

# ROAD MAP FOR NATIONAL SECURITY

ADDENDUM ON  
STRUCTURE AND  
PROCESS ANALYSES



Volume IV - Department  
of Defense



## **PREFACE**

### **DEPARTMENT OF DEFENSE**

The chapters in this volume provide information concerning organizations in the Department of Defense, including the Office of the Secretary of Defense, the Under Secretary for Acquisition and Technology, the Under Secretary for Policy, Program Analysis and Evaluation, The Joint Chiefs of Staff, the U.S. Joint Forces Command, the Unified Commands, the Military Departments and Services, the Defense Advanced Research Projects Agency, and the Defense Logistics Projects Agency.

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:

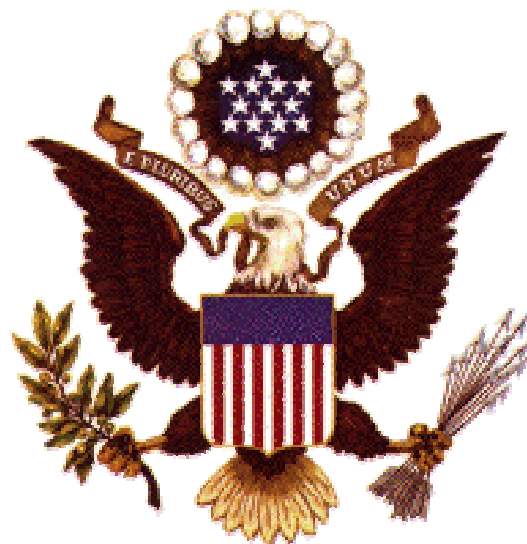
- Volume I contains descriptions of the overarching interagency and inter branch processes as well as key observations on organizations and processes;
- Volume II contains chapters on the Executive Office of the President.
- Volume III contains chapters on key Congressional Committees.
- Volume IV provides 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/21<sup>st</sup> Century.

# Volume IV – Department of Defense

- Chapter 1**      Office of the Secretary of Defense (OSD)
- Chapter 2**      Under Secretary for Acquisition and Technology (USD(A&T))
- Chapter 3**      Under Secretary for Policy (USD(P))
- Chapter 4**      Program Analysis and Evaluation (PA&E)
- Chapter 5**      The Joint Chiefs of Staff (JCS)
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**ORGANIZATIONAL DESCRIPTION**  
**OFFICE OF THE SECRETARY OF DEFENSE**



*Prepared for the U.S. Commission on National Security/21<sup>st</sup> Century*

## EXECUTIVE SUMMARY

### Office of the Secretary of Defense

#### Overview

The Constitution appoints the President as the Commander-in-Chief of the armed forces. To assist the President in discharging his duties as Commander-in-Chief and to bolster the principle of civilian control of the military, Congress established the position of Secretary of Defense (SecDef) in 1947 and made it a cabinet level position. In fulfilling his responsibilities, the Secretary of Defense:

- Acts as the President's principal assistant for matters pertaining to the Department of Defense;
- Establishes policies, strategies, regulations, and programs for the Department;
- Directs, guides, and controls the Armed Forces under all circumstances;
- Evaluates the effectiveness of programs and the readiness of forces;
- Plans, programs, budgets and oversees budget execution;
- Meets with officials of foreign governments on matters of national security; and
- Allocates resources consistent with Congressional intent and Department priorities.

The SecDef is a statutory member of the National Security Council and, by direction of the president, participates in deliberations of the National Security Council Principals Committee (NSC/PC).<sup>1</sup>

The Office of the Secretary of Defense (OSD) provides advice and staff assistance to the SecDef to assist him in fulfilling his responsibilities. OSD's core competencies include policy and strategy formulation, management, decision-making, and crisis management.

#### Organization

OSD includes the SecDef, the Deputy Secretary of Defense (DepSecDef), an Executive Secretariat, and special and military assistants. It also includes the Department of Defense Inspector General, the Assistant to the Secretary of Defense (Intelligence Oversight), the General Counsel, and the Director of Administration and Management.

In addition to this immediate staff, OSD consists of the four Under Secretaries of Defense: the Under Secretary of Defense (Policy), the Under Secretary of Defense (Comptroller/Chief Financial Officer), the Under Secretary of Defense (Personnel and Readiness); and the Under Secretary of Defense (Acquisition and Technology). The Under

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<sup>1</sup> Section 113, Title 10, U.S.C.; Section 101, Volume 61, Part 1, Public Laws, Reorganization Plans, Proposed Amendment to the Constitution; Presidential Decision Directive 2, The Interagency Process.

Secretaries oversee eight Assistant Secretaries of Defense (ASD), while three ASDs report to the SecDef (Legislative Affairs; Public Affairs; and Command, Control, Communications, and Intelligence).

The Chairman of the Joint Chiefs of Staff and the Joint Chiefs are responsible to the SecDef. The Joint Chiefs (but not the Chairman) are enjoined to keep their respective Service Secretaries apprised of the advice they give the SecDef.<sup>2</sup>

### **Organizational Products**

OSD's major products include policy and military advice for the President and guidance to the organizations that comprise OSD. That guidance takes a number of forms:

- Strategy and policy documents;
- Operational orders for military forces;
- Annual budget preparation guidance;
- Program and acquisition guidance;
- Resource allocation decisions;
- Defense reform initiatives, guidance, and directives; and
- Required Congressional reports.

OSD elements also prepare testimony for the SecDef and DepSecDef and review the testimony of other senior officials; write speeches and addresses for senior officials to explain national security policy in a variety of forums; maintain official liaison with Congressional leaders and applicable committees and subcommittees; and prepare press releases as appropriate.

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<sup>2</sup> DoD Directive (DODD) Number 5100.1, Subject: Functions of the Department of Defense and Its Major Components, September 25, 1987.

## Role in Formal and Informal Processes

		Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
<b>OSD Products</b>	National Security Strategy	✓						
	National Military Strategy	✓						
	Defense Planning Guidance	✓	✓	✓				✓
	Contingency Planning			✓				
	Review Plans			✓		✓		
	Resource Allocation		✓					✓
	DoD Budget					✓		✓
	Budget Appeals							✓
	Consultations w/ Foreign Military Leaders						✓	
	Congressional Testimony		✓					✓
	Annual Reports					✓		
	Speeches & Interviews		✓					
	Foreign Policy lunches	✓						
	ABC Breakfasts & Lunches	✓						
<b>SecDef Roles</b>	Advisor to the President	✓	✓		✓			
	Direction of Armed Forces				✓	✓	✓	
	Member of the NSC/PC	✓	✓	✓	✓			

**Strategy Development.** SecDef reviews and approves the Department's input to the National Security Strategy. He reviews and approves strategies developed by the Under Secretary of Defense (Policy) and the Chairman of the Joint Chiefs of Staff (CJCS). In informal meetings with other senior Executive Branch officials, the SecDef participates in high-level strategy meetings. As the President's senior national security advisor, he participates in both formal and informal strategy development sessions held by the President, the National Security Council, and the NSC/PC.

**Policy, Guidance, Regulation.** The SecDef provides policy and guidance to the Department in all matters through a number of different venues including DoD Directives (DODD), DoD Instructions (DODDI), and approval of the Defense Planning Guidance (DPG) (prepared by the Under Secretary of Defense for Policy and the Director of PA&E).<sup>3</sup> The DepSecDef provides guidance and regulation in resource allocation decisions made through the Defense Resource Board process. Through the actions of the DoD Inspector General and the Under Secretary of

<sup>3</sup> See sections of this volume entitled Under Secretary for Policy and Programs, Analysis, and Evaluation directorate for a detailed description of DPG preparation and effects.



Defense (Comptroller/Chief Financial Officer), OSD regulates adherence to regulations and policies. In speeches, testimony, advice to the President, and Principal Committee consultations the SecDef develops and promulgates policy.

**Planning.** The SecDef approves the DPG, which is part of the planning phase of the Planning, Programming, and Budgeting System (PPBS) used to prepare the Department's portion of the President's annual budget submission. Although approved by the President, OSD develops and coordinates the Contingency Planning Guidance, which constitutes the authority for development of contingency and other operational plans. In fulfilling his statutory responsibilities to review operational plans prepared by the Unified Commands, the SecDef (through the Under Secretary of Defense for Policy) influences contingency planning. In NSC/PC deliberations, the SecDef approves political-military plans prepared as part of the process for managing complex contingencies.

**Mission Execution.** The SecDef directs the activities of armed forces engaged in military operations, acting in his own name or for the President. Although the SecDef may issue orders directly to operating forces, he traditionally places the CJCS in the chain and requires all OSD offices to deal with military forces through the CJCS. When the CJCS issues orders (such as Warning or Deployment Orders), the SecDef approves them. As a member of the NSC/PC the SecDef is involved in interagency oversight of ongoing operations and thus can influence the course of ongoing operations.

**Observation, Orientation, Oversight.** OSD exercises oversight in the process for preparing the annual Department budget. The review of operational plans required by law also provides oversight of an important function. At weekly informal meetings with other senior officials, the SecDef helps to orient approaches to national security problems. Through annual reports to Congress as required by law, OSD exercises observation and oversight of activities such as an annual net assessment of U.S. defense capabilities compared to allied capabilities and those of adversaries (or potential adversaries), and the costs of stationing forces outside of the United States. The Department's Inspector General also is an active participant in oversight activities. And, in providing direction to the armed forces, the SecDef exercises orientation and oversight authority.

**Preparation.** The SecDef establishes overall DoD preparation priorities in the DPG and other documents, which provide priorities to DoD components. In his role of directing the armed forces, the SecDef encourages broad preparation strategies. OSD is involved in preparation through frequent meetings with foreign military leaders that provide information about their capabilities and intents, strengthen alliances, and pave the way for future coalitions.

**Resourcing.** OSD participates in the internal DoD resourcing process by approving the DPG, providing resource allocation decisions for difficult issues, budget preparation guidance, and budget approval. In cases in which the Office of Management and Budget rejects a DoD budget request, OSD is involved in the appeals process, which may involve the President.

## Observations

OSD is organized to deal with those national security matters that require a military response and to manage the Department's business affairs. Adequate processes exist to develop strategy, issue policy and guidance, plan, oversee ongoing operations, prepare for the future, and manage budget preparation and execution.

There is a "seam" in how it is staffed, however, because all senior members of OSD change when Administrations change. Because all of the leadership departs nearly simultaneously, decision making to deal with an unexpected crisis may be hampered if that crisis occurs during the change-of-administrations transition. This lack of long-term continuity may be deleterious in the future when response times may be shorter and issues more complex.

Similarly, there is no effective chief of staff's office for OSD. This can affect the speed at which responses occur and how well integrated they are. While most Secretaries have chiefs of staff, their chiefs do not have the resources or organizational experience within DoD to act as chiefs in the same way that the White House Chief of Staff or the chiefs of military staffs do. And, because they are political appointees, their tenures are relatively brief. Thus, there is no central office to manage information flow within OSD similar to the Director of the Joint Staff, or to anticipate the Secretary's requirements and task OSD staff elements accordingly. Other functions hampered by lack of an OSD chief of staff is the ability to orchestrate responses and hold OSD elements accountable for results, to synthesize the inputs of various activities into a coherent whole, or to supervise implementation in the Secretary's name.

Creation of a properly resourced OSD chief of staff's office, staffed with career civil servants and augmented by military officers, could improve effectiveness and accountability. The chief of staff could continue to be appointed by the SecDef; however, the office would include deputy chiefs of staff who are capable of translating requirements and initiatives into action within DoD's complex bureaucracy.

## ORGANIZATIONAL DESCRIPTION

### OFFICE OF THE SECRETARY OF DEFENSE

#### 1. Legal Specifications, Authorizations and Responsibilities.

A. The Constitution appoints the President as the Commander-in-Chief of the armed forces, thus establishing the Constitutional principle of civilian control of the military. To assist the President in discharging his duties as Commander-in-Chief, Congress established the position of Secretary of Defense (SecDef) in 1947<sup>4</sup> and made it a cabinet level position. The duties of the SecDef were modified slightly in 1949<sup>5</sup> and bolstered by the Department of Defense Reorganization Act of 1958.<sup>6</sup> Over the years, there have been other modifications, and today, provisions of the public law that apply to the SecDef are contained in Chapter 2, Title 10 United States Code (U.S.C.), Armed Forces. To assist him in the performance of his duties, the SecDef is authorized an office that includes special assistants, Under Secretaries, and Assistant Secretaries.

**B. Department Directives:** The Office of the Secretary of Defense (OSD) responsibilities are prescribed in a number of Department of Defense Directives (DODD) including:

(1) **DODD 5100.1**—Functions of the Department of Defense and its Major Components;

(2) **DODD 5100.73**—Major Department of Defense Headquarters Activities;

(3) **DODD 5105.2**—Delegation of Authority to the Deputy Secretary of Defense;

(4) **DODD 5105.53**—Director of Administration and Management;

(5) **DODD 5105.54**—Executive Committee of the Department of Defense;

(6) **DODD 5106.1**—Inspector General of the Department of Defense;

(7) **DODD 5111.1**—Under Secretary of Defense for Policy (USD (P));

(8) **DODD 5118.3**—Under Secretary of Defense (Comptroller) (USD(C)/Chief Financial Officer (CFO), Department of Defense;

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<sup>4</sup> Section 101, Volume 61, Part 1, Public Laws, Reorganization Plans, Proposed Amendment to the Constitution; Presidential Decision Directive 2, The Interagency Process.

<sup>5</sup> Sections 5 and 6, Volume 63, Part 1, Public laws, Reorganization Plans, Private Laws, Concurrent Resolutions, and Proclamations.

<sup>6</sup> Section 3, Department of Defense Reorganization Act of 1958, PL 85-599; 72 STAT. 514.

- (9) **DODD 5122.5**—Assistant Secretary of Defense for Public Affairs (ASD(PA));
- (10) **DODD 5124.2**—Under Secretary of Defense for Personnel and Readiness (USD(P&R));
- (11) **DODD 5129.22**—Defense Science Board;
- (12) **DODD 5134.1**—Under Secretary of Defense for Acquisition and Technology (USD(A&T));
- (13) **DODD 5134.5**—Defense Technology Board (DTB);
- (14) **DODD 5134.8**—Assistant to the Secretary of Defense for Nuclear and Chemical and Biological Defense programs (ATSD(NCB));
- (15) **DODD 5137.1**—Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I));
- (16) **DODD 5142.1**—Assistant Secretary of Defense (Legislative Affairs);
- (17) **DODD 5141.2**—Director of Operational Test and Evaluation;
- (18) **DODD 5145.1**—General Counsel of the Department of Defense;
- (19) **DODD 5148.11**—Assistant to the Secretary of Defense for Intelligence Oversight;
- (20) **DODD 5149.2**—Senior Readiness Oversight Council (SROC);
- (21) **DODD 5158.1**—Organization of the Joint Chiefs of Staff and Relationships with the Office of the Secretary of Defense; and
- (22) **DODD 5160.69**—Defense Management Council.

**C. Interagency Directives:** Although there are a number of directives that affect OSD and its role in the interagency process, two are the most significant.

**(1) Presidential Decision Directive 2 (PDD 2), Organization of the National Security Council:** Establishes the Clinton Administration's interagency process and prescribes that the Secretary of Defense will be a member of the National Security Council Principals Committee (NSC/PC). The NSC/PC is charged with reviewing, coordinating, and monitoring national security policy making and implementation. Additional information regarding PDD 2 is included in the section of this report dealing with overarching processes.

**(2) PDD 39, U.S. Policy on Counterterrorism [sic]:** Requires the SecDef to develop and ensure proper funding and management of DoD counterterrorism capabilities. It also requires the Department to respond to requests for assistance from the Department of State

to assist foreign populations affected by terrorist activities. PDD 39 requires DoD to cooperate with Department of Justice efforts to resolve terrorist highjackings.

**(3) PDD 49, National Space Policy:** Requires DoD (in conjunction with the Office of the Director of Central Intelligence) to conduct "space activities necessary for national security." Cooperation includes coordinating integrated space architectures and modernizing existing capabilities. Specific provisions include use of space to warn of and deter attacks; countering space systems that can be used for hostile purposes; assuring that hostile forces cannot prevent U.S. use of space; and using space for intelligence gathering purposes. DoD is also directed to coordinate with the Department of Energy to develop capabilities necessary to monitor "international agreements to control special nuclear materials and nuclear weapons" in space.

**(4) PDD 56, Managing Complex Contingency Operations:** Gives the NSC/PC specific responsibilities in crisis management, including oversight of the actions of the NSC Deputies Committee.

**(5) PDD 62, Combating Terrorism:** Prescribes Executive Branch Departments and Agencies general responsibilities for combating terrorism and codifies and clarifies their roles across the spectrum of counter terrorism programs. This PDD establishes the Office of the National Coordinator for Security, Infrastructure Protection, and Counter-Terrorism [sic].

**(6) PDD 63, Protecting America's Critical Infrastructures:** prescribes OSD's interagency responsibilities with respect to the National Infrastructure Protection Center which is designed to facilitate interagency coordination for consequence management, responses to terrorist actions, and reconstitution.

## **2. Mission/Functions/ Purposes**

**A. Major Responsibilities:** The duties and responsibilities of the Secretary of Defense include:

**(1)** Serving as one of the President's principal advisers on national security matters and on all matters pertaining to the Department of Defense [Key Process Relation: Potentially All];

**(2)** Assisting the President in his role as Commander-in-Chief by providing control and oversight of military forces [Key Process Relation: Policy, Guidance, and Regulation; Mission Execution; Observation, Orientation, and Oversight; Preparation];

**(3)** Reviewing and evaluating the performance of DoD programs and forces [Key Process Relation: Policy, Guidance, and Regulation; Observation, Orientation, and Oversight];

**(4)** Engaging in mid- and long-range planning, programming, and budgeting [Key Process Relation: Planning; Resourcing];

**(5)** Establishing and promulgating policies, regulations, and programs for the Department [Key Process Relation: Policy, Guidance, and Regulation; Resourcing];

(6) Overseeing preparation of DoD's portion of the President's budget [Key Process Relation: Resourcing];

(7) In coordination with the Office of the Secretary of State, meeting with senior foreign officials including the heads of state and ministers of defense [Key Process Relation: Mission Execution; Preparation]; and

(8) Allocating resources consistent with Congressional intent and Department priorities [Key Process Relation: Resourcing].

**B. Subordinate Agencies and Activities:** OSD exercises oversight over the following Defense Agencies and activities:<sup>7</sup>

- (1) The Ballistic Missile Defense Organization (BMDO);
- (2) The Defense Advanced Research Projects Agency (DARPA);<sup>8</sup>
- (3) The Defense Information Systems Agency (DISA)\*;
- (4) The Defense Contract Audit Agency (DCAA);
- (5) The Defense Intelligence Agency (DIA);\*<sup>9</sup>
- (6) The Defense Security Service (DSS);
- (7) The Defense Legal Services Agency (DLSA);
- (8) The Defense Logistics Agency (DLA);\*<sup>10</sup>
- (9) The Defense Threat Reduction Agency (DTRA)\*;
- (10) Defense Commissary Agency (DeCA);
- (11) Defense Finance and Accounting Service (DFAS);
- (12) Defense Security and Cooperation Agency (DSCA);<sup>11</sup>
- (13) The National Imagery and Mapping Agency (NIMA)\*; and
- (14) The National Security Agency/Central Security Service (NSA/CSS).<sup>12</sup>

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<sup>7</sup> DODD 5100.73, Subject: Major Department of Defense Headquarters Activities, dated May 13, 1999. (Hereafter DODD 5100.73). These activities do not report directly to the SecDef, but elements of his office have oversight responsibility for them. For example, the Assistant Secretary of Defense for Command, Control, Communications and Intelligence is responsible for DIA, NIMA, and DISA.

<sup>8</sup> Addressed in a separate section of this volume.

<sup>9</sup> Addressed in the Intelligence volume.

<sup>10</sup> Addressed in a separate section of this volume.

<sup>11</sup> Formerly known as the Defense Security Assistance Agency (DSAA).



Those agencies marked with an (\*) have been designated by the Congress or the SecDef as combat support agencies. While they report to OSD, the Chairman of the Joint Chiefs of Staff (CJCS) is required to conduct a biennial review of the readiness and responsiveness of these agencies to support operating forces during time of national emergency.<sup>13</sup> The Joint Staff Directorate for Force Structure, Resources, and Assessments (J-8) conducts these reviews, and reports are sent from J-8 to the CJCS to the SecDef. The process ensures that the uniformed services have a certain amount of oversight over the activities of agencies that are crucial to warfighting effectiveness.

**C. Major Products:** OSD's major products include:

(1) Top-level strategy documents including coordination of the National Security Strategy (NSS) and the National Military Strategy (NMS);<sup>14</sup>

(2) Internal planning documents such as the Defense Planning Guidance (DPG) which provides policy, strategy, and programming direction;

(3) Preparation of the Contingency Planning Guidance (CPG), which is signed by the President and provides the authority for the military to develop operational plans;

(4) Reviews of operational plans prepared by the military;

(5) Resource allocation and budgeting decisions through the Defense Resources Board (DRB), chaired by the DepSecDef as part of the Planning, Programming, and Budgeting System (PPBS);

(6) Appeals to decisions made by the Director of the Office of Management and Budget during the preparation cycle for the President's annual budget;<sup>15</sup>

(7) Substantive meetings with senior officials of foreign governments including heads of state and ministers of defense;

(8) Congressional testimony in support of Administration policies, programs, and priorities;

(9) Annual reports required by Congress, including the DoD Annual Report;

(10) Speeches, interviews, and other public affairs activities that spotlight significant issues and explain DoD policy and actions;

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<sup>12</sup> NSA/CSS is more commonly referred to as NSA. It is discussed in the Intelligence volume of this report.

<sup>13</sup> Section 193, title 10, U.S.C.

<sup>14</sup> The NSS is prepared by the National Security Council Staff (see the section entitled National Security Council in Volume II). The NMS is prepared by the Joint Staff (see the section in this volume entitled Joint Staff). OSD coordinates on both documents.

<sup>15</sup> See the section entitled Office of Management and Budget in Volume II for a description of the President's Budget preparation process.

(11) Participation in formal interagency processes to develop strategy, manage operations, and/or resolve issues; and

(12) Participation in informal processes that bring senior officials from several Departments and the NSC together to discuss and resolve issues.

### 3. Vision and Core Competencies

**A. Vision:** In his introduction to the Defense Reform Initiative in November 1997, the SecDef offered his vision of OSD as the corporate headquarters for the Department of Defense with a new management focus. This vision implies that OSD will limit its involvement in the day-to-day management of Department activities in order to focus on policy, strategy, and planning. The SecDef elaborated by noting that this vision included:

- (1) Shaping, responding, and preparing forces to meet 21<sup>st</sup> Century challenges;
- (2) "Leading a world of accelerating change;
- (3) Advanced technology . . . operational innovation . . . organizational change;
- (4) Harness the Revolution in Military Affairs."<sup>16</sup>

In the Defense Department Department-wide Strategic Plan, the vision is stated as ". . . the Clinton Administration intends to leave as its legacy a defense strategy, a military, and a Defense Department that have been transformed to meet new challenges of a new century."<sup>17</sup>

**B. Core Competencies:** Although there is no single list of OSD core competencies, a review of those organizations examined in detail in this volume and of documents (such as the Department's Annual Report) indicate that they center around management and include:

- (1) Policy and strategy development;
- (2) Program management;
- (3) Deliberate planning;
- (4) Crisis action planning;
- (5) Crisis management; and
- (6) General administration and management.

### 4. Organizational Culture

**A. Values:** OSD values include patriotism; commitment to mission accomplishment; objectivity; political neutrality in duty performance; and willingness to work long hours, often

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<sup>16</sup> OSD presentation entitled "Defense Reform Initiative," undated Slide 11.

<sup>17</sup> DoD Department-wide Strategic Plan available at <http://server.conginst.org>.

under difficult conditions. In his presentation to the press at the time of the release of the Defense Reform Initiative Report, the SecDef highlighted the following values:

- (1) Focus on Core Competencies;
- (2) Invest in people;
- (3) Exploit information technology; and
- (4) Break down organizational barriers.<sup>18</sup>

**B. Leadership Traditions:** The Secretary of Defense is a political appointee who is nominated by the president and confirmed by the Senate under the advice and consent provisions of the Constitution (see the section entitled “Senate Armed Services Committee” in the Volume III for a description of the confirmation process). He is a senior Cabinet member, a member of the NSC, and exercises a great deal of authority over national security policy and strategy formulation. The SecDef has traditionally been a member of an informal triumvirate composed of himself, the Secretary of State, and the president's National Security Advisor. This group usually drives national security issues in accordance with the President's policies and priorities.

Different Secretaries have used the OSD bureaucracy differently. Some have inclined toward inclusiveness in which most elements of OSD were involved in deliberations of important issues. Secretary Aspin represented this approach. Others have used the broader OSD organization to manage the Department, but restricted discussions of important matters of policy and strategy to a small inner circle of advisors. Secretary Cheney often operated in this fashion.

Generally, the SecDef retains responsibility for overall policy, strategy, and mission execution matters, while relying on the DepSecDef to manage the Department on a day-to-day basis. This arrangement is not iron clad, however, and Deputy Secretary Deutch often participated in policy and strategy sessions. Secretary Cohen has empowered the DepSecDef to act for him in all matters.<sup>19</sup>

**C. Staff Attributes:** The OSD staff is composed primarily of career civil servants augmented by civilian political appointees (Schedule C appointments); civilian experts hired under Schedule B arrangements; and military personnel seconded to the office.<sup>20</sup> The staff will typically include a number of interns, including Presidential Management Interns (PMI). Some interns will return as fulltime employees. A few senior and middle grade civil servants began their careers as interns.

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<sup>18</sup> OSD presentation entitled "Defense Reform Initiative" undated, slide 3.

<sup>19</sup> DODD 5105.2, Subject: Delegation of Authority to the Deputy Secretary of Defense, dated July 30, 1997.

<sup>20</sup> Schedule C appointees are those who are added to the payroll with the approval of political authority, often the White House. They may require Senate confirmation, although the bulk of them do not. They range from senior officials down to administrative assistants and secretaries. Traditionally, when administrations change, their period of employment terminates, although there are exceptions. Schedule B appointments allow OSD to bring in fulltime subject matter experts to assist the staff. These appointments are not subject to all of the same rules that apply to career civil servants and they can be made relatively expeditiously, though almost never immediately. Some military personnel receive Joint duty credit for OSD service. As a rule, within the military culture, service on the OSD staff is often viewed as a level down from service on the Joint Staff. On the other hand, some Services have been able to leverage the positions held by their officers to advance Service interests.

The staff includes highly educated, broadly experienced, and subject matter expert personnel. It is difficult to type cast credentials and attributes because OSD contains a number of different functions, each of which require different skills. The financial managers found in the Office of the Under Secretary of Defense (Comptroller/Chief Financial Officer) have different backgrounds and expertise than do the personnel who review operational plans in the Office of the Under Secretary of Defense (Policy). Integration of expertise usually occurs through internal systems such as the formal procedures used in the PPBS process, or the informal systems that often develop around major reviews.<sup>21</sup>

**D. Strategy:** No organizational strategy is published *per se*; however, the Defense Reform Initiative Report is sometimes cited as the authoritative OSD strategy. Its primary tenets are:

(1) Reengineer existing processes to adopt modern business practices that will improve effectiveness and efficiency;

(2) Consolidate organizations to eliminate excess capacity and leverage cooperative opportunities;

(3) Compete those organizations and functions that have a commercial counterpart to improve efficiency and responsiveness; and

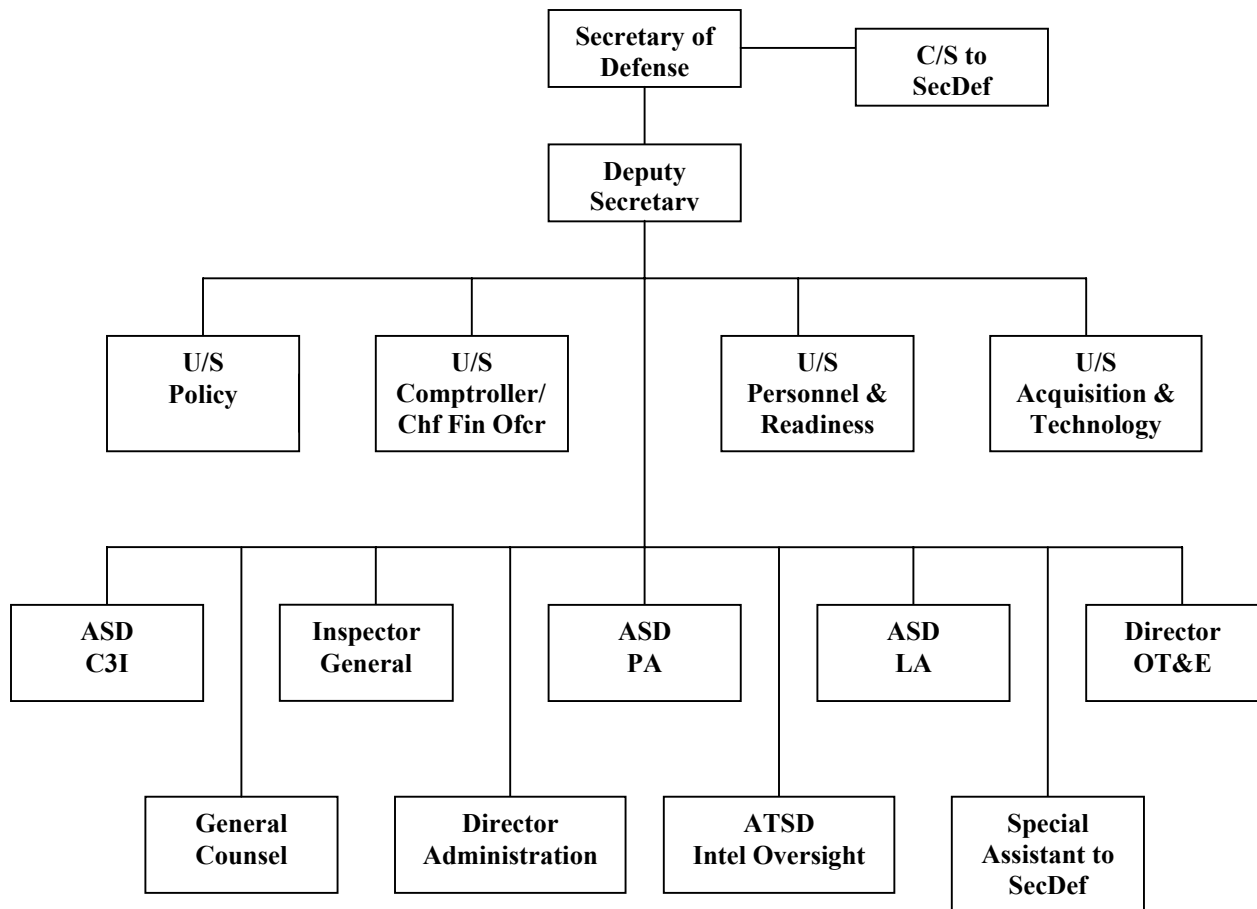
(4) Eliminate unneeded infrastructure and other support structures in order to sharpen the Department's focus on core competencies.<sup>22</sup>

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<sup>21</sup> In the early 1990s, for example, the Department conducted a major aircraft review that was independent of more formal systems and brought together members of the acquisition, financial, and policy communities in weekly meetings and conferences.

<sup>22</sup> OSD, Defense Reform Initiative Report, November 1997, p.iii.

**E. Organizational Structure:** Figure 1 describes the organization of the Office of the Secretary of Defense.<sup>23</sup>



**Figure 1: Office of the Secretary of Defense**

(Legend: U/S = Under Secretary; ASD = Assistant Secretary; ATSD = Assistant to the Secretary of Defense.)

**(1) Office of the Secretary and Deputy Secretary:** The immediate office of the Secretary of Defense is composed of the Deputy Secretary of Defense and the Secretary's Chief of Staff.

The Chief of Staff to the Secretary of Defense directs the efforts of the personal staff, tasks requirements to them, reviews incoming staff products, anticipates future requirements, and performs other duties as prescribed by the SecDef. The SecDef's office also includes several assistant chiefs of staff; a senior military assistant who is a general/flag officer; a military assistant; and a senior enlisted advisor, as well as secretarial support.

The DepSecDef's immediate office includes a senior military assistant of general/flag officer rank, a military assistant, a confidential assistant and secretarial support.

Both offices are supported by an Executive Secretariat that manages correspondence and actions, maintains records, manages special projects and interagency coordination, and oversees

<sup>23</sup> [www.defenselink.mil/pub/almanac/organization/osd\\_org\\_chart.html](http://www.defenselink.mil/pub/almanac/organization/osd_org_chart.html)

general administrative support. The Executive Secretary is a military officer below general officer/flag rank.

Within this immediate cluster there are several special offices including:

- (a) The Director of the Defense Reform Initiative who oversees the SecDef's management reforms programs;
- (b) The Special Assistant for White House liaison;
- (c) The assistant for protocol;
- (d) The Special Assistant for Gulf War Illness (located outside of the Pentagon); and,
- (e) A personal security detail.

**(2) The Under Secretary for Policy (USD(P)):** The Under Secretary for Policy assists the SecDef and the DepSecDef in defense policy formulation as it relates to national security. USD(P) also exercises oversight for the SecDef with respect to implementation of policy and plans and reviews military plans to ensure they are viable, in line with the strategy, and support policy objectives. A complete description of the USD(P) and that office's role in national security is contained in the section of this volume entitled Under Secretary of Defense for Policy.<sup>24</sup>

**(3) The Under Secretary of Defense (Comptroller and Chief Financial Officer) (USD(C)):** As the position title suggests, the USD(C) is responsible for budgetary, fiscal, and program matters. His/her specific responsibilities include:

- (a) Oversight and management of PPBS;
- (b) Preparing the Department's annual budget and supervision of the execution of that budget once it is approved by Congress (including monitoring actual expenditures and costs);
- (c) Coordinating and interfacing with Congress on fiscal and budgetary matters including passage of the budget, reprogramming, and supplemental requests;
- (d) Establishing and overseeing the implementation of policy for budget preparation and execution, accounting and disbursement systems, cash and credit management, debt collection, financial reporting, contract auditing, relationships with commercial financial institutions, international financial issues and agreements, career development of USD(C) personnel, prices of goods sold to foreign nations;
- (e) Designing, developing, and installing DoD management improvement systems and programs;

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<sup>24</sup> DODD 5111.1, Subject: Under Secretary of Defense for Policy (USD(P)), dated March 22, 1995.



- (f)** Assisting the SecDef in implementing the provisions of the Government Performance and Results Act;
- (g)** Developing, implementing, and maintaining anti-fraud, waste, abuse, mismanagement and inefficiency and programs;
- (h)** Improving accounting and operating data accuracy and reliability;
- (i)** Overseeing all DoD financial management activities and programs;
- (j)** Implementing and maintaining an integrated finance and accounting management system;
- (l)** Acting as the Chair of the Defense Business Operations Fund Corporate Board;
- (m)** Providing direction, management, oversight of, and policy for, all DoD financial management activities and personnel;
- (n)** Biennially reviewing fees and other charges imposed by the Department and recommending adjustments as appropriate;
- (o)** Analyzing and evaluating programs, policies, and plans;<sup>25</sup>
- (p)** Overseeing the DoD contract audit system;
- (q)** Advising on the Department's financial management and accounting organizations and activities;
- (r)** Serving as the Executive Secretary for the Department's Senior Financial Management Oversight Council; and,
- (s)** Developing, integrating, managing, and maintaining financial strategic plans; plans for reengineering DoD business practices; and financial information systems and architectures.

In performing these functions, the USD(C) has direct authority over the Program Analysis and Evaluation Directorate; the Defense Contract Audit Agency; and the Defense Finance and Accounting Service. The office is empowered to maintain an effective working relationship with the appropriate Congressional activities, including Appropriations Committees and Subcommittees. Finally, the USD(C) provides his/her opinion on the qualifications of candidates for comptrollers of Defense Agency and Field Activities.<sup>26</sup>

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<sup>25</sup> See section of this volume entitled Programs Analysis and Evaluation Directorate for a description of how this function is performed.

<sup>26</sup> DODD 5118.3, Subject: Under Secretary of Defense (Comptroller) (USD(C)/Chief Financial Officer (CFO), Department of Defense, dated January 6, 1997.

**(4) The Under Secretary of Defense for Personnel and Readiness**

**(USD(P&R)):** The USD(P&R) provides advice and assistance to the SecDef and the DepSecDef for Total Force management as it relates to readiness; National Guard and Reserve component affairs; health affairs; training; and personnel requirements and management."<sup>27</sup> The office has responsibility for:

**(a)** Analyzing the Total Force structure and personnel between the Active and Reserve Components (RC) in both war and peace;

**(b)** Effective integration of the RC;

**(c)** Health and medical support;

**(d)** Special interest items affecting military and civilian personnel including recruiting, training, compensation, equal opportunity, awards and recognition; discipline and discharges;

**(e)** Non-DoD activities that require DoD personnel resources, including interagency activities and intergovernmental activities;

**(f)** Developing policies and processes to ensure personnel readiness for contingency operations, including personnel readiness and medical readiness;

**(g)** Coordinating with the Joint Staff and the Services on readiness issues;

**(h)** Evaluating Defense Acquisition Board decisions and programs to determine their impact on personnel, training, and readiness;

**(i)** Developing policy for and coordinating DoD Noncombatant Evacuation Operations;

**(j)** PPBS processes that involve personnel and readiness;

**(k)** Serving on boards dealing with matters that lie within the scope of its responsibilities; and

**(l)** Representing the SecDef at external DoD activities that lie within the scope of its responsibilities.

USD(P&R) exercises authority over the ASD (Force Management); the ASD (Health Affairs); the ASD (Reserve Affairs); the Directors of the Defense Manpower Data Center, the Defense Commissary Agency, the DoD Education Activity, DoD Civilian Personnel Management Services, Defense Medical Programs Activity, and Office of Civilian Health and Medical Programs; and the President of the Uniformed Services University of Health Services. In addition, USD(P&R) allocates civilian personnel authorizations and approves military and civilian personnel authorization changes.<sup>28</sup>

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<sup>27</sup> DODD 5124.2, Subject: Under Secretary of Defense for Personnel and Readiness (USD(P&R)), dated October 31, 1994.

<sup>28</sup> DODD 5124.2, Subject: Under Secretary of Defense for Personnel and Readiness (USD(P&R)), dated October 31, 1994.

**(5) The Under Secretary of Defense for Acquisition and Technology (USD(A&T)):** The USD(A&T) and his staff manage the DoD acquisition system including research and development, developmental test and evaluation, production and procurement, logistics, installation management, military construction, environmental security, and atomic energy. The USD(A&T) is the DoD Acquisition Executive, chairs the Defense Acquisition board, and is the DoD Procurement Executive. A full description of this office is contained in the section of this volume entitled The Under Secretary of Defense for Acquisition and Technology.<sup>29</sup>

**(6) The Assistant Secretary of Defense (Command, Control, Communications, and Intelligence) ASD(C3I):** The ASD(C3I) is one of three ASDs that report directly to the SecDef and DepSecDef; the other ASDs all report to Under Secretaries. ASD(C3I) provides advice and assistance to the SecDef with respect to C3I matters, information management (IM), counter intelligence (CI), and security counter measures (SCM). The ASD(C3I) also serves as DoD's Chief Information Officer.<sup>30</sup> In addition, he/she:

(a) Serves as the senior information management and information security officer;

(b) Is responsible for software policies and practices;

(c) Develops and implements information management policies, processes; and programs and develops standards for developing, acquiring, and operating automatic data processing systems (except those that are part of a weapons system, those that provide test support for weapons systems, and those used for basic research and development);

(d) Chairs the Major Automated Information System Review Council;

(e) Manages the General Defense Intelligence, the Foreign Counterintelligence, and the Security and Investigative Activities programs;

(f) Is responsible for defending DoD programs with in his/her area of responsibility before Congress;

(g) Reviews all DoD C3I, CI, SCM, and IM plans and programs;

(h) Reviews and recommends requirements and priorities for matters with in his/her area of responsibility;

(i) Evaluates DoD-component programs to ensure they satisfy requirements;

(j) Provides technical oversight and management for C3I, CI, SCM, and IM programs and systems during the acquisition process;

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<sup>29</sup> DODD 5134.1, Subject: Under Secretary of Defense for Acquisition and Technology (UDS(A&T)), dated September 17, 1999.

<sup>30</sup> OSD, Defense Reform Initiative Report, Appendix C-2, dated November 1997.

(k) Provides oversight for training and career development programs for C3I, CI, SCM, and IM personnel;

(l) Provides assistance to other OSD staff elements on C3I matters;

(m) Assesses the ability of intelligence products to satisfy DoD requirements;

(n) Coordinates cross-Service management of C3I, CI, SCM, and IM programs to assure interoperability;

(o) Participates in PPBS processes for matters within the Office of the ASD(C3I)'s areas of responsibility; and

(p) Provides policy and direction to all DoD organizations on 26 functional areas.<sup>31</sup>

Additionally, ASD(C3I) coordinates intelligence programming with the Director of Central Intelligence in the Intelligence Program Review Group (IPRG).<sup>32</sup>

In accomplishing these responsibilities, ASD(C3I) exercises direction and control over DISA, DIA, NIMA, the National Reconnaissance Office (NRO), and the Defense Security Service.<sup>33</sup> The office has staff supervision responsibilities for NSA/CSS, the Air Force and Navy Special Intelligence Programs, the Electromagnetic Compatibility Analysis Center, and the Defense Courier Service. As appropriate, the office works closely with the Director of Central Intelligence.<sup>34</sup>

**(7) The Office of the Inspector General (OIG):** The OIG is an independent office reporting to the SecDef and DepSecDef and is responsible for audits and investigations; promotion of administrative effectiveness and efficiency; prevention of operational and programmatic fraud, waste, and abuse; and informing the SecDef, DepSecDef and Congressional oversight committees of problems and deficiencies. The office plays a significant role in oversight of Department activities and programs to ensure they observe laws and regulations, especially with respect to waste, fraud, and abuse and abuse of authority. In addition to other duties prescribed by the SecDef, the OIG:

(a) Serves as the SecDef's principal adviser for audits, criminal investigations, and the prevention of waste, fraud and abuse;

(b) Audits and investigates all elements of the Department as appropriate;

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<sup>31</sup> DODD 5137.1, Subject: Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)) dated February 12, 1992.

<sup>32</sup> See Section entitled Office of the Director of Central Intelligence in the volume entitled Intelligence Community.

<sup>33</sup> OSD. Defense Reform Initiative Report, Appendix C-2, dated November 1997.

<sup>34</sup> See the section entitled Director of Central Intelligence in the volume of this report entitled Intelligence Community.

- (c) Develops policy for audits and investigations (including criminal investigation programs);
- (d) Evaluates audits and investigations conducted by other DoD activities (including contract audits);
- (e) Investigates irregularities discovered in audits conducted by other DoD activities as appropriate;
- (f) Develops policy and evaluates actions take in response to internal DoD audits and audits performed by the Comptroller General of the United States;
- (g) Ensures that DoD auditing and investigating activities are not duplicative and cooperate effectively;
- (h) Reviews existing and proposed regulations and legislative proposals to determine impact on effectiveness and efficiency and makes appropriate recommendations;
- (i) Recommends policies and coordinates DoD-sponsored activities to improve administrative efficiency and effectiveness and prevent waste, fraud, and abuse;
- (j) Recommends policies and oversees relationships between DoD, the interagency system, State and local governments, and private entities aimed at preventing waste, fraud, and abuse;
- (k) Investigates potential infractions of laws and regulations related to waste, fraud, and abuse of funds; and, abuse of authority; and health and safety.

In carrying out his duties, the DoD IG may issue subpoenas and is entitled to necessary records, reports and other documents and information deemed germane to the investigation or audit. However, in the case of audits and investigations that involve operational plans, intelligence issues or activities, counterintelligence issues and activities, and other criminal investigations that have an impact on national security, the OIG is subject to the direction of the SecDef. When the OIG believes that a federal law has been violated, the office is required to provide that information to the U.S. Attorney General, or, in cases of violations of the Uniform Code of Military Justice, to the Service Secretary.<sup>35</sup> A significant portion of OIG time and resources are dedicated to coordination and follow up on reports produced for Congress by the General Accounting Office.

**(8) The Assistant Secretary of Defense for Public Affairs (ASD(PA)):** This office (together with the ASD (C3I) and the ASD (Legislative Affairs) report directly to the SecDef and DepSecDef, not to an Under Secretary of Defense. In addition to advising DoD's senior leaders on public affairs matters, the ASD(PA) prepares and issues press releases. The office issues credentials to members of the press, and, in times of crisis, it establishes policy for providing information to the press. In addition, ASD(PA):<sup>36</sup>

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<sup>35</sup> DODD 5106.1, Subject: Inspector General of the Department of Defense, dated March 14, 1983. Although this directive is 16 years old, its provisions remain applicable.

<sup>36</sup> DODD 5122.5, Subject: Assistant Secretary of Defense for Public Affairs, dated March 29, 1996.

**(a)** Maintains a free flow of information to external and internal DoD consumers consistent with national security considerations;

**(b)** Serves as the spokesperson for the Department;

**(c)** Evaluates requests for information and releases materials as appropriate;

**(d)** Determines and/or approves the level of DoD participation in public events (in response to requests from local authorities and Members of Congress);

**(e)** Develops and issues public affairs policy to DoD components;

**(f)** Provides security reviews of all testimony, material slated for public release by other elements of the Department, articles and other documents prepared for public consumption by employees of the Department, information submitted by other Executive Branch agencies and activities, and information forwarded by non-DoD individuals or activities;

**(g)** Supervises preparation of news analysis and news summaries for DoD activities;

**(h)** Prepares speeches, Congressional testimony, articles, and other materials for senior DoD and White House officials when required;<sup>37</sup>

**(i)** Develops and promulgates policy concerning DoD compliance with Freedom of Information Act provisions and oversees implementation of the Freedom of Information Act program;

**(j)** Administers DoD's Mandatory Declassification Review Program; and

**(k)** Serves as the DoD point of contact for requests for speakers and Department cooperation in documentary and film making.

ASD(PA) also directs and controls the Armed Forces Information Network that provides information to U.S. Forces here and abroad. The office is a key point for liaison with the general public, the press, and other governmental and private entities seeking information concerning the Department and its activities. In carrying out these responsibilities, ASD(PA) has the authority to communicate directly with requestors and with all elements of DoD. However, in cases in which information may have an impact on operational matters, information must be coordinated with the CJCS prior to release.

Current ASD(PA) policies encourage openness with the press and public. Principals include the full and ready release of information "unless its release is precluded by current and

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<sup>37</sup> In accordance with Administration policy, all Congressional testimony is reviewed for consistency with Administration policies and priorities by the Office of Management and Budget. See section entitled Office of Management and Budget in the volume entitled Executive Office of the President.



valid security classification."<sup>38</sup> Policies also place restraints on unnecessary classification of information and state that "propaganda has no place in the Department of Defense public affairs programs."<sup>39</sup> The same spirit of openness and cooperation applies to media coverage of military operations. In these events, policies indicate that pools (vehemently objected to by the press during the 1990-91 Persian Gulf Crisis) will not be the norm; that journalists will be given the widest possible access consistent with security considerations; that military public affairs officers will not interfere with reporting processes; that journalists will be provided transportation by military forces; and will make transmission facilities available to journalists whenever possible.<sup>40</sup>

**(9) The Assistant Secretary of Defense for Legislative Affairs (ASD(LA)):**

The ASD(LA) is one of three ASDs who report directly to the SecDef and DepSecDef. The office is responsible for the Department's relationship with Congress.<sup>41</sup> In addition to coordinating the preparation of SecDef and DepSecDef Congressional testimony (which is reviewed by the Office of Management and Budget), ASD(LA):

(a) Coordinates Department activities designed to ensure favorable Congressional consideration of the legislative program;

(b) Assigns responsibility for and tracks preparation of replies to Congressional enquiries;

(c) Designates witnesses for hearings and provides information to Congressional staff, including written testimony;

(f) Coordinates preparation of back up material for Congressional hearings;

(e) Coordinates and arranges DoD support for Congressional travel;

(f) Maintains appropriate legislative files and reference materials; and

(g) Oversees expeditious processing of security clearances for Congressional staff.<sup>42</sup>

In fulfilling its responsibilities, ASD(LA) maintains close liaison with the Congressional affairs offices of the Military Services and with the CJCS's legislative affairs office. As is the case with most subordinate OSD offices, ASD(LA) can issue policy directives concerning matters within its area of responsibility, although it must abide by rules governing direct contact with components of the Military Departments and the Unified Commands. It also has broad authority to coordinate throughout the Executive Branch as required to satisfy ASD(LA) obligations.

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<sup>38</sup> DODD 5122.5, Subject: Assistant Secretary of Defense for Public Affairs, dated March 29, 1996.

<sup>39</sup> DODD 5122.5, Subject: Assistant Secretary of Defense for Public Affairs, dated March 29, 1996 (enclosure 2).

<sup>40</sup> DODD 5122.5, Subject: Assistant Secretary of Defense for Public Affairs, dated March 29, 1996 (enclosure 3).

<sup>41</sup> For the Congressional side of the equation, see the Volume entitled Congress.

<sup>42</sup> DODD 5142.1, Subject: Assistant Secretary of Defense (Legislative Affairs), dated July 2, 1982.

**(10) Director of Operational Test and Evaluation (Director, OT&E):** This office is charged with ensuring the objectivity and realism of operational field tests conducted by the Military Services. It serves as an honest broker to ensure that tests are designed and conducted to evaluate programs objectively, not showcase them. To this end, it ensures that testing examines the "operational effectiveness and sustainability of weapon systems, equipment, munitions, or their components."<sup>43</sup> As materiel moves through the normal series of tests from concept to production, OT&E ensures that items perform as required by mission needs statements and contract specifications. (See section entitled Under Secretary of Defense for Acquisition elsewhere in this volume. For other types of program reviews, see the section entitled Program Analysis and Evaluation Directorate.) In accomplishing his/her responsibilities, the Director, OT&E:<sup>44</sup>

- (a) Establishes DoD-wide policies for test and evaluation;
- (b) Consults with the Military Departments on OT&E matters both generally and for specific programs;
- (c) Develops OT&E systems and standards for major DoD acquisition programs as designated by the Director, OT&E, and oversees all DoD OT&E to ensure adherence;
- (d) Analyzes OT&E results for all major acquisition programs;
- (e) Coordinates joint OT&E events between the Services;
- (f) Promotes cooperation on OT&E matters within DoD and between DoD and other federal, state, and local government entities as appropriate;
- (g) Approves OT&E portions of Test and Evaluation Master Plans;
- (h) Enhances OT&E realism; and
- (i) Maintains the OT&E database.

The Director, OT&E, serves on various boards and councils, including the Defense Resources Board (see section entitled Program Analysis and Evaluation Directorate in this volume). Other DoD officials are enjoined to coordinate with OT&E on testing and evaluation matters, and members of the Director, OT&E's, staff may be present during preparation for tests and actual testing.

Additionally, Director, OT&E, is required to submit detailed reports to the SecDef, the House Armed Services Committee, the Senate Armed Services Committee, and Appropriations Subcommittees. These reports provide information on the validity of the test and the results.

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<sup>43</sup> DODD 5141.2, Subject: Director of Operational Test and Evaluation, dated April 2, 1984 (as changed on January 17, 1989).

<sup>44</sup> DODD 5141.2, Subject: Director of Operational Test and Evaluation, dated April 2, 1984 (as changed on January 17, 1989).

**(11) The General Counsel (GC):** The GC is the DoD chief legal officer. He/she provides legal advice and counsel to the SecDef and DepSecDef, other OSD offices, and other DoD components as appropriate. The GC also:

- (a) Oversees the professional standards of DoD attorneys and their adherence to them;
- (b) Oversees legal services provided by DoD attorneys;
- (c) Provides standards of conduct advice;
- (d) Develops the Department's legislative program and coordinates on legislation and executive orders;
- (e) Coordinates with the Department of Justice on legal issues involving DoD, including litigation;
- (f) Promulgates DoD policy on legal issues and resolves internal legal disagreements between DoD entities;
- (g) Serves as the lead counsel for international negotiations undertaken by OSD's subordinate offices and maintains the repository for all concluded and in-process agreements; and
- (h) Acts as the Director of the Defense Legal Services Agency, *inter alia*.<sup>45</sup>

The GC is also involved in operational matters and determines the legality of operations or portions of operations and campaigns (e.g., information operations).

**(12) Director of Administration and Management (DA&M):**<sup>46</sup> Sometimes called the Mayor of the Pentagon, the DA&M is responsible for DoD-wide administration and management organization matters. His/her responsibilities include:

- (a) Developing and coordinating DoD administrative and organizational policy;
- (b) Developing, reviewing, and evaluating initiatives to improve management and administration functions;
- (c) Analyzing and controlling OSD personnel requirements, including those personnel on detail outside of the Department (e.g., at the Department of State, the National Security Council Staff, or on Congressional staffs).

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<sup>45</sup> DODD 5145.1, Subject: General Counsel of the Department of Defense, dated December 15, 1989.

<sup>46</sup> The position of DA&M has been held by David O. (Doc) Cooke for a number of years. Unlike most other OSD senior-level positions, DA&M is traditionally a career civil service position, thus Doc Cooke is the most senior OSD official in terms of longevity.

(d) Developing and maintaining OSD, Defense Agency and Field Activity, and other DoD activity charters;

(e) Overseeing administration and policy for the Committee Management Program, the Federal Advisory Committee Management Program, the Management Headquarters program, the Quality Management Program, the OSD Historical program, and the OSD Management Control program;

(f) Developing and coordinating Freedom of Information Act programs and providing oversight of the Privacy program;

(h) Coordinating DA&M charter matters with other elements of DoD and the Executive Branch to promote cooperation and improve understanding;

(i) Serving on boards, panels, committees, and other groups and representing the SecDef and DepSecDef as required outside of the Department, including the Joint Committee on Printing, the Public Printer, and the Office of Management and Budget; and

(j) Serving as Director of Washington Headquarters Services.

In performing these functions, DA&M has broad authority to coordinate and communicate directly throughout DoD and with other agencies of the federal government.<sup>47</sup>

**(13) Assistant to the Secretary of Defense for Intelligence Oversight (ATSD(IO)):** The ATSD(IO) develops policies for and provides independent oversight of DoD intelligence activities. Requirements include ensuring that all intelligence activities are conducted in accordance with federal law, Presidential directives, and DoD regulations, regardless of which DoD activity conducts them. The ATSD(IO) develops oversight guidance for intelligence activities and:

(a) Reviews and investigates allegation of illegal or improper activities;

(b) Inspects intelligence units to ensure personnel understand requirements and comply with them (he/she may also evaluate overall organizational effectiveness during these inspections);

(c) Monitors investigations of intelligence activities conducted by other DoD activities (such as those conducted by the OIG);

(d) Provides quarterly reports to the SecDef, DepSecDef, and the President's Foreign Intelligence Oversight Board;<sup>48</sup>

(e) Serves as a member of the DoD Counterintelligence Board;

(f) Conducts annual audits of funds generated by DoD intelligence activities;

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<sup>47</sup> DODD 5105.53, Subject: Director of Administration and Management (DA&M), dated November 23, 1998.

<sup>48</sup> See also section entitled President's Foreign Intelligence Advisory Board in the volume entitled Intelligence Community.

- (g) Reviews the conduct of clandestine intelligence operations;
- (h) Evaluates measures to protect Human Intelligence (HUMINT) sources;
- (i) Participates in the process to approve sensitive reconnaissance

operations; and

- (j) Serves as the liaison between DoD and the CIA, FBI, and DEA to ensure that DoD adequately supports these organizations in terms of intelligence products and intelligence assets.

In performing these duties, ATSD(IO) is empowered by the SecDef to obtain reports and assistance as required, communicate directly with all DoD components, and communicate directly with the Intelligence Oversight Board of the President's Foreign Intelligence Advisory Board, the Director of Central Intelligence, other government officials, members of Congress and their staffs, and members of the public. He/she is also empowered to have "complete and unrestricted access to all intelligence-related information, regardless of classification."<sup>49</sup>

**(14) Special Assistant to the Secretary of Defense and Deputy Secretary of Defense:** Typically, Secretaries and Deputy Secretaries use special assistants to help them manage a variety of issues and concerns ranging from personnel appointments to international negotiations. Those who have occupied these positions tend to be mature, experienced individuals who are capable of dealing with a number of diverse actions simultaneously. Because their portfolios change according to the needs of the SecDef and DepSecDef, they have no fixed set of responsibilities. Their power and authority derive from their access to the SecDef and DepSecDef.

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<sup>49</sup> DODD 5148.11, Subject: Assistant to the Secretary of Defense for Intelligence Oversight(ATSD(IO)), dated July 1, 1994.

**5. Formal National Security Process Involvement.**

		Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
<b>OSD Products</b>	National Security Strategy	✓						
	National Military Strategy	✓						
	Defense Planning Guidance	✓	✓	✓				✓
	Contingency Planning			✓				
	Review Plans			✓		✓		
	Resource Allocation		✓					✓
	DoD Budget					✓		✓
	Budget Appeals							✓
	Consultations w/ Foreign Military Leaders						✓	
	Congressional Testimony		✓					✓
	Annual Reports					✓		
	Speeches & Interviews		✓					
	Foreign Policy lunches	✓						
	ABC Breakfasts & Lunches	✓						
<b>SecDef Roles</b>	Advisor to the President	✓	✓		✓			
	Direction of Armed Forces				✓	✓	✓	
	Member of the NSC/PC	✓	✓	✓	✓			

**A. Strategy Development:**

**(1) Major Activities:** The SecDef provides guidance to those in OSD and on the Joint Staff who develop strategy through personal interface and occasionally memorandum that set forth his broad strategic views. In informal meetings with other senior Executive Branch officials, the SecDef participates in high-level strategy meetings. The SecDef also:

(a) Approves DoD comments on the National Security Strategy (NSS), which is prepared by the National Security Council staff;

(b) Approves the National Military Strategy (NMS) developed by the Joint Staff in accordance with OSD and NSS policy and strategy concepts; and

(c) Approves the Defense Planning Guidance (DPG) prepared jointly by the USD(P) and the Director, PA&E, pursuant to SecDef guidance. (The SecDef is required by

law to provide this guidance annually with the "advice and assistance of the Chairman of the Joint Chiefs of Staff.")<sup>50</sup>

**(2) Major Stakeholders:** The National Security Council staff; the Under Secretary for Policy; the Director of PA&E; the Joint Staff, and the Military Departments.

**(3) Key OSD Processes:** NMS and DPG preparation. (In this volume, see the section entitled the Joint Staff for a description of NMS preparation process; see the section entitled Under Secretary of Defense for Policy for a discussion of DPG preparation processes.)

**(4) Associated Lower-Level Processes:** Planning and budget preparation as part of the Planning, Programming, and Budgeting System (PPBS).<sup>51</sup>

**(5) Associated Higher-Level Processes:** The annual President's Budget formulation; NSS preparation. (In Volume II, see the section entitled The National Security Council for a description of NSS preparation; see the section entitled Office of Management and Budget for a description of the process for preparing the President's Budget.)

## **B. Policy, Guidance, and Regulation:**

**(1) Major Activities:** The SecDef establishes policy and guidance by means of the DPG; resource allocation decisions made by the DRB; Congressional testimony, especially annual posture statements; and major speeches and interviews. The DepSecDef, assisted by the OSD staff, promulgates DoD policy and guidance by the same means as the SecDef. As an advisor to the President and a member of the NSC/PC, the SecDef also makes policy through the interagency process described in PDD 2.

A former Under Secretary of Defense for Policy once likened policy making to sausage making.<sup>52</sup> The process is not pretty, but the results are generally palatable. By this he meant that, at the levels immediately below the Under Secretaries, there is considerable debate and internal maneuvering to include or exclude issues and requirements. The form this deliberation takes varies, depending on the issue, who has responsibility for it, and who is interested in it. It can occur in formal groups, such as the Defense Planning Advisory Group described in the sections of this volume entitled Under Secretary of Defense for Policy and Programs Analysis and Evaluation Directorate, or it can be done in more informal sessions. Often, deliberations include members of the Joint Staff as well as OSD officials. Once policy development reaches the Under Secretary level, most disagreements have been reconciled and only the most difficult issues remain to be decided. When these decisions have been made, the policy is presented to the SecDef and/or DepSecDef, often in a briefing accompanied by explanatory text. When approved, the policy and/or guidance are official DoD positions.

Regulations are promulgated in much the same way, except that regulations often do not receive SecDef consideration, although the DepSecDef may review the most important regulations. DODDs that govern OSD prescribe regulation responsibilities and usually offer

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<sup>50</sup> Section 113(g)(1), Title 10 U.S.C.

<sup>51</sup> Planning in this sense is not operational military planning, but planning that informs Military Service and Defense Agency programming decision. Military planning is informed by the Contingency Planning Guidance discussed in paragraph 5.C.

<sup>52</sup> Interview; notes in authors' possession.

authority for broad coordination, including the GC. Unless there are specific legislative requirements, most regulations, like most policy and guidance, are compromise solutions.

**(2) Major Stakeholders:** All DoD elements and organizations.

**(3) Key Internal Processes:** DPG and Budget preparation processes described in the appropriate sections of this volume.

**(4) Associated Lower-Level Processes:** Because DoD activities are usually subject to formal policy, guidance or regulations, nearly all processes are associated from strategy development, to personnel assignments, to acquisition decisions.

**(5) Associated Higher-Level Processes:** Development of President's Budget and advice to the President and other NSC members.

### **C. Planning:**

**(1) Major Activities:** As noted in the section in this volume entitled the Under Secretary of Defense for Policy, planning is a core competency for DoD. The Department prepares a multitude of plans, but the most significant from the OSD perspective are the DPG (discussed above and in the sections entitled the Under Secretary of Defense for Policy and the Program Analysis and Evaluation Directorate); the Contingency Planning Guidance (CPG); the Secretary's review of operational plans; and the SecDef's involvement in development of the political-military plan in the interagency process.

The CPG is the authority for the military to prepare operational plans, and the SecDef is directed by law to provide it annually.<sup>53</sup> Technically, without this guidance, the military cannot develop these plans. The CPG is prepared by the Under Secretary of Defense for Policy in conjunction with the CJCS, approved by the SecDef, and forwarded to the White House for the President's signature. Once signed, the document (which is classified at the highest levels) is provided to the Joint Staff and the Unified Commanders for plan development. The CPG includes planning guidance and guidance on force levels and other resources that military planners must take into consideration when developing plans. Developed plans are returned to OSD for review.

The SecDef is required by law to review military operations plans periodically. This is done through the office of the Under Secretary of Defense for Policy. Plans are reviewed to ensure they are in line with Administration policy and strategy and that objectives are prioritized properly. They are also reviewed for feasibility. The number of OSD staff who actually review the plans is very limited to maintain operational security. Once the review at the Under Secretary level is complete, the results are briefed to the SecDef together with recommendations for further action. Although many plans are approved, a few are returned to Unified Commanders through the Joint Staff for revision.

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<sup>53</sup> Section 113(g)(2), Title 10 U.S.C.



Under the provisions of PDDs 2 and 56, the SecDef is involved as a member of the NSC/PC in managing complex contingency operations.<sup>54</sup> PDD 56 stipulates that once a complex contingency operation has been approved by the NSC/PC, it will instruct the NSC/Deputies Committee (NSC/DC) to prepare a political military plan. After preparation, this plan is briefed to the NSC/DC and then to the NSC/PC. Approval by both committees is necessary for implementation, although presumably the parts of the plan would be implemented while others were revised.

**(2) Major Stakeholders:** The Unified Commands, the Military Service Components of the Unified Commands, the Joint Staff, participants in the interagency process.

**(3) Key Internal Processes:** CPG preparation and military planning processes.

**(4) Associated Lower-Level Processes:** Development of operational plans.

**(5) Associated Higher-Level Processes:** Development of political military plans by the interagency process.

#### **D. Mission Execution:**

**(1) Major Activities:** OSD is involved in mission execution primarily through the SecDef's involvement in providing direction to operational forces through the CJCS; approving Joint Staff drafted orders (e.g., warning orders, deployment orders); and his/her role as an advisor to the President and as a member of the NSC/PC.

Section 113 of Title 10 U.S.C. and the National Security Act of 1947<sup>55</sup> empower the SecDef to direct the armed forces, either on his own initiative or as a conduit for orders from the President. Although he is not legally required to pass these orders through the CJCS, by custom all OSD communications with operational military forces are conducted through the Chairman. Upon receipt of instructions from the SecDef, the CJCS may either relay them directly to the Unified Command Commander-in-Chief, or he may have one of the Joint Staff directorates relay them. How they are relayed depends on the nature of the instructions, their urgency, and whether converting them into terms that make sense to military planners requires additional staff action. (See the section of this volume entitled the Joint Staff for a more detailed description.)

As noted in paragraph 5.C., the SecDef influences mission execution in his role as Presidential advisor and member of the NSC/PC. In both roles, SecDef can affect mission execution by advocating changes or maintaining the course. The Under Secretary for Policy, a member of the NSC/DC, plays a similar role at that level. As a result, OSD is represented at both levels in the senior interagency system.

**(2) Major Stakeholders:** The Joint Staff, the Unified Commands, the Service components of the Unified Commands, and participants in the interagency process.

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<sup>54</sup> See Chapter 2 of Volume I for a description of the interagency process. Note that membership on the NSC/PC is essentially the same as the NSC, less the President and Vice President. However, in the Clinton Administration, the NSC rarely meets and most senior level business is conducted through the NSC/PC and especially the NSC/DC.

<sup>55</sup> Section 401, Title 50 U.S.C.

**(3) Key Internal Processes:** Operation of the National Military Command Center and military operational procedures.

**(4) Associated Lower-Level Processes:** Deployment and employment of the armed forces.

**(5) Associated Higher-Level Processes.** NSC/PC and NSC/DC meetings; NSC meetings when they occur.

#### **E. Observation, Orientation, and Oversight:**

**(1) Major Activities:** As discussed in Paragraph 5.C., OSD exercises oversight over military planning by periodically reviewing plans to ensure they are consistent with policy, strategy, and available resources. Through the Office of the USD(C), OSD maintains oversight of the DoD budget during preparation and execution.<sup>56</sup> In preparing required reports for Congress, OSD exercises oversight by reviewing the input of other DoD entities.<sup>57</sup> Finally, in his role of providing direction to the armed forces, the SecDef provides orientation to those forces and exercises oversight in reviewing reports submitted by operational forces and the Military Services.

**(2) Major Stakeholders:** All DoD entities.

**(3) Key Internal Processes:** Plans review; budget preparation and execution; intelligence oversight.

**(4) Associated Lower-Level Processes:** Service budget preparation and execution; command and control of the armed forces

**(5) Associated Higher-Level Processes:** President's Budget preparation; Congressional Authorization and Appropriations.

#### **F. Preparation:**

**(1) Major Activities:** OSD's major preparation activities apart from the guidance in the DPG center on contacts with foreign governments. These contacts range from lower level conferences to ministerial meetings. Typically, they involve both civilians from OSD and military representatives from the Joint Staff and may occur in the United States or abroad. While these meetings often lead to issue resolution, they also offer the opportunity to develop potential coalitions or reaffirm alliances. Generally, they are preceded by an informal enquiry as to whether a meeting would be productive, followed by a formal invitation (after consultation with the Department of State and the White House) and development of issues. When senior leaders are involved, issue books similar to those prepared prior to Congressional testimony are assembled and the roster of attendees is proposed and approved. During this same period, both

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<sup>56</sup> See the section entitled Program Analysis and Evaluation in this volume for a discussion of the DoD budget preparation process.

<sup>57</sup> Reports required by Title 10 U.S.C. include the DoD Annual Report, quarterly reports on intelligence oversight as noted in the description of the duties of the ATSD(IO) in Paragraph 4.E., and a "comprehensive net assessment of [U.S.] defense capabilities and programs. . .and its allies as compared with those of their potential adversaries." Section 113, (I)(1).

parties (or all parties if the meeting is multilateral) coordinate the agendas. Following the meeting, reports are prepared and agreements that arise from the meetings are vetted through the GC and Department of State if necessary.

**(2) Major Stakeholders:** OSD, Department of State, White House, formal alliance membership, members of *ad hoc* coalitions.

**(3) Key Internal Processes:** Preparation of briefing books and itineraries

**(4) Associated Lower-Level Processes:** None.

**(5) Associated Higher-Level Processes:** None.

## **G. Resourcing:**

**(1) Major Activities:** OSD prepares the DPG for the Secretary's approval. The DPG provides programming instructions to all DoD entities. In the DoD budget preparation process (and at other times), the SecDef and DepSecDef make resource allocation decisions. When the Director of the Office of Management and Budget (OMB) rules against DoD budget items, OSD is involved in appeal preparation (appeals from OMB Director's decisions are made to the President). In testimony in support of the President's Budget, OSD officials explain and defend their resource requests. (For more complete discussions of these activities see: the sections in this volume entitled The Under Secretary of Defense for Policy and Programs Analysis and Evaluation directorate; the section entitled Office of Management and Budget in the Volume II; the sections on the SASC and HASC in the Volume III.)

**(2) Major Stakeholders:** All DoD entities that have resourcing requirements; OMB; Congress.

**(3) Key Processes:** PPBS.

**(4) Associated Lower-Level Processes:** Military Department POM development.

**(5) Associated Higher-Level Processes:** Preparation of the President's Budget and moving the Budget through Congress.

## **6. Informal National Security Process Involvement.**

**A. The Albright-Berger-Cohen (ABC) Breakfasts/Lunches:** (See Appendix 1 for process map.) The Secretary of Defense participates in weekly meetings with the National Security Advisor and the Secretary of State to address emerging national security issues, resolve interagency matters, and coordinate. The NSC staff prepares and distributes the agenda for these meetings. Because only the principals attend these meetings, the principals are responsible for relaying any information and taskings from the meetings to their staff.

**B. Foreign Policy Breakfasts:** (See Appendix 2 for process map.) The Breakfasts involve the Secretary of State, the Secretary of Defense, the Chairman of the Joint Chiefs of Staff, the U.S. Representative to the United Nations, and the Director of Central Intelligence. These meetings are more informal than the ABC meetings: there is no agenda and no staff

attend. The SecDef may receive background memoranda from OSD and/or the Joint Staff in preparation for these meetings. These memos outline the issue and the positions of the other agencies represented. Occasionally, issues addressed at the breakfasts will result in taskings for the staffs of the principals involved. The primary objective of the meetings, however, is to provide a forum for coordination of sensitive and important issues.

## **7. Funding and Personnel.**

**A. Authorizations and Appropriations:** The House Armed Services Committee and the Senate Armed Services Committee are the authorizing committees for the Department of Defense and the Office of the Secretary of Defense. Relevant appropriating committees are the House and Senate Subcommittees on Defense.

**B. Funding Sources:** OSD is funded from Defense-wide Appropriations.

**C. Budget:** The budget is not specifically broken out for OSD.

**D. Manpower:** The immediate offices of the SecDef and the DepSecDef (including security, protocol, and White House liaison) consist of 39 civilians and 34 military. Overall, OSD includes 1,481 civilians and 470 military for a total of 1,951 personnel.<sup>58</sup>

## **8. Observations.**

OSD is organized to deal with those national security matters that require a military response. There is a "seam" in how it is staffed, however, because all senior members of OSD change when Administrations change. Because all of the leadership departs nearly simultaneously, decision making to deal with an unexpected crisis may be hampered if that crisis occurs during the change-of-administrations transition. This lack of long-term continuity may be deleterious in the future when response times may be shorter and issues more complex.

Similarly, there is no effective chief of staff's office for OSD. While most Secretaries have chiefs of staff, their chiefs do not have the resources or organizational experience within DoD to act as chiefs in the same way that the White House Chief of Staff, the Director of the Joint Staff, or the chiefs of military staffs do. And, because they are political appointees, their tenures are relatively brief. Thus, there is no central office to manage information flow, to anticipate the Secretary's requirements and task OSD staff elements accordingly, to hold those elements accountable for results, to synthesize the inputs of various activities into a coherent whole, or to supervise implementation in the Secretary's name.

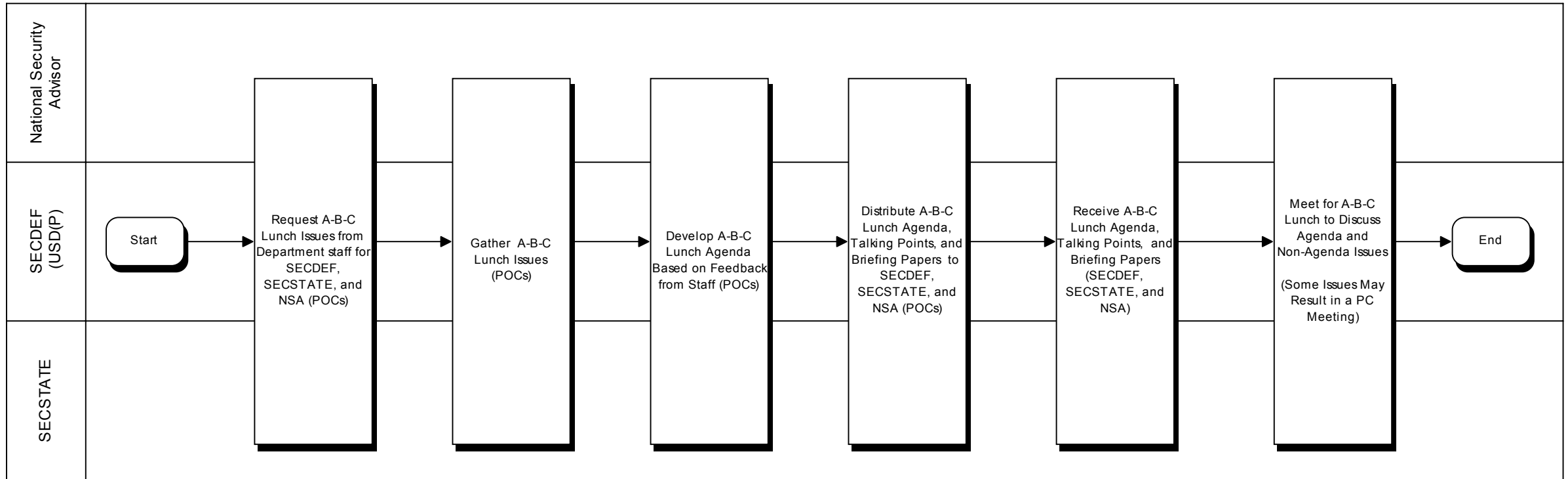
Creation of a properly resourced OSD chief of staff's office, staffed with career civil servants augmented by military officers, could improve effectiveness and accountability. The chief of staff could continue to be appointed by the SecDef; however the office would include deputy chiefs of staff who are capable of translating requirements and initiatives into action within DoD's complex bureaucracy.

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<sup>58</sup> Information provided by Washington Headquarters Services, November 29, 1999.

**APPENDICES**

OSD - Key Process - (Informal) - The Albright-Berger-Cohen (A-B-C) Breakfast/Lunch



A-B-C - Albright-Berger-Cohen  
 PC - Principles Committee  
 POC - Point of Contact

**OSD - Key Process - (Informal) - Foreign Policy Breakfast**

