiries, and oversight investigations and their conduct of staff studies as requested by the House/Senate or Committee leadership.

Policy, Guidance, and Regulation. The HPSC(I) and SSC(I) also impact policy development through legislation, Committee reports, and staff studies as requested by the House/Senate or Committee leadership.

Planning. The Committees play no significant role in planning processes.

Mission Execution. The Congressional Committees play a limited role in mission execution through their mission-related recommendations found in Committee reports supporting legislation, Congressional inquiries, and oversight investigations. Both Committees review the use of covert action in response to presidential "findings."

Observation, Orientation, and Oversight. As the primary body conducting IC oversight, the HPSC(I) and SSC(I) develop Committee reports as the major product of legislation development, Congressional inquiry and oversight investigation efforts. Both Committees also conduct staff studies at the behest of House/Senate and/or Committee leadership on major topics of interest. The SSC(I)'s oversight responsibilities also include reviewing treaties to determine the IC's ability to verify compliance with the relevant provisions of the treaties in question and

recommending approval or denial of presidential nominations for the positions of Director of Central Intelligence, Deputy Director of Central Intelligence, Deputy Director of Central Intelligence for Community Management, and the CIA's Inspector General.

Preparation. The Committees play no significant role in preparation processes.

Resourcing. The HPSC(I) authorizes the NFIP, Joint Military Intelligence Program (JMIP), and Tactical Intelligence and Related Activities (TIARA) budgets, while the SSC(I) authorizes the NFIP budget and plays an advisory role to the SASC on the JMIP and TIARA budgets. Both Committees issue congressionally directed actions (CDAs) and questions for the record (QFR) as part of their authorization processes.

Observations.

Both the HPSC(I) and SSC(I) staffs believe that no compelling reason exists to establish a joint intelligence committee. In its *IC21* report, HPSC(I) staff note that the primary arguments for keeping the HPSC(I) and SSC(I) as separate entities are the difficulties in altering one or another's authorization or oversight arrangements, as well the perception that intelligence is a "special" government function warranting such treatment. The SSC(I) staff echo these sentiments, noting the strains in overcoming different political cultures (the SSCI[I]'s bipartisan approach versus the more partisan HPSC[I] traditions), as well as the differences in authorization jurisdictions for JMIP and TIARA. Should these barriers be overcome, however, significant efficiencies could be achieved in the budget oversight process.

An interesting difference of opinion appears when the two Committees are presented with the question of establishing themselves as Standing Committees. (As Select Committees, the two can bypass the normal party caucus procedures for assigning members, to which Standing Committees are subject. This would limit the chance that members who may pose potential security risks would be appointed to the committees; it also ensures that seasoned members with experience on related committees related to intelligence can be appointed.) The HPSC(I) staff observe that while constitution as a Select Committee may have been to the Committee's benefit at its founding, the benefits of such a designation may now be outweighed by the costs. These costs, as cited by the staff in *IC21*, include members' limited familiarity with complex intelligence issues prior to the completion of their mandatory eight-year term, and the rapid turnover in HPSC(I) chairmen since 1985. SSC(I) staff interviewees discount the lack of familiarity argument, claiming that a typical member's eight-year term is sufficient to develop the background needed to make intelligent decisions. SSC(I) staff also argue that the rotational aspect behind the select Committee is very much to its benefit by instilling a healthy skepticism among members about IC program claims. One interviewee favorably contrasted the SSC(I)'s critical attitude with that of the more "client-friendly" SASC, one of the Senate's more prominent standing committees.

SSC(I) interviewees indicated that they believe the Congressional oversight process does not place an undue burden on the Executive Branch in terms of reporting compliance costs. One interlocutor observed that the IC "knows how to play this sophisticated poker game" well enough to minimize the costs.

In response to a question on the SSC(I)'s JMIP and TIARA advisory role, SSC(I) staff noted that while institutionally the Committee would want to expand its jurisdiction to cover

JMIP and TIARA, in practice such a move would be a mistake, as the Committee is not organized effectively to address these two programs. One interviewee also observed that with the emergence of digital technologies for the intelligence dissemination across the globe, the definitions of "national" (addressing larger intelligence missions in a "strategic" sense) and "tactical" (addressing the particular requirements of the warfighters) intelligence are becoming increasing blurred. He noted that, indeed, many of TIARA's activities would no longer qualify as tactical under traditional definitions.

A separate Appropriations Subcommittee for intelligence would be constrained in practice by the continued need to crosswalk with the Defense Appropriations process. Although having a dedicated Subcommittee would lessen the burden of the committee's overworked staff and could result in better protection for IC agency budgets, all of the relevant programs (with the exception of CIAP) would be bound by DoD 050 constraints, which will limit their overall funding.

Interviewees stressed the Committees' excellent record on non-disclosure of classified and sensitive information. SSC(I) staff noted that two of its members (Senators Leahy and Durenberger) either resigned or were removed from the committee following their release of classified (in the Durenberger case) or sensitive (in the Leahy case) information.

Interviewees observed that the IC has excellent intelligence sharing arrangements with foreign governments. These arrangements have well-defined requirements and strict procedures for sharing information. One interviewee pointed to the State Department as the primary culprit in disclosing too much information in its demarches to foreign governments.

While lauding the IC's attempts to be more open with the public on its activities, interviewees decried current declassification efforts as too expensive. They stressed that with insufficient (in their opinion) funds dedicated to addressing current operational intelligence concerns, funding should not be dedicated to broad-scale declassification.

Interviewees suggested that, in the age of weapons of mass destruction (WMD), EO 12333, which both describes and proscribes the DCI's responsibilities, should be reconsidered. EO 12333 places considerable constraints on the DCI's actions, which some have argued are inappropriate in a time of an increasingly diverse threat of "bad actors." While those interviewed stressed that this should be solely an executive branch decision, one interlocutor argued his personal view that in a world defined by WMD, the DCI should not be limited in his designation of intelligence operations. This same interviewee pointed out that limited but bipartisan support for repealing EO 12333 exists in the Senate.

ORGANIZATIONAL DESCRIPTION

HOUSE PERMANENT SELECT COMMITTEE ON INTELLIGENCE
SENATE SELECT COMMITTEE ON INTELLIGENCE

1. Legal Specifications, Authorizations, and Responsibilities.

      A. Authorizing Statutes: House Resolution (H. Res.) 658 (July 1977) established the HPSC(I); Senate Resolution (S. Res.) 400 (May 1976) established the SSC(I). Section 413 of the National Security Act of 1947 prescribes the activities the Intelligence Community's (IC) senior officials must undertake in their relations with these Committees.

      (1) H. Res. 658, reflecting the recommendations of the House's Nedzi and Pike Commissions (constituted to investigate intelligence wrongdoings during the Watergate scandal and make recommendations for intelligence reform), provided expansive powers to the HPSC(I), empowering the newly-created Committee to oversee all national-level and tactical intelligence programs.

      (2) S. Res. 400 established the SSC(I) following the recommendations of the Church Committee, launched in 1975 to investigate intelligence abuses beyond Central Intelligence Agency (CIA) domestic activities. S Res. 400 provided the SSC(I) with the authority to conduct oversight of all national-level intelligence programs. The lack of definition of "national-level" led to a "long, at times testy, and unresolved" struggle over who should authorize funds for the Department of Defense's intelligence activities.[2] Since 1984, the SSC(I) has maintained jurisdiction over the National Foreign Intelligence Program (NFIP) while the Senate Armed Services Committee (SASC) has claimed sole jurisdiction over the Department of Defense's intelligence authorization (through the Joint Military Intelligence Program [JMIP] and the Tactical Intelligence and Related Activities [TIARA]).

      (3) The National Security Act of 1947[3] requires the Director of Central Intelligence (DCI) to report to the oversight Committees on current and anticipated intelligence activities; establishes reporting procedures for the DCI's use; sets procedures to protect against the unauthorized disclosure of classified material; dictates the circumstances for reporting on covert actions; and provides the procedures for funding intelligence activities.

      B. Department Directives: The HPSC(I) and the SSC(I) maintain their own rules of operation.

      (1) Rules of Procedure for the Permanent Select Committee on Intelligence (105th Congress) were passed by the House and revised in March 1997. The rules continue to govern the HPSC(I)'s operations today. Among the activities covered are the procedures for conducting meetings, taking testimony, and handling classified material. The Rules also prescribe the Subcommittees to be established and dictate the requirements for the appointment of staff.

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2   Joint Military Intelligence Training Center, *An Intelligence Resource Manager's Guide*. Washington, DC.: JMITC, 1997, p.9.

3   Title 50 United States Code, Section 413

(2) Rules of the Select Committee on Intelligence, similar to the House rules, dictate procedures for holding meetings and hearings, address classified material handling, and specify procedures for hiring staff. Rule 3, which addresses Subcommittees, states that these entities will established by the majority vote of the Committee and will deal with "such legislation and oversight of programs and policies as the Committee may direct."[4]   These rules remain in effect today.

C. Interagency Directives: Executive Order 12333, Section 31, issued in December 1981, requires the DCI and other intelligence agency heads to cooperate with Congress in its oversight activities.

2. Missions/Functions/Purposes. The structure and the major responsibilities of the HPSC(I) and SSC(I) are specified in the relevant resolutions.

A. HPSC(I). The HPSC(I)'s major responsibilities include:

(1) Authorizing appropriations for National Foreign Intelligence Program (NFIP), the Joint Military Intelligence Program (JMIP), and Tactical Intelligence and Related Activities (TIARA) [Key Processes Relation: Resourcing];

(2) Conducting congressional inquiries and, as deemed necessary, oversight investigations [Key Processes Relation: Strategy; Policy, Guidance, and Regulation; Mission Execution; Observation, Orientation, Oversight]; and

(3) Conducting staff studies on major issues as required by the House or HPSC(I) leadership [Key Processes Relation: Strategy; Policy, Guidance, and Regulation; Observation, Orientation, Oversight];

B. SSC(I). The SSC(I)'s major responsibilities include:

(1) Authorizing appropriations for NFIP, and advising the SASC on the JMIP and TIARA budgets [Key Processes Relation: Resourcing];

(2) Conducting congressional inquiries and, as deemed necessary, oversight investigations [Key Processes Relation: Strategy; Policy, Guidance, and Regulation; Mission Execution; Observation, Orientation, Oversight];

(3) Conducting staff studies on major issues as required by the Senate or SSC(I) leadership [Key Processes Relation: Strategy; Policy, Guidance, and Regulation; Observation, Orientation, Oversight];

(4) Reviewing treaties to determine the IC's ability to verify compliance with the relevant provisions of the treaties in question [Key Processes Relation: Observation, Orientation, Oversight]; and

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4   Rule 3, Rules of the Select Committee on Intelligence, February 27, 1997.

(5) Recommending approval or denial of presidential nominations for the positions of DCI, DDCI, DDCI/CM, and the CIA's Inspector General (IG) [Key Processes Relation: Observation, Orientation, and Oversight].

C. Subordinate Agencies and Activities: None.

D. Major Products:

(1) Intelligence Authorization Bill;

(2) Other legislation and Committee Reports;

(3) Congressionally-Directed Action (CDAs)/ Questions for the Record (QFRs); and

(4) Staff Studies.

3. Vision and Core Competencies.

A. Vision: The HPSC(I) and SSC(I) do not have formal vision statements. For the SSC(I), the Chairman outlines his preferred direction through informal interactions with the staff directors, who then convey the direction to the staff. The Chairman's current "vision" emphasizes the importance of the five "Cs" (counterintelligence, counterterrorism, counternarcotics, counterproliferation, and covert action) that should drive the Committee's action in the current Congress.[5]

B. Core Competencies: Both staffs note that the Committees stress independence in their oversight role. In order to exercise such independence, the staffs stress their functional knowledge and understanding of the intricacies of the budget process as their core competencies.

4. Organizational Culture. The very nature of the Committees' oversight role leads to inherent tensions between the Legislative and Executive Branches. Interviewees noted that the Committees have had numerous difficulties with the Clinton Administration over what is perceived as inadequate spending for intelligence missions, most notably for counterproliferation.[6] In a constrained budgetary environment, the tradeoffs between investing in new systems and technologies that are designed to meet future needs must be balanced against the operations and maintenance of current systems upon which operators rely to get their jobs done today. The necessarily adversarial relationship that the Committees' oversight role entails can, and does, exacerbate differences of opinion on particular issues.

Even in this adversarial atmosphere, the Committees exemplify a strong tradition of professionalism in their interactions with IC representatives. All staff members, particularly professional staff members, are expected to conduct themselves with the proper comportment when dealing with the executive branch, never letting differing points of view interfere with these professional relationships.

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5   Interview with SSC(I) staff, November 23, 1999.
6   Interview with SSC(I) staff, November 23, 1999.

A. Values: While neither staff maintains a published set of core values, interviewees indicate that the implicit values of professionalism and respect for the IC, its mission, and its activities form the bedrock of the Committees' core values. The Committees' well-known adherence to strict legal guidelines for the handling and dissemination of classified information underscores this respect for the IC and the critical nature of the IC's information to national security. [7]

B. Leadership Traditions: While members from both Committees espouse the same basic set of core values (i.e., professionalism in interactions with IC officials, non-disclosure of sensitive and classified information), the differing political make-up of members between the two Committees significantly impacts their activities. The HPSC(I) is highly political in nature; under the Committee's partisan structure, the Chair, always from the majority party, exercises significant influence, with the Vice Chair, from the minority party, always cast in a supporting role. The majority party, through the chairman, sets the agenda, controls hearings and deliberations, and issues Committee reports. The next ranking member of the majority party presides over the Committee in the chairman's absence. Under such a structure, minority party members can actually be excluded from meaningful participation in budget "mark-ups" and oversight investigations.[8] The HPSC(I) staff reflects this partisan cast.

The SSC(I) functions much differently. The minority party's senior representative, who serves as Vice Chair, holds significant power in his/her own right, assuming control of the Committee in the Chair's absence. In contrast with the HPSC(I) staff, the SSC(I)'s staff directors are supported by a distinctly bipartisan staff.

C. Staff Attributes: Knowledge of the particular skills required for oversight and resourcing activities combined with an ability to pick up the fundamentals of the various intelligence disciplines quickly provide the staffs with the ability to exercise independence in their relations with the IC. In addition to understanding the dynamics of the individual intelligence disciplines, the SSC(I) staff noted that it prides itself on its ability to understand how the disciplines complement each other in accomplishing intelligence missions.[9]

D. Strategy: The Committees maintain no published strategy. The SSC(I) develops its program of action based on the broad outlines provided by the Chairman with his five "Cs." (See Section 3, Vision and Core Competencies.)

E. HPSC(I) and SSC(I) Organizational Structure: The HPSC(I) and SSC(I) are distinguished by their size, tenure, and, most importantly, the differing political cultures in which the committees operate.

(1) HPSC(I) Organizational Structure. Figure 1 depicts the HPSC(I)'s organizational structure.

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[7]   One interlocutor relayed Director of Central Intelligence George Tenet's commendation of the Committees' excellent record on non-dissemination of classified information. In comparing the Committees' performance with that of the IC, the DCI noted dryly that the executive branch "leaks like a sieve." Interview with SSC(I) staff, November 23, 1999.

[8]   JMITC, p.10.

[9]   Interviewees observed that making performance tradeoffs between the intelligence disciplines and capabilities has proven notoriously difficulty for the IC, noting that even the Community Management Staff's Program Assessment and Evaluation Staff has experienced limited success to date in this area. Interview with SSC(I) staff, November 23, 1999.

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                    │      Chairman       │
                    │   Vice Chairman     │
                    └─────────────────────┘
                    ┌──────────┴──────────┐
        ┌───────────────────────┐   ┌───────────────────────┐
        │ Majority Party Members│   │ Minority Party Members│
        └───────────────────────┘   └───────────────────────┘
                    │                           │
        ┌───────────────────────┐   ┌───────────────────────┐
        │Majority Party Staff   │   │Minority Party Staff   │
        │      Director         │   │      Director         │
        └───────────────────────┘   └───────────────────────┘
                    │                           │
        ┌───────────────────────┐   ┌───────────────────────┐
        │ Majority Party Staff  │   │ Minority Party Staff  │
        └───────────────────────┘   └───────────────────────┘
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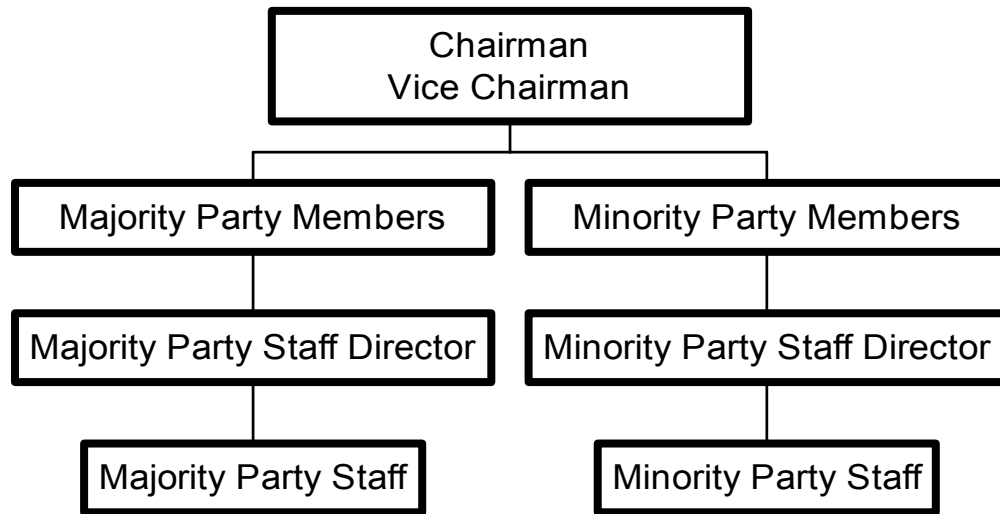
Figure 1. HPSC(I) Structure

        a) Members. The HPSC(I)'s 19 members are selected in proportion to the majority-minority ratio in the House as a whole. All but four of these members serve in an at-large capacity, with the remaining members selected from the Appropriations, Armed Services, Foreign Affairs, and Judiciary Committees. The HPSC(I)'s members serve six-year consecutive terms.

        (b) Staff. The HPSC(I) staff reflects the partisan cast of the Committee as a whole. Two staff directors each direct staffs that support the majority and minority party members, respectively. The HPSC(I) rules specify that the staff should support both majority and minority members without consideration to party affiliation; SSC(I) staff in interviews claim that, in practice, the HPSC(I) staff is notably partisan, in comparison with the distinctly bipartisan SSC(I) staff.[10] The HPSC(I) staff is structured to support both its budget authorization and audit and investigations functions.

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[10]   Interview with SSC(I) staff, November 23, 1999.

(2) SSC(I) Organizational Structure. Figure 2 depicts the SSC(I)'s organizational structure.

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┌─────────────────────────────────┐
│           Chairman              │
│         Vice Chairman           │
└─────────────────────────────────┘
                 │
┌─────────────────────────────────┐
│      Majority Party Members     │
│      Minority Party Members     │
└─────────────────────────────────┘
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│   Majority Party Staff Director │
│   Minority Party Staff Director │
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┌─────────────────────────────────┐
│         Committee Staff         │
│          (Bipartisan)           │
└─────────────────────────────────┘
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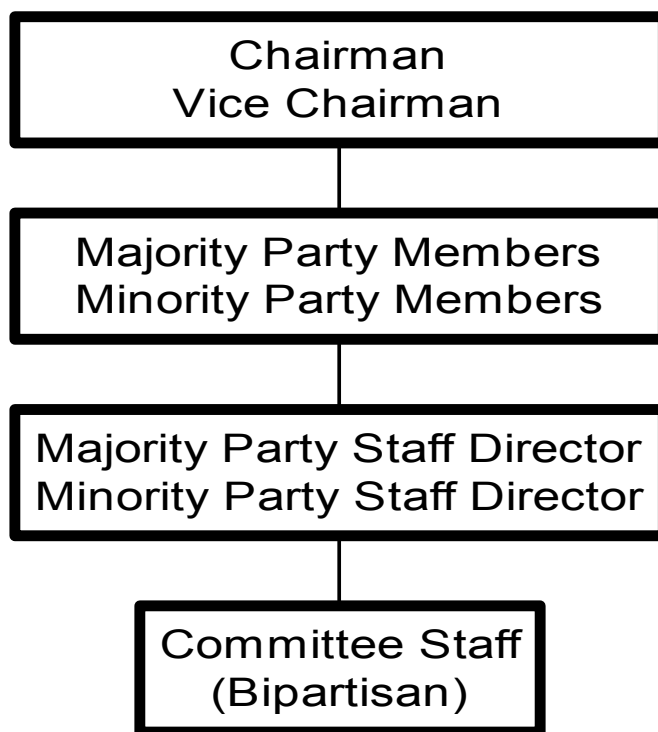
(a) Members. The SSC(I) currently consists of 17 members; in contrast with the HPSC(I), half of the membership is drawn from each party, with the chair chosen from the majority party. Of the eight seats held for each party, four are reserved for incumbents who serve on the Appropriations, Armed Services, Foreign Relations, and Judiciary Committees. The remaining members are selected from the Senate at large. All members serve an eight-year consecutive term.

(b) Staff. Two staff directors drawn from the majority and minority parties lead the SSC(I) staff. In contrast with the HPSC(I), the directors are supported by a distinctly bipartisan staff, organized into budget and audit/investigations teams. The budget team, led by the budget director, consists of five professional staff, each of whom holds responsibility for one of the major NFIP programs: the Consolidated Cryptologic Program (CCP), the National Reconnaissance Program (NRP), the National Imagery and Mapping Agency Program (NIMAP), the Central Intelligence Agency Program (CIAP), and the General Defense Intelligence Program (GDIP). The audit and investigations team conducts congressional inquiries, oversight investigations, and staff studies.   The bipartisan staff structure largely inoculates the committee from charges of politics in its actions, but can occasionally slow action on oversight investigations.

5. Formal National Security Process Involvement.

			Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
Products		Intelligence Authorization Bill	✓	✓					✓
		Other Legislation and Committee Reports	✓	✓		✓	✓		
		CDAs/QFRs							✓
		Staff Studies	✓	✓			✓		
Roles	HPSC(I)	Authorize Appropriations							✓
		Conduct Inquiries and Oversight Investigations	✓	✓		✓	✓		
		Conduct Staff Studies	✓	✓			✓		
	SSC(I)	Authorize Appropriations							✓
		Conduct Inquiries and Oversight Investigations	✓	✓		✓	✓		✓
		Conduct Staff Studies	✓	✓			✓		
		Treaty Review					✓		
		Presidential Nomination Recommendation					✓		

A. Strategy Development:

(1) Major Activities: The HPSC(I) and SSC(I) play a tangential but notable role in strategy development through legislation and through their issuance of committee reports to support legislation, congressional inquiries, and oversight investigations. Both committees have also been known to influence strategy through their conduct of staff studies as requested by the House/Senate or committee leadership.

(a) Legislation and Committee Reports. Both Committees use the formal hearing structure to develop legislation and conduct their oversight functions. Hearings results and recommendations are captured in Committee report form, which can lead to the passage of related legislation. To the extent that legislation mandates (or Committee reports recommend) actions that impact strategy, both Committees exert some influence over the strategy development process.[11] An excellent recent example can be found in the 1996 Intelligence Renewal and Reform Act, which mandated specific changes to IC management and functions, changes that bore significant implications for the strategy development processes. (See Section E, Observation, Orientation, and Oversight, for a description of the congressional inquiry and oversight investigation processes.)

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[11] As noted in the volume entitled Congress, reports are not law and the provisions of reports are not legally binding. However, report provisions are by custom honored, or the Committee is informed of the reasons why an Executive Branch organization is not abiding by them. Failure to honor report language risks having the provisions of that language included in law with more stringent requirements.

(b) Staff Studies. At the behest of Congressional leaders, the HPSC(I) or SSC(I) may undertake a significant study on a topic of interest to the leaders. The HPSC(I)'s *IC21: Intelligence Community in the 21st Century* presents the best recent example of a highly influential study impacting the IC's role in strategy and policy development. *IC21* addressed IC roles, structure, and activities by viewing the major IC functions through the lens of requirements in 10-15 years, and making recommendations for the development of a more agile, robust IC. The resulting study significantly impacted the IC's role in strategy and policy development through its recommendations, leading to the 1996 Intelligence Reform and Review Act and its implementing DCI Directives.

The *IC21* development process represents the typical study development process. Following the request from congressional leaders, committee staffs collect and review pertinent material from the IC officials and outside experts. (The *IC21* process included a detailed survey sent to more than 40 former and current officials with national security experience, to academics, and to IC veterans.[12]) Full committee hearings are often held, generating more information for staff use in study development. Background work can also make use of formal staff panels of expert witnesses, and staffs often conduct detailed interviews with national security, intelligence, and technical specialists. Staff members can make use of the generous amount of information produced by the annual intelligence budget authorization process, which generally includes authorization hearings, Member briefings, and staff briefings. (The FY96 authorization process, which served as a great source of information for the development of *IC21*, included 11 authorization hearings, more than 20 Member briefings, and over 200 staff briefings.[13]) Staff also, through more informal mechanisms, keep apprised of the activities of other Congressional Committees, commissions, study groups, and other relevant bodies.

(2) Major Stakeholders: President, National Security Council (NSC), Secretary of Defense, DCI, IC Component Agencies, relevant congressional committees, private/non-profit commissions and study groups.

(3) Key HPSC(I)/SSC(I) Processes: Congressional review and oversight.

(4) Associated Higher-Level Processes: None.

(5) Associated Lower-Level Processes: NFIP, JMIP, and TIARA authorization processes.

B. Policy, Guidance, and Regulation:

(1) Major Activities: The HPSC(I) and SSC(I) also impact policy development through legislation and through the issuance of committee reports to support legislation, Congressional inquiries, and oversight investigations and their conduct of staff studies as requested by the House/Senate or committee leadership.

(a) Legislation and Committee Reports. See Section A, Strategy Development.

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12   Permanent Select Committee on Intelligence, House of Representatives. IC21: Intelligence Community in the 21st Century. Washington, D.C. : U.S. Government Printing Office, 1996, p. 2.

13   Ibid., p. 7

(b) Staff Studies. See Section A, Strategy Development.

(2) Major Stakeholders: Secretary of Defense, DCI, and IC Component Agencies.

(3) Key HPSC(I)/SSC(I) Processes: Congressional review and oversight.

(4) Associated Higher-Level Processes: National Security Strategy development.

(5) Associated Lower-Level Processes: NFIP, JMIP, and TIARA authorization processes.

C. Planning: No involvement in planning as that term is defined by the U.S. Commission on National Security/21st Century.

D. Mission Execution:

(1) Major Activities: The Congressional Committees play a limited role in mission execution through their mission-related recommendations found in legislation, supporting committee reports, congressional inquiries, and oversight investigations. The Committees also affect mission execution through their review of the use of covert action in response to presidential "findings."

(a) Committee Reports. See Section A, Strategy Development.

(b) Covert action review. Section 413 of the National Security Act of 1947 requires the President to submit a document, known as a "finding," explaining the need for use of a covert action and conveying his approval of such an action. The Committees review the President's submission and, if a Committee does not deem the "finding" sufficient to warrant such a use, may launch a congressional inquiry at its discretion.

(2) Major Stakeholders: President, NSC, DoD (Office of the Secretary of Defense, Armed Services), DCI, IC Component Agencies.

(3) Key HPSC(I)/SSC(I) Processes: Congressional review and oversight.

(4) Associated Higher-Level Processes: Processes used by the Executive Branch to produce Presidential findings.

(5) Associated Lower-Level Processes: Intelligence Community resourcing processes.

E. Observation, Orientation, and Oversight:

(1) Major Activities: Develops legislation; develops Committee reports to support legislation development, congressional inquiry and oversight investigation efforts. Conducts staff studies at the behest of House/Senate and/or committee leadership.

(a) Congressional Oversight Process: Committee Reports. See Section A, Strategy Development. The congressional oversight process can take one of two major forms, a congressional inquiry (where the committee in question seeks information for clarification or amplification purposes) or an actual oversight investigation, where the committee solicits specific information with the intent to act upon that information in some manner. (Interviewees observed that in the vast majority of circumstances an inquiry produced sufficient information for the staff to determine that further action would not be deemed necessary.[14])

Inquiries are often triggered by highly publicized incidents (e.g., Pakistan's and India's recent nuclear testing activities). Under such circumstances, the staff directors will move quickly to set up hearings and schedule these hearings on the calendars of the Chair and Vice Chair. Inquiries may also be initiated at the direct request of the Chair and/or Vice Chair or even at the expressed interest of House/Senate leaders.

In addition to scheduling and holding hearings, the Committee staffs request information formally through the relevant agency's legislative affairs office. A formal request, signed by the Chair and Vice Chair, initiates this process. Agencies respond through their legislative affairs offices. (Interviewees noted that the information collection process often occurs far less formally, through telephone calls made directly to the offices that can supply the needed information.[15])

Upon the staffs' review of the received information, the audit/investigations director will make a recommendation, in the form of a memorandum for the record, to the staff director(s) on whether to proceed with an investigation based on the adequacy of the response. If the recommendation is to proceed, another round of hearings will be scheduled, with the results captured in Committee reports.

The SSC(I) uses the Committee report mechanism as the means to report its findings on the IC's ability to monitor provisions of a treaty before the Senate for ratification. In preparing the report, SSC(I) staff identify the current intelligence capabilities that could be applied to support verification. The staff also reviews IC research and development processes to make an informed judgement as to whether the resulting new capabilities can be brought to bear on the verification requirement. The staff makes its recommendations in a committee report delivered first to the Members and then with their approval, to the Senate leadership.

The SSC(I) also reviews presidential nominees for high-level IC positions and makes its recommendations to the Senate leadership via a committee report.

(b) Congressional Oversight Process: Staff Studies. See Section A, Strategy Development.

(2) Major Stakeholders: DoD; DCI; IC Component Agencies.

(3) Key HPSC(I)/SSC(I) Processes: Oversight and inquiry processes.

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14   Interview with SSC(I) staff, November 23, 1999.

15   Interview with SSC(I) staff, November 23, 1999.

(4) Associated Higher-Level Processes: National Security Strategy development; National Military Strategy development; DCI Strategic Intent development; DCI Strategic Intelligence Review development.

(5) Associated Lower-Level Processes: Intelligence Community management, collection, analysis, production, and dissemination processes.

F. Preparation: No involvement in preparation as that term is defined by the U.S. Commission on National Security/21st Century.

G. Resourcing:

(1) Major Activities: The HPSC(I) authorizes the NFIP, JMIP, and TIARA budgets. The SSC(I) authorizes the NFIP budget and plays an advisory role to the SASC on the JMIP and TIARA budgets. Both Committees issue congressionally directed actions (CDAs) and questions for the record (QFR) as part of their authorization processes.[16]

(a) HPSC(I) NFIP Authorization Process. (See Appendix 1 for process maps.) The authorization process begins with the HPSC(I) holding hearings and performing a "mark-up" on the entire NFIP budget submitted by the DCI as a part of the President's Budget. (The DCI develops and submits the Congressional Budget Justification Book [CBJB] to support his budget request.) During this stage, the DCI and NFIP program managers testify and defend their budget requests. The HPSC(I)'s Committee report and budget "mark" are then sequentially referred to the HASC, which has 30 working days to review the documents and decide on any revisions to DoD NFIP programs it deems necessary. Any other Committee that holds a non-budgetary equity in the bill (e.g., the House Foreign Affairs Committee on items related to treaties) can also request a sequential review. The only Committees who can review NFIP budget details other than the HASC are the House Committees with jurisdiction over the State, Treasury, Energy, and Federal Bureau of Investigation (FBI) budgets, who can only review the requests within their appropriate departmental budget.[17]

In the DoD NFIP budget case, the HASC may approve the HPSC(I) report and "mark," leading to the issuance of a joint HASC/HPSC(I) report which is then voted upon by the full House. If, however, the HASC finds fault with the HPSC(I) report, it can raise an "issue," and the two committees come together to attempt to work out their differences. In the rare instances where this approach does not succeed, the HASC can amend the HPSC(I) report and send it out to the full House. (In such a case, the HPSC(I) can either accept the amendment without objection or debate it in a closed session.)

It has become customary for the HPSC(I) to share its NFIP report and "mark" with the SSC(I) prior to the SSC(I)'s completion of its own "mark." The SSC(I) may use this opportunity to identify issues it intends to raise in conference.[18]

(b) SSC(I) NFIP Authorization Process. (See Appendix 2 for process maps.) The SSC(I) pursues a similar authorization process with the NFIP budget, including

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16   See page 18 for descriptions of the CFR and QDA.
17   JMITC, p. 176.
18   JMITC, p. 176.

sequential referral of the report and "mark" to the SASC and the other Committees with jurisdiction over State, Treasury, Energy, and the FBI.

Because of the unique SSC(I)-SASC relationship, a subtle but notable difference can be found between the HPSC(I)'s and SSC(I)'s NFIP authorization processes. The amendment process in the Senate can be characterized as considerably more open; it is not uncommon to have SASC amendments added to the SSC(I)/SASC developed "mark" or even to have full debate on contentious issues. Both committees generally avoid debate on classified issues, but such debate has occurred, always in closed session.[19]

(c) Conference and Passage. The final House and Senate versions of the NFIP authorization bill must be reconciled in conference. Because of their primary jurisdiction over the NFIP budgets, HPSC(I) and SSC(I) members always take an active role on the Authorization Conference Committee. Once agreement is reached, the House and Senate vote on the Conference bill, which, with passage by both houses, becomes the Intelligence Authorization Bill. With the President's signature, the bill becomes the Intelligence Authorization Act for that fiscal year.

Where Senate and House "marks" on specific budget items differ, the DCI may appeal directly to the authorization conference committee, with his appeal submitted through OMB prior to its delivery to the Hill. The IC prepares its formal first appeal to the Authorization Conference Committee during each budget cycle approximately five months prior to budget execution. (The second formal appeal is directed toward the Appropriations Conference Committees.) When the conference committee reports out a bill, Congress's position on the NFIP budget is final, unless the full House or Senate revises the committee's position, which happens only rarely and usually requires another conference.

(d) HPSC(I) JMIP/TIARA Authorization Process. In the House, the HPSC(I) takes the lead on the authorizing JMIP and TIARA. The HPSC(I) holds hearings on JMIP and TIARA and produces a committee report and "mark." Concurrently, the HASC holds hearings and performs its "mark-up" on the DoD authorization bill without the JMIP and TIARA portions. The HPSC(I) JMIP/TIARA "mark" is then combined with the HASC's "mark" of the remainder of the DoD budget. If the two Committees differ on any item or amount in the HPSC(I) "mark," they resolve their differences before issuing their joint report to the full House for a vote.

(e) SSC(I) JMIP/TIARA Authorization Process. On the Senate side, the SSC(I) serves in an advisory capacity to the SASC, which takes the primary role in authorizing JMIP and TIARA. During the authorization process the SSC(I) holds hearings on JMIP and TIARA programs, but uses the information gleaned to advise the SASC as the SASC prepares the DoD "mark." SASC then issues its report to the full Senate for passage.

(f) Conference and Passage. This process occurs in the same manner as for the NFIP. The Authorization Conference's bill is voted on by the full House and Senate, resulting in the Defense Authorization Bill. This bill, when signed by the President, becomes the Defense Authorization Act.

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19 Interview with SSC(I) staff, November 23, 1999.

(g) CDAs/QFRs. During the authorization process, the committees can influence programming and budgeting for particular NFIP, JMIP, and TIARA programs through CDA issuance. This document details particular changes Congress wishes to see made to a program. The administration formally replies to these CDAs directly and through CBJB submission. A separate section of the CBJB summarizes CDAs that impact a given program and provides the status of program response. The Community Management Staff's Resource Management Office (CMS/RMO) serves as the DCI's primary responder to CDAs on NFIP programs, with formal responses submitted through the legislative affairs office. Whether the CDA is addressed directly or through the CBJB, OMB must clear the responses to ensure consistency in administration positions being taken on issues before Congress.

The Committees may also formally solicit information during the authorization process by issuing QFRs. The QFRs serve as an alternative to hearings in generating additional information useful in the authorization process. CMS/RMO also serves as the DCI's delegate to respond to QFRs, with the responses formally submitted through the legislative affairs office. As in the case of CDAs, OMB must clear the responses prior to their formal submission to the committees.

(2) Major Stakeholders: President, OSD (ASD[C3I], PA&E), JCS (J8), Military Services, IC Component Agencies, OMB, Congress.

(3) Key HPSC(I)/SSC(I) Processes: Intelligence authorization.

(4) Associated Higher-Level Processes: Intelligence Program Objective Memorandum (IPOM) development and review.

(5) Associated Lower-level Processes: None.

6. Informal National Security Process Involvement. Much of the HPSC(I)'s and SSC(I)'s daily activities support the rich web of informal processes woven by the national security community. Members and staff request and receive briefings on a range of current and emerging security issues. Information needed to support congressional inquiries is often solicited directly from relevant IC offices via telephone, thus bypassing the more formal request to the legislative affairs office of the agency in question. HPSC(I) and SSC(I) staff often invite each other to hearings (although no formal coordination on hearings occurs) to facilitate communication. Each Committee also invites staffs from other Committees to hearings of mutual interest, although again no real coordination of hearings occurs (in this case due to differing jurisdictions). [20] Informal interactions with commissions, study groups, and other organizations pursuing areas of interest to the committees occurs frequently in the form of conference participation and the provision of relevant reports and studies to Committee members and staff.

7. Funding and Personnel.

A. Authorization and Appropriations: Not applicable.

B. Funding Sources: Funded from congressional operations resources.

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20   Interview with SSC(I) staff, November 23, 1999.

C. Budget: HPSCI(I) = $5.2 million;[21] SCC(I) = $3.8 million.[22]

D. Manpower: The SSC(I) staff numbers 30, with 11 of these being professional staff supporting the budget, audit, and investigations functions. The HPSC(I) staff size is believed to be approximately the same as the SSC(I).

8. Observations.

A. Joint Intelligence Committee: Both the HPSC(I) and SSC(I) staffs believe that no compelling reason exists to establish a joint intelligence committee. In its *IC21* report, HPSC(I) staff note that the primary arguments for keeping the HPSC(I) and SSC(I) as separate entities are the difficulties in altering one or another's authorization or oversight arrangements, as well the perception that intelligence is a "special" government function warranting such treatment.[23] The SSC(I) staff echo these sentiments, noting the strains in overcoming different political cultures (the SSCI(I)'s bipartisan approach versus the more partisan HPSC(I) traditions), as well as the differences in authorization jurisdictions for JMIP and TIARA.

B. Standing Intelligence Committees: An interesting difference of opinion appears when the two Committees are presented with the question of establishing themselves as Standing Committees. The HPSC(I) staff observe that while constitution as a Select Committee may have been to the Committee's benefit at its founding, the benefits of such a designation may now be outweighed by the costs. These costs, as cited by the staff in *IC21*, include members' limited familiarity with complex intelligence issues prior to the completion of their mandatory terms, and the rapid turnover in HPSC(I) chairmen since 1985.[24] SSC(I) staff interviewees discount the lack of familiarity argument, claiming that a typical member's eight-year term is sufficient to develop the background needed to make intelligent decision. SSC(I) staff also argue that the rotational aspect behind the Select Committee is very much to its benefit by instilling a healthy skepticism among members about IC program claims. One interviewee favorably contrasted the SSC(I)'s critical attitude with that of the more "client-friendly" SASC, one of the Senate's more prominent Standing Committees.

C. The "Undue Burden" of Congressional Oversight: SSC(I) interviewees indicated that they believe the Congressional oversight process does not place an undue burden on the executive branch in terms of reporting compliance costs. One interlocutor observed that the IC "knows how to play this sophisticated poker game" well enough to minimize the costs.

D. Expanded Jurisdiction over Defense Intelligence Programs: In response to a question on the SSC(I)'s JMIP and TIARA advisory role, SSC(I) staff noted that while institutionally the Committee would want to expand its jurisdiction to cover JMIP and TIARA, in practice such a move would be a mistake, as the Committee is not organized effectively to address these two programs. One interviewee also observed that with emergence of digital technologies for the intelligence dissemination across the globe, the definitions of "national" and "tactical" intelligence are becoming increasing blurred. He noted that, indeed, many of TIARA's activities would no longer qualify as tactical under traditional definitions.

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[21]   H.Res. 101, section 1, March 23, 1999.
[22]   S.Res 189, section 18, September 27, 1999.
[23]   Permanent Select Committee on Intelligence,IC21, p. 318.
[24]   Permanent Select Committee on Intelligence,IC21, p. 322.

E. **Separate Appropriations Subcommittee for Intelligence:** A separate Appropriations Subcommittee for intelligence would be constrained in practice by the continued need to crosswalk with the Defense Appropriations process. Although having a dedicated Subcommittee would lessen the burden of the Committee's overworked staff and could result in better protection for IC agency budgets, all of the relevant programs (with the exception of CIAP) would be bound by DoD 050 constraints.

F. Protecting Classified and Sensitive Information: Interviewees stressed the committees' excellent record on non-disclosure of classified and sensitive information. SSC(I) staff noted that two of its members (Senators Leahy and Durenberger) either resigned or were removed from the committee following their release of classified (in the Durenberger case) or sensitive (in the Leahy case) information.

G. Intelligence Sharing with Foreign Governments: Interviewees observed that the IC has excellent intelligence sharing arrangements with foreign governments. These arrangements have well-defined requirements and strict procedures for sharing information. One interviewee pointed to the State Department as the primary culprit in disclosing too much information in its demarches to foreign governments.

H. The Administration's Declassification Efforts: While lauding the IC's attempts to be more open with the public on its activities, interviewees decried current declassification efforts as too expensive. They stressed that with insufficient (in their opinion) funds dedicated to addressing current operational intelligence concerns, funding should not be dedicated to broad-scale declassification.

I. Executive Order 12333's Relevance to Today's National Security Environment: Interviewees suggested that, in the age of weapons of mass destruction (WMD), Executive Order 12333, which both describes and proscribes the DCI's responsibilities, should be reconsidered. While those interviewed stressed that this should be solely an executive branch decision, one interlocutor argued his personal view that in a world defined by WMD, the DCI should not be limited in his designation of intelligence operations. This same interviewee pointed out that limited but bipartisan support for repealing Executive Order 12333 exists in the Senate.

APPENDICES

House Permanent Select Committee on Intelligence - Key Process - (Formal) - Policy, Guidance, and Regulation and Resourcing - Intelligence Authorization Bill

DCI			

DCI
- Start
- Forward CBJB and NFIP Budget to Congress
- Provide Testimony

House Permanent Select Committee on Intelligence HPSCI(I)
- Conduct Budget Hearings
- Mark Up NFIP and Draft Authorization Bill
- Send NFIP Mark Up to HASC for Sequential Review
- Accept HASC Amendment? — No → Debate in Closed Session — Yes
- A

House Armed Services Committee HASC
- Review NFIP Budget Authorization Bill
- Approve HPSCI Bill? — No → Identify Discrepancies — Yes
- Resolve Discrepancies
- Develop HPSCI / HASC Authorization Bill
- Approve? — Yes / No → Amend HPSCI Bill
- Send to Full House for Vote

House
- Connect to Page 2(b)

Interagency

Inter-Branch
- A
- Provide NFIP Program Manager Testimony

Interagency Working Group IWG

CBJB - Congressional Budget Justification Books
NFIP - National Foreign Intelligence Program

Appendix 1(a)

House Permanent Select Committee on Intelligence - Key Process - (Formal) - Policy, Guidance, and Regulation and Resourcing - Intelligence Authorization Bill

DCI	Appeal Decisions
House Permanent Select Committee on Intelligence HPSC()	Reconcile with Senate Version of NFIP Authorization Bill → Modify Bill to Bring Issues for Discussion at Conference with SSCI (Forum for DCI Appeal) → Send to Full House for Passage
House Armed Services Committee HASC	
House	Connect to Page 2(a) → Approve House NFIP Authorization Bill? ... No → Approve House/Senate Authorization Bill? — Yes → Send Intelligence Authorization Bill to President for Signature → End
Interagency	
Inter-Branch	
Interagency Working Group IWG	

CBJB - Congressional Budget Justification Books
NFIP - National Foreign Intelligence Program

Appendix 1(b)
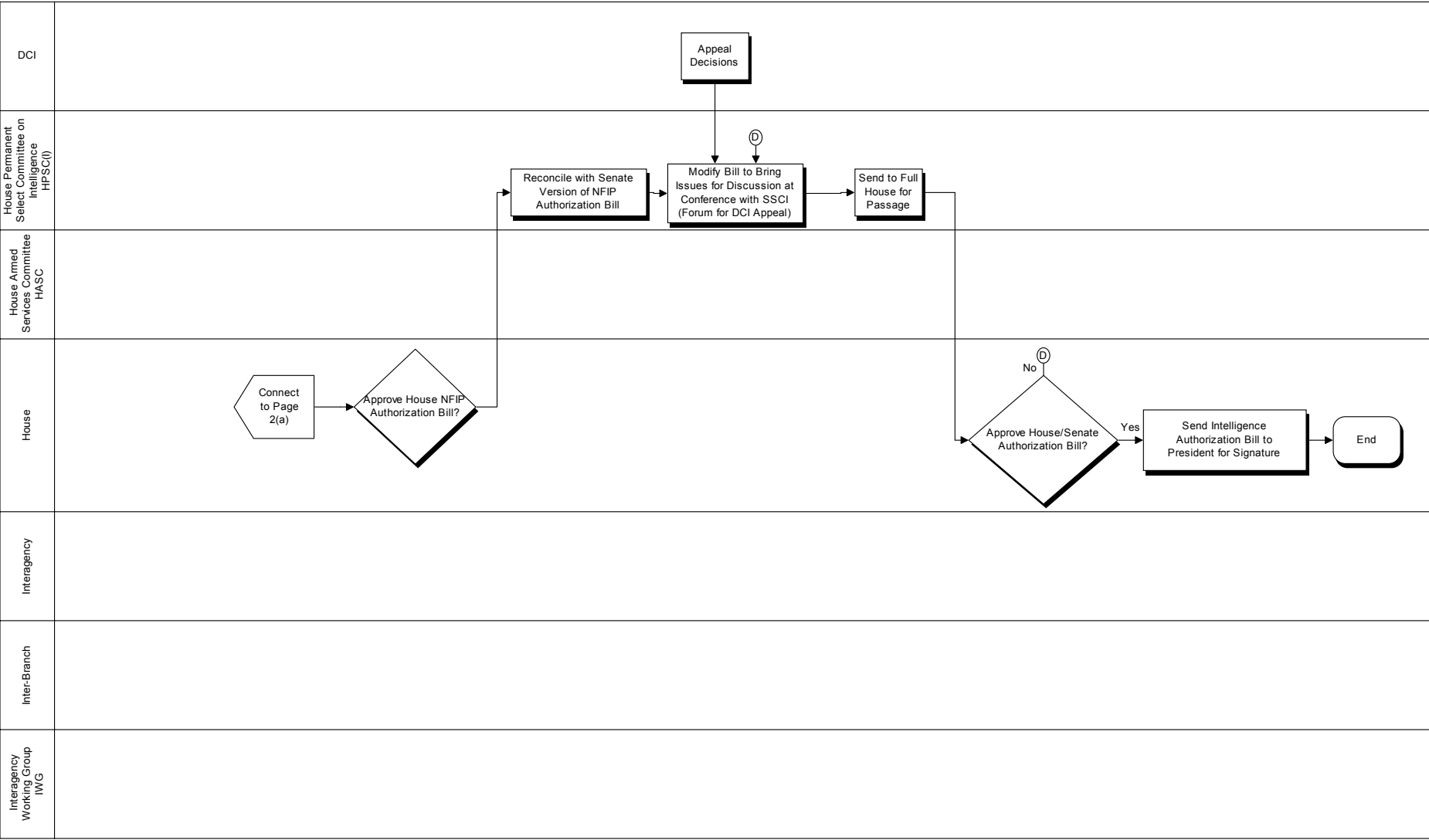
Senate Select Committee on Intelligence - Key Process - (Formal) - Policy, Guidance, and Regulation and Resourcing - Intelligence Authorization Bill

DCI

Start → Forward CBJB and NFIP Budget to Congress

Provide Testimony

Senate Select Committee on Intelligence SSC(I)

(A)

Conduct Budget Hearings → Mark Up NFIP and Draft Authorization Bill → Send NFIP Mark Up to SASC for Sequential Review

Accept SASC Amendment? — No → Debate in Open Session

Yes

Senate Arms Services Committee SASC

Review NFIP Budget Authorization Bill → Approve SSCI Bill? — No → Identify Discrepancies → Resolve Discrepancies

Yes
(B)

(B) → Develop SSCI / SASC Authorization Bill → (C)

Approve? — Yes / No → Amend SSCI Bill

(C) → Send to Full Senate for Vote

Senate

Connect to Page 1(b)

Interagency

Inter-Branch

(A)

Provide NFIP Program Manager Testimony

Interagency Working Group IWG

CBJB - Congressional Budget Justification Books
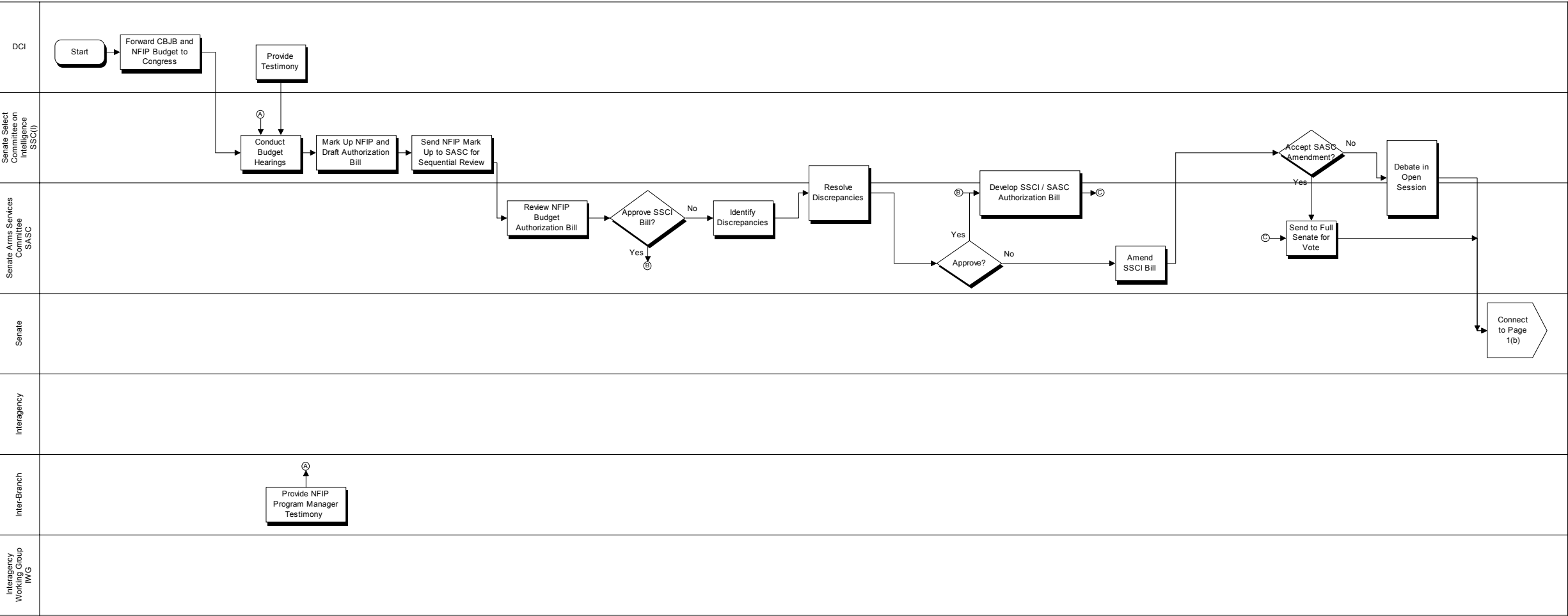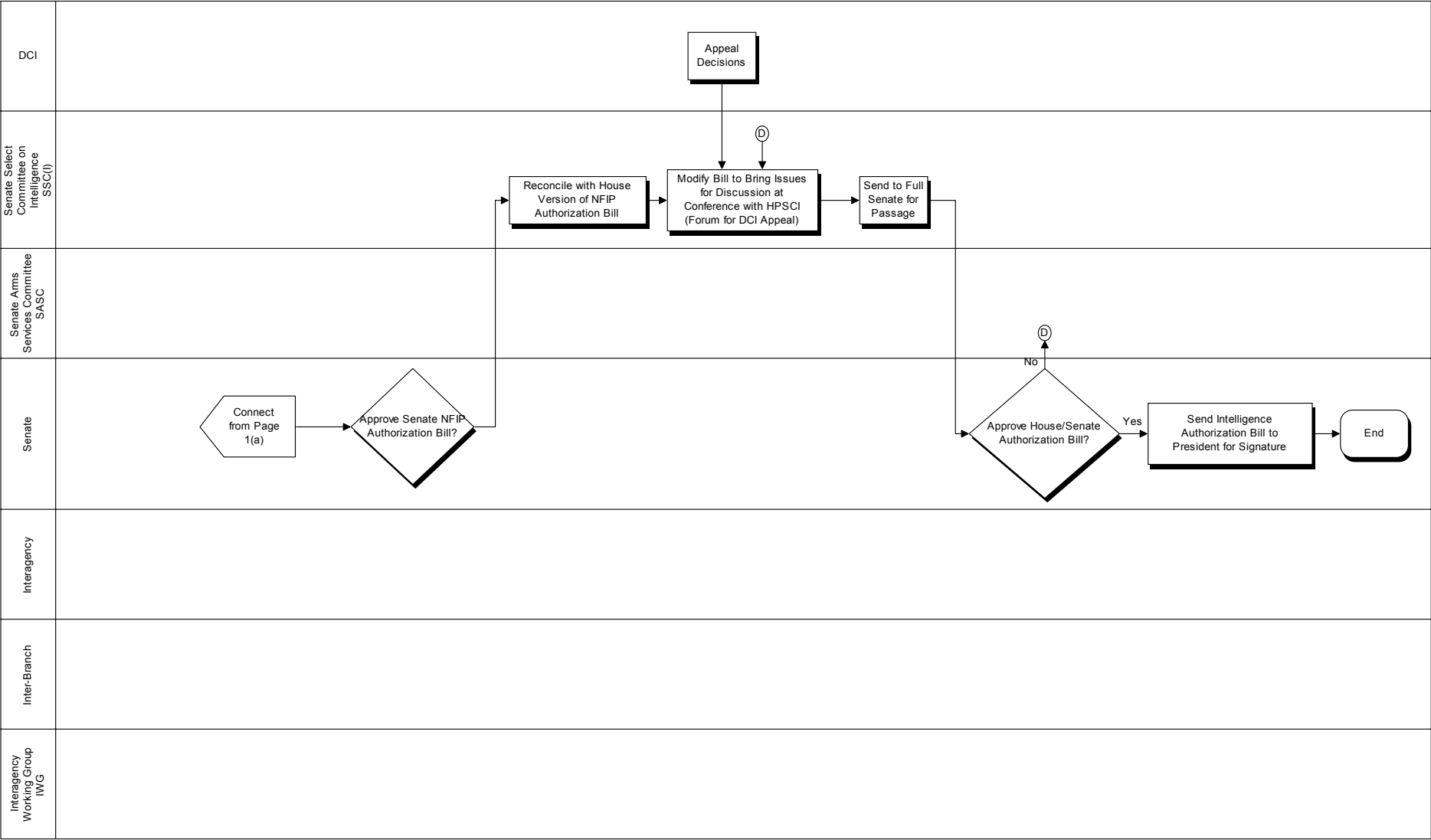NFIP - National Foreign Intelligence Program

Appendix 2(a)

Senate Select Committee on Intelligence - Key Process - (Formal) - Policy, Guidance, and Regulation and Resourcing - Intelligence Authorization Bill

DCI	Appeal Decisions
Senate Select Committee on Intelligence SSC(I)	Reconcile with House Version of NFIP Authorization Bill → Modify Bill to Bring Issues for Discussion at Conference with HPSCI (Forum for DCI Appeal) → Send to Full Senate for Passage
Senate Arms Services Committee SASC	
Senate	Connect from Page 1(a) → Approve Senate NFIP Authorization Bill? ... Approve House/Senate Authorization Bill? — Yes → Send Intelligence Authorization Bill to President for Signature → End
Interagency	
Inter-Branch	
Interagency Working Group IWG	

CBJB - Congressional Budget Justification Books
NFIP - National Foreign Intelligence Program

Appendix 2(b)

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