Tale of Three Systems:
Formalizing an Operational Interagency Management Process

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Agenda

- **Background**

- **Research Questions and Methodology**

- **Terms and Definitions**

- **Tale of System One: Interagency Management System**

- **Tale of System Two: National Response Framework**

- **Analysis**

- **Tale of System Three: International Operational Response Framework**

- **Conclusion**

- **Policy Recommendations**

- **Questions and Comments**

Research Problem

The last five National Security Strategies of the United States call for improved interagency integration and cooperatives processes, yet formal venues to do so are still lacking, most notably overseas at <u>regional and country levels</u>.

Background
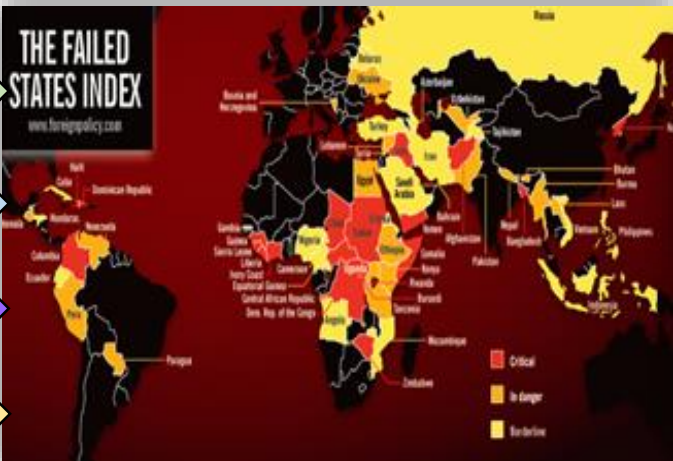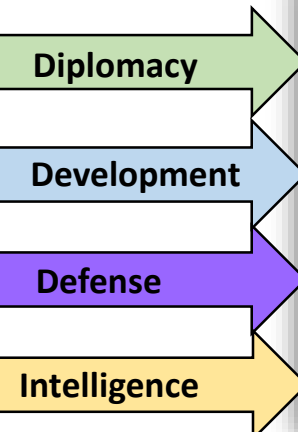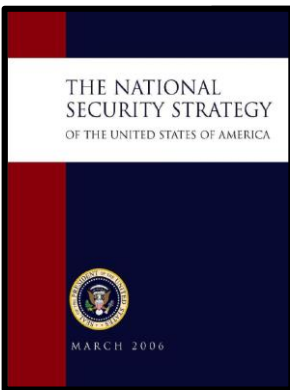
No less than twenty major US reconstruction and stabilization operations at home and abroad since 1991 with only two domestic operations sharing the same interagency planning and execution process.

Research Questions and Methodology

- Why do USG interagency partners share a commonly understood planning and operations doctrine for domestic operations but not one for overseas operations?

- Could a formal USG interagency framework for planning and coordinating overseas response operations be instituted at regional and country levels, and if so, what might it look?

<u>Literature Review</u>	<u>Tale of Systems 1, 2 and 3</u>

• Academic Works
• Professional Journals
• Written Books
• Government Literature
• Government Case Studies
• Professional Case Studies
• Private Case Studies
	• System History
	  o Executive Order
	  o Congressional Statute
	  o System Organization
	  o System Application
	  o System Effectiveness
	• Analysis and System Devlopment

Terms and Definitions

- **Complex Operation:** (A) Stability Operation. (B) Security Operation. (C) Transition and Reconstruction Operation. (D) Counterinsurgency Operation. (E) Irregular Warfare. (*Section 1031, 2009 NDAA*)

- **Stability Operation:** Reconstruction operations conducted by departments or agencies of the Federal Government described by Department of Defense Directive 3000.05, National Security President Directive 1, or National Security Presidential Directive 44. (*Section 1054, 2009 NDAA)*

- **Stability Operation:** An <u>overarching term</u> encompassing various military missions, tasks, and activities conducted outside the United States in coordination with other instruments of national power to maintain or reestablish a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief. (*DODD 3000.05, 1*)

- **Reconstruction and Stabilization:** USG efforts to prepare, plan for and conduct in a range of situations that require the response capabilities of multiple USG entities and are harmonized with military plans and operations. The relevant situations include **complex emergencies** and transitions, failing states, failed states and environments across the spectrum of conflict particularly those involving transitions from peacekeeping and other military interventions. The response to the crises will include among others, activities relating to internal security, governance and participation, social and economic well-being and justice reconciliation. (*NSPD 44, 5*)

- **Planning:** Divergent Views. Unclear among agencies, none has the same concept in mind. For this study, planning refers to crisis response planning.

	Policy and Strategy-Oriented Planning/Guidance		Resource-Oriented Planning/Guidance	
Characteristics	-Group of processes that generate plans that communicate unity of purpose and intended actions of stakeholders -Deliberate, cyclical, proactive -Core components: Goals, Objectives, Endstates, Priorities -Contains policy direction -Does not contain resource requirements		-Group of processes that generate plans that communicate unity of purpose and intended actions of stakeholders AND contains budget data -Deliberate, cyclical, proactive -Core components: Goals, Objectives, Priorities, Performance Targets, Resource Requirements -Contains policy direction	
	Global / Functional / Capstone	*Geographic*	*Geographic*	*Functional*
State	-Quadrennial Diplomacy and Development Review -State/USAID Joint Strategic Plan -Joint Regional Strategies -Functional Bureau Strategies -Integrated Country Strategies		-Bureau Resource Requests -Mission Resource Requests -Operational Plans -Performance Plans and Reports	
USAID	-Agency Policy Framework -Agency Policies and Strategies	Country Development Cooperation Strategies	-Operational Plans -Performance Plans and Reports	-Presidential Initiative Plans -Performance Plans and Reports
DoD	-Guidance for Employment of the Force -Joint Strategic Capabilities Plan	-Theater Campaign Plans -Theater Posture Plans -Country Plans -Contingency Plans -Global Campaign Plans -Campaign Support Plans	-Defense Planning Guidance -Global Force Management Implementation Guidance	

Literature Review

- **Bureaucratic Management System:** Organization is highly formalized, characterized by extensive procedures and instructions, rational decision making process, standardized routines, positions arranged hierarchically, objectives and plans established at the top or near top for decisions and behaviors at lower levels (Weber, Bigley, Roberts)

- **Interagency Integration**: Historically two schools of thought to achieve cooperation across the interagency – (1) build trust and familiarity / requires willingness (2) merge and remove separateness / no single primary agency function vs agency primary function.
  - Civilian agencies lack capacity.
  - Protect equity of the agency – incentive.
  - Separate and distinct agency culture.
  - Nothing to prepare agent to work outside traditional competencies.
  - Lacking process will tend to plan and carry out operations their own way.

  (Locher; Bialos; Lederman; Habeck; Murdock, Flournoy, Williams, and Kurt)

- **System Effectiveness:**
  - Current NSS: Ad hoc organizations, some successful, some not, none are the same.
  - Interagency Management System: Never fully implemented. (GAO - Sarafino)
  - National Response Framework / National Incident Management System: Failure 2005, Moderate Success 2008. (FEMA, GAO – Walker)

Tale of System One: IMS

- *PDD 56 – Policy on Managing Complex Operations* (May 1997)

- *Reconstruction and Stabilization Civilian Management Act 2004* (February 2004)

- Secretary Powell **Creates** Office of Reconstruction and Stabilization (S/CRS) (July 2004)

- Consolidated Appropriations Act 2005 (December 2004)
  - Office of Reconstruction and Stabilization Established (Coordinate / No Budget)

- NSPD-44 – *Management of Interagency Efforts Concerning Reconstruction and Stabilization (December 2005)*
  - S/CRS Broad Responsibilities (**Lead** - **Prevent** and Mitigate Conflict)
  - Conflicts with Regional Bureaus, USAID, and Ambassadors Abroad
  - Not Supported by DoS Foreign Affairs Manual / Legislation

- *Duncan Hunter National Defense Authorization Act, Section 1605 - Reconstruction and Stabilization Civilian Management Act 2009* (February 2004)
  - Mandate and Budget to Build Civilian Response Corps

- 2010 Department of State Quadrennial Diplomacy and Development Review
  - **Rescinds IMS** and Establishes Bureau of Conflict and Stabilization

Consists of Three Key Concepts:

1) <u>Interagency Management System (IMS) – NSC Approved March 2007</u>
   - Country Reconstruction and Stabilization Group
     (Policy Coordination Committee and Staff)
   - Integration Planning Cell (Geographic Combatant Command HQ)
   - Advance Civilian Team
   - Field Advance Civilian Team
   - Civilian Response Corps
     o Active Response Corps
     o Standby Response Corps
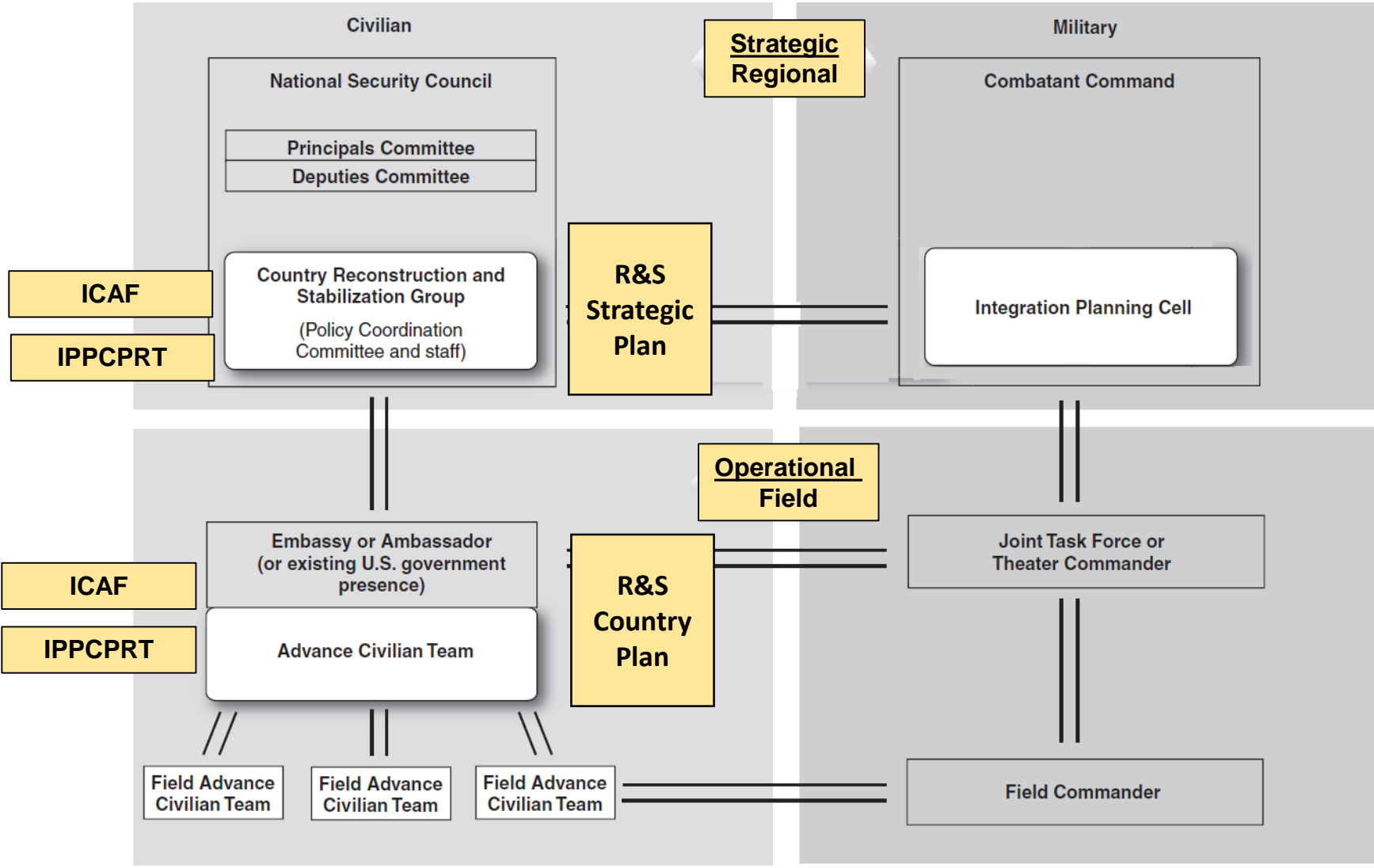   o Civilian Response Corps

2) <u>Interagency Conflict Assessment Framework (ICAF) – NSC Approved March 2007</u>
   - Drivers of Conflict and Instability / Situation Analysis

3) <u>Integrated Planning for Conflict Prevention, Response and Transformation Process (IPCPRT)</u>
   - Draft Not Approved
   - Essential Task Matrix
   - R&S Strategic Plan
   - R&S Country Plan

Sources: GAO analysis of Interagency Management System for Reconstruction and Stabilization and S/CRS documents.

Note: The U.S. military may or may not be involved in specific operations.

Tale of System Two: NRF / NIMS

- *Congressional Commission 1971*
  - FIrefighting Resources of Southern California Organized for Potential Emergencies
  - Genesis of Incident Command System and Multi-Agency System

- *Disaster Relief Act of 1974*
  - Federal Disaster Assistance Administration

- *Executive Order 12148 July 1979*
  - Establishes FEMA

- *Robert T. Stafford Disaster Relief and Emergency Assistance Act 1988*
  - FEMA Coordinator of USG reflief efforts.
  - Create Federal Response Plan
  - Creates system triggers for statutory financial and physical assistance

- *Homeland Security Act 2002*
  - Creates Homeland Security Council
  - Creates Department of Homeland Security (Consolidation of 20 federal agencies)
  - Consolidate 5 USG Response Plans into National Response Plan
 - Build National Incident Management System

Tale of System Two: NRF / NIMS

- *HSPD 5 Management of Domestic Incidents, February 28, 2003*
  - Federal Agencies Must Adopt National Incident Management System
  - State and local governments adopt NIMS for federal grants, programs, contracts

- *HSPD 8: National Preparedness, December 17, 2003*
  - Establish goals and metrics for levels of disaster preparedness

- *Post Katrina Emergency Management Reform Act*
  - Establish National Response Framework
  - Establish Regional Field Offices
  - Establish National Integration Center

- *Sandy Recovery Improvement Act of 2013*
  - Establishes Prepared Frameworks (Prevention, Mitigation, Response, Recovery)

- NRF / NIMS Authorities derived from 63 Federal Statutes and 20 Presidential Directives

NRF / NIMS Overview

National Incident Management System (NIMS)
Standardized process and procedures for incident management

NIMS aligns command and control, organization structure, terminology, communication protocols, resources and resource typing to enable synchronization of efforts in response to an incident at all echelons of government

Incident

Local
Support or Response

State
Support or Response

Federal
Support or Response
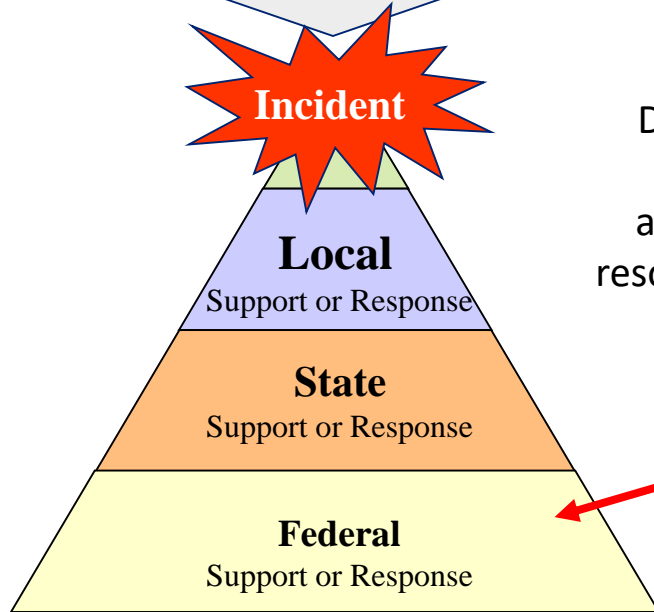
DHS integrates
&
applies Federal resources both pre-
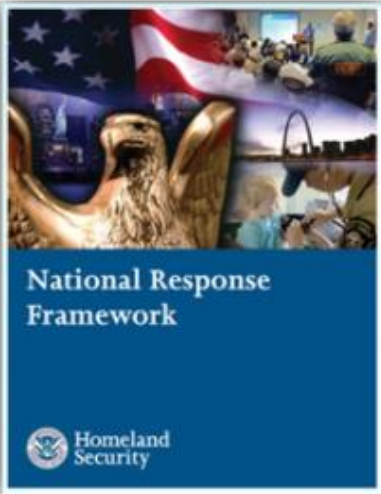&
post-incident
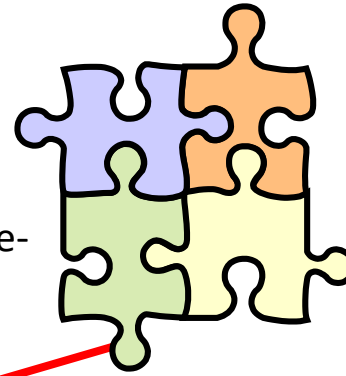
Resources, knowledge, & abilities come from independent Federal Departments and Agencies

National Response Framework (NRF)

NRF Overview

Core Document

Guide for National Response
- Doctrine
- Organization
- Roles and Responsibilities
- Response Actions
- Planning Requirements

Response Doctrine
- Engaged Partnership
- Tiered Response
- Scalable, flexible, and adaptable operational capabilities
- Unity of Effort-Unified Command
- Readiness to Act

National Response Framework

Homeland Security

Homeland Security — NRF Resource Center

|	
Emergency Support Function Annexes	Mechanisms to group and provide Federal resources and capabilities to support State and local responders
Support Annexes	Essential supporting aspects of Federal response common to all incidents
Incident Annexes	Incident-specific applications of the Framework
Partner Guides	Next level of detail in response actions tailored to the actionable entity

Home   Contact Us   Privacy Policy   Important Notices   FOIA   USA.gov   DHS

- Standardization
  - Common Terminology

- Command
  - Establish/Transfer Command
  - Chain of Command / Unity of Command

- Common Planning / Organizational Structure
  - Manage by Objectives
  - Incident Action Plan (IAP)
  - Modular Organization
  - Manageable Span of Control

- Facilities and Resources
  - Comprehensive Resource Management
  - Incident Locations and Facilities

- Communications / Information Management
  - Integrated Communications
  - Information Management
  - Intelligence Management

- Professionalism
  - Accountability
  - Dispatch / Deployment
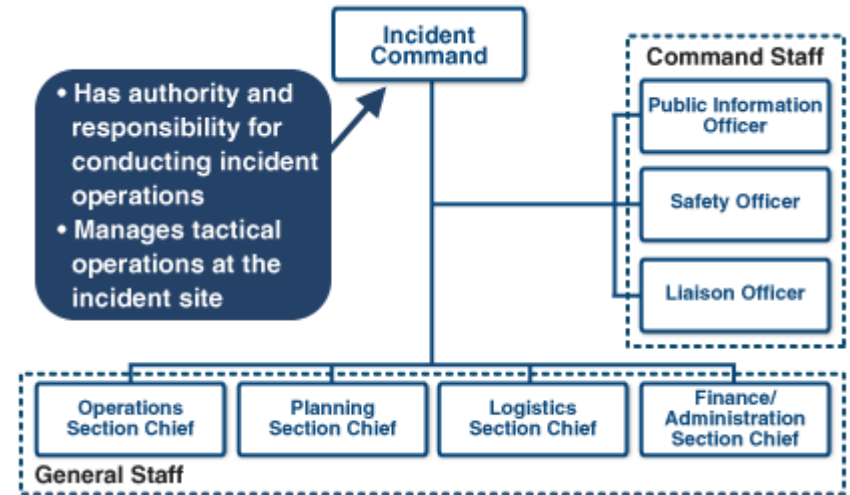
Command and Support Relationships Example

FEMA NORTHCOM DSCA PH II Brief
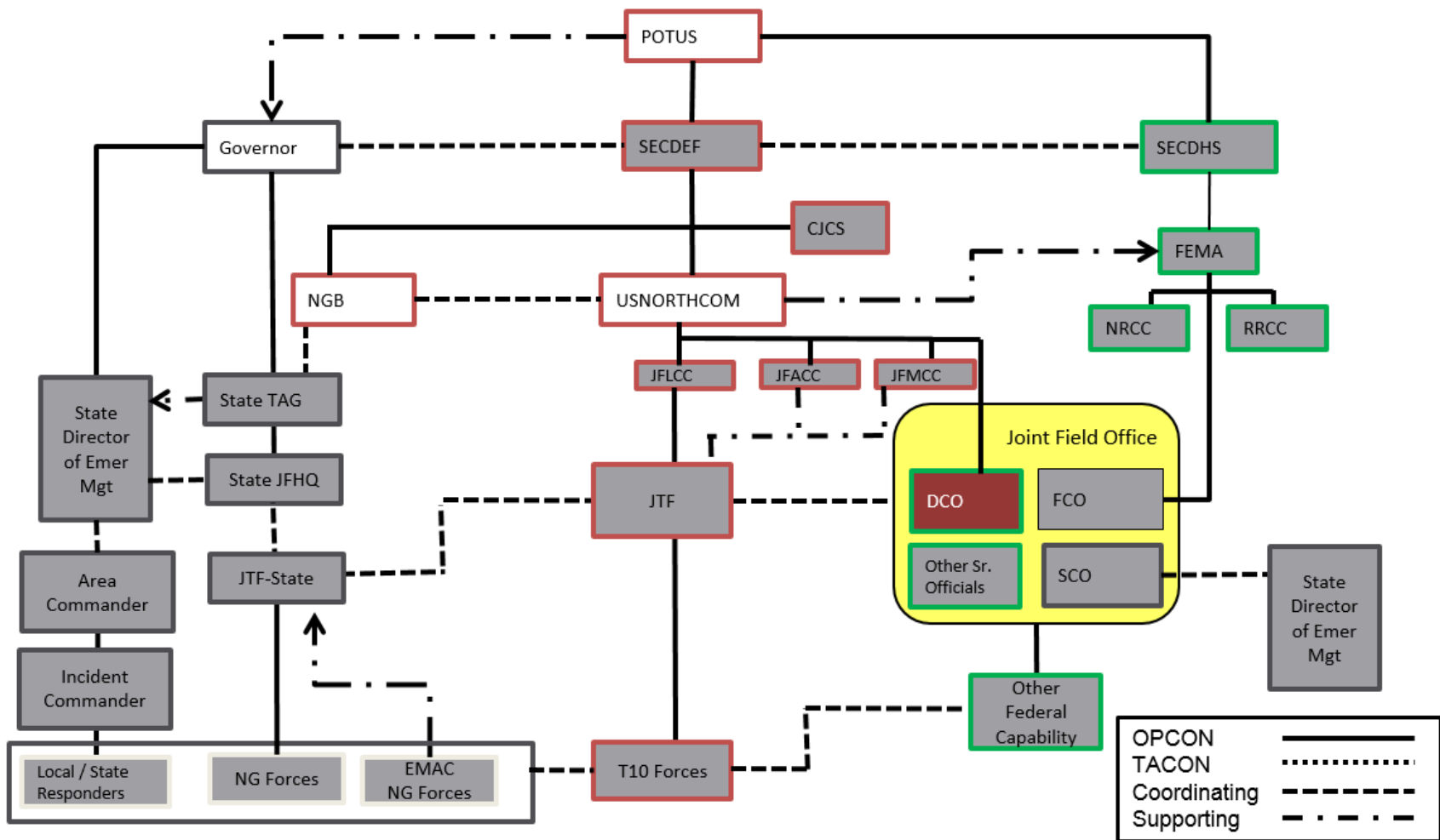
Conclusions

o   Never a clear purpose supported by legislation

o   Established a new office with conflicting responsibilities (no authority)

o   No program or budget provided (no resources)

o   NSPD-1 2001 (foundational processes were already in place)

o   US Director of Foreign Assistance (struggle for USAID under State 2006)

o   2009 NDAA (increased budget supporting NSPD-1 initiatives)

o   Iraq Status Forces Agreement 2008 (Withdrawal)

o   Recession and Budget Control Act 2011

o   Future required powerful sponsors for reform (President, Congress, SoS, SoD)

o   CSO to build smaller Civilian Response Corps

o   Diplomacy, Development and Defense (3D) Planning Group (way ahead?)

Tale of System 3: IORF

o   IMS adopts many NRF/NIMS principles

o   Medium to large scale response framework

o   Overseas "Stafford Act" with contingency fund

o   Resource integration center under USAID Bureau for Policy, Planning and Learning or Bureau of Democracy, Conflict and Humanitarian Assistance, Office of Civ-Mil Cooperation

o   Similar mandates found in PDD-56 and HSPD-5

o   Enduring framework better than no enduring framework, especially at the field level

o   Bridging strategy – future reforms will take time (this will too)

Questions and Comments

Iraq 1991 · Somalia 1992 · Haiti 1994 · Bosnia 1995 · Kosovo 1999 · USA 2001 · Afghanistan 2002

Iraq 2003 · Indonesia 2004 · Gulf Coast 2005 · Pakistan 2010 · Liberia 2015 · Ukraine 2015 · Iraq-Syria 2015

No less than twenty major US reconstruction and stabilization operations at home and abroad since 1991 with only two domestic operations sharing the same interagency planning and execution process.