



THE POWER OF PEOPLE

BUILDING AN INTEGRATED NATIONAL
SECURITY PROFESSIONAL SYSTEM FOR
THE 21ST CENTURY

November 2010

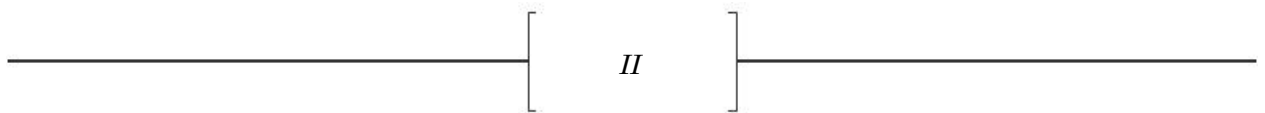


This is an independent study, required by
Section 1054 of Public Law 111-84-84, and it does not
necessarily reflect the views of the United States Government.

**THE POWER OF PEOPLE:
BUILDING AN INTEGRATED
NATIONAL SECURITY PROFESSIONAL
SYSTEM FOR THE 21ST CENTURY**

November 2010







About the Project on National Security Reform

The transpartisan Project on National Security Reform (PNSR) was established to assist the nation in an urgently needed transformation of the national security system. PNSR has differentiated itself in many ways, especially by its vision for a future national security system, from numerous prior efforts that sought to rethink national security for the 21st century. PNSR envisions a collaborative, agile, and innovative system that integrates all elements of national power – both vertically and horizontally – and successfully addresses security challenges based on timely, informed decisions and decisive action.

PNSR has developed a network that touches the broad spectrum of public and private-sector partners and participants that are critical to traditional and nontraditional security threats and opportunities. Whereas the first phase of PNSR’s work focused on identifying problems and developing recommendations, it subsequently has focused on development of tools for actual implementation and applying its holistic principles for long-term reform to many of today’s challenges. This unique focus has provided a deeper understanding of the challenges.

The project is led by James R. Locher III, a principal architect of the Goldwater-Nichols Act that modernized the joint military system. PNSR’s Guiding Coalition, comprised of distinguished Americans with extensive service in the public and private sectors, sets strategic direction for the project. PNSR works closely with other nonprofit organizations, universities, industry, and private foundations.



James R. Locher, III
President and CEO,
Project on National Security Reform

Norman R. Augustine
Retired Chairman and CEO,
Lockheed Martin Corporation

Joel Bagnal
Former Deputy Assistant to the President
for Homeland Security

Gen. Charles G. Boyd
President and CEO, Business
Executives for National Security

LTG Daniel Christman
Senior Vice President for International
Affairs,
U.S. Chamber of Commerce

Gen. Wesley Clark
Former Supreme Allied Commander,
Europe

Ruth A. David
President and CEO,
Analytic Services Inc.

Leon Fuerth
Project on Forward Engagement, George
Washington University

Adm. Edmund P. Giambastiani Jr.
Former Vice Chairman,
Joint Chiefs of Staff

Newt Gingrich
Former Speaker,
U.S. House of Representatives

Adm. James M. Loy
Former Deputy Secretary of Homeland
Security

Jessica Tuchman Mathews
President, Carnegie Endowment for
International Peace

Mike McConnell
Former Director of National Intelligence

John McLaughlin
Former Deputy Director,
Central Intelligence Agency

John Nagl
President,
Center for a New American Security

James A. Nussle
Former Director, Office of Management
and Budget

Joseph S. Nye, Jr.
University Distinguished Service
Professor, Harvard Kennedy School

Thomas R. Pickering
Former Permanent Representative to the
United Nations

Brent Scowcroft
President and Founder,
The Scowcroft Group

Jeffrey H. Smith
Partner, Arnold and Porter

Kenneth R. Weinstein
Chief Executive Officer,
Hudson Institute

Gen. Anthony Zinni
Former Commander, U.S. Central
Command



November 15, 2010

President Barack Obama
The White House
Washington, D.C. 20500

Dear Mr. President:

Section 1054 of the FY2010 National Defense Authorization Act mandated an independent study to assess the career development and management of interagency national security professionals. This letter forwards the required report, prepared by the Project on National Security Reform, a transpartisan, nonprofit organization dedicated to transforming the national security system for the 21st century.

Key attributes of a transformed national security system include a holistic approach based upon a broadened definition of national security, effective strategic management and foresight, integration of all instruments of national power, flexible and adaptive structures and decision-making processes, and effective sharing of knowledge and intellectual capital. An additional and essential component of this envisioned system is a workforce with a unified culture and skills for integrating the expertise and capabilities of all mission partners. This component is foundational, because unleashing the full potential of national security professionals would transform the entire system and overcome its crippling deficiencies.

This study includes a comprehensive analysis of existing interagency programs for national security professionals. It recommends solutions for existing weaknesses and an integrated human capital system for national security professionals to be built in stages.

The excellent study team benefited from the insights of thirteen federal departments and agencies and numerous state and local officials, as well as advice from distinguished experts.

PNSR is proud to present this report as a significant step towards legislative and executive action on the urgent need to improve an outdated national security system.

Respectfully,

James R. Locher III
President and CEO





Study Leadership Team

Nancy Bearg	Study Director
Myra Howze Shiplett	Substantive Lead
Kurt Krausse	Deputy Director

TEAM LEADERS

Ken Hunter
Jack LeCuyer
John Morton
Myra Howze Shiplett
Wally Walters
Rahul Gupta

TEAM MEMBERS

Bob Blitzer	Senior Analyst
Lisa Connor	Research Analyst
Sharon Czarnek	Project Assistant
Priscilla Enner	Research Analyst
Rahul Gupta	Integration Advisor
Daniel R. Langberg	Senior Analyst
James R. Locher, III	Integration Advisor
Cezar A. B. Lopez	Research Analyst
Julia Mensah	Research Analyst
Nate Olson	Research Analyst
Dennis Schrader	Senior Analyst
Karen Stallings	Research Analyst
Ed Stephenson	Senior Analyst
Rei Tang	Research Analyst
Richard Weitz	Senior Analyst

PROJECT MANAGEMENT

Don Ward
Justin Adams
Jonathan Lee





Advisors

Pamela Aall Vice President for Domestic Programs, Education and Training Center, and Provost, Academy for International Conflict Management and Peacebuilding, U.S. Institute of Peace

Dan Blair Commissioner of the Postal Regulatory Commission, Former Chairman of the Postal Regulatory Commission; former Deputy Director of OPM

Thomas Bossert Founder Civil Defense Solutions; former Deputy Homeland Security Advisor to the President

David Chu President, IDA; former Under Secretary of Defense for Personnel and Readiness

James Dobbins Director, International Security and Defense Policy Center, RAND; former Assistant Secretary of State for Europe, Special Assistant to the President, Special Adviser to the President and Secretary of State for the Balkans, and Ambassador to the European Community

Cathy Downes Professor of Information Management, I-College, National Defense University

William Eggers Global Director for Deloitte Research and Executive Director of Deloitte's Public Leadership Institute; former Director of Government Reform at the Reason Public Policy Institute

Lisa Gordon-Hagerty President of LEG Inc.; Former Director, Weapons of Mass Destruction Preparedness, National Security Council

Anne Khademian Program Director, Center for Public Administration and Policy at Virginia Tech



- Larry Korb** Senior Fellow, Center for American Progress; adjunct professor at Georgetown University Center; former Assistant Secretary of Defense for Manpower, Reserve Affairs, Installations, and Logistics
- John M. "Mike" McConnell** Senior Vice President, Booz Allen; former Director of National Intelligence; former Director of the National Security Agency
- Hannah Sistare** President & CEO, Policy Implementation Consulting; former Vice President Academy Affairs, National Academy of Public Administration; former Executive Director National Commission on the Public Service (Volcker Commission) at The Brookings Institution
- Bob Stephan** Managing Director, Global Risk Management, Dutko Worldwide; former Assistant Secretary for Infrastructure Protection, Department of Homeland Security
- Fran Townsend** Former Homeland Security Advisor to the President; former Deputy Assistant to the President and Deputy National Security Advisor for Combating Terrorism
- Craig Vanderwagen, MD, RADM – USPS (Ret.)** Senior Partner, Martin Blanck and Associates; former Assistant Secretary for Preparedness and Response, Department of Health and Human Services
- James Wolbarsht** President and CEO of DEFCON, Inc.; former Engagement Managing Director for Executive Office of the President and White House Information Technology Planning
- Juan Zarate** Senior Advisor, Center for Strategic and International Studies; former Deputy Assistant to the President and Deputy National Security Advisor for Combating Terrorism

PNSR is grateful for the excellent advice of experts we consulted as the study was being developed. Many of their suggestions have been incorporated.







Preface

Human capital is foundational to our national security. Our people will continue to be our most important asset as we confront the evolving and complex 21st century national security environment.

PNSR has extensive experience in analyzing the current national security apparatus and its key components. Each study has included emphasis on the human capital dimension of an improved system. This study is a fresh look at the issue in the context of a system to develop and manage interagency national security professionals.

The main recommendation of the study is that the strategic environment of the 21st century and the President's *National Security Strategy* demand that the United States establish an Integrated National Security Professional system (INSP system). Complex problems require National Security Professionals (NSPs) who are trained and experienced to collaborate across interagency and intergovernmental boundaries in both day-to-day work and crisis response. Many of these individuals have been designated under the current program, which lacks centralized management, strong leadership, a formalized human capital program, and a common funding source. Without these system attributes, the United States will not be able to develop and sustain the well qualified workforce of NSPs it requires.

PNSR has developed a vision of an INSP System characterized by whole-of-government and whole-of-nation approaches, for a cadre of NSPs with core competencies and common qualifications. These professionals will belong to their agencies, but their NSP designation will be tracked centrally. They will be self-selecting and incentivized to participate in integrated training programs and rotate into jobs outside their own agencies. The system will include personnel from the military and state and local governments. It will not be a new personnel system, but rather an overlay on existing systems, such as Civil Service, Foreign Service, and military.

A key element in the development of this study was PNSR's interaction with and feedback from interagency and state and local representatives. They work every day in the existing system, and they provided excellent advice and insight on how it works and how to improve it.

I want to thank the entire PNSR study team, especially Myra Howze Shiplett and Kurt Krausse, for the extraordinary dedication and expertise each member brought to the task.

This study provides well-informed background information, analysis, and ideas for those who will make the important and consequential choices about the kind of national security professional system to implement.

Nancy J. Bearg
Study Director





Contents

Executive Summary	i
NEED FOR MAJOR REFORM	I
CURRENT SYSTEM	III
RECOMMENDATIONS FOR AN INTEGRATED HUMAN CAPITAL SYSTEM	III
FOUR IMPLEMENTATION STAGES TO AN INTEGRATED SYSTEM	VI
KEY ENABLERS FOR TRANSFORMATION	XI
VALUE OF SUCCESS AND COST OF FAILURE	XIII
1. INTRODUCTION	1
1.1 STUDY OBJECTIVES, SCOPE, AND METHODOLOGY	3
1.1.1 Objectives and Scope	3
1.1.2 Methodology	4
2. STRATEGIC ENVIRONMENT	7
2.1 STRATEGIC ENVIRONMENT	8
2.2 EXTERNAL ENVIRONMENT	8
2.3 ALIGNMENT OF THE NATIONAL SECURITY SYSTEM WITH THE STRATEGIC ENVIRONMENT	10
3. CREATION AND DEVELOPMENT OF THE CURRENT SYSTEM	15
3.1 FOUNDATIONS OF THE NSP PROGRAM	15
3.2 BACKGROUND	16
3.3 MANAGEMENT	18
3.4 INFORMATION SYSTEMS	19
3.5 CURRENT EFFORTS BY DEPARTMENTS AND AGENCIES	20
3.5.1 Professional Development	20
3.5.2 Coordination	25
3.5.3 Incentives	29
3.5.4 Funding	30
3.5.5 Inclusion of Military, State, and Local Components	32
3.6 GAPS IN THE CURRENT SYSTEM	39
3.6.1 Lack of Authority to Direct Overall NSP Program	39
3.6.2 Unclear Roles and Responsibilities	40
3.6.3 Poor Communication Among Programs	40
3.6.4 Lack of a Dedicated Funding Stream	40
3.6.5 Lack of Coordinated Congressional Oversight	41
3.7 LESSONS LEARNED AND SUCCESSFUL PRACTICES	41



3.7.1	Program Evaluation Grid Assessment of Current Efforts	41
3.7.2	Collaboration Best Practices	43
3.7.3	Implementation Lessons Learned from Major Transformation Efforts	45
3.8	CONCLUSIONS	47
4.	DESIGNING A SYSTEM	49
4.1	KEY ELEMENTS FOR SUCCESS	49
4.1.1	Scope	49
4.1.2	Common Terminology	52
4.1.3	Understanding of Work Patterns	55
4.1.4	Information Technology Systems	57
4.1.5	System Accountability	58
4.1.6	Partnerships with Employee Unions and Associations	61
4.1.7	Incentives	62
4.2	TRANSFORMING CULTURE	64
4.3	ENABLING ATTRIBUTES	67
4.3.1	Entrepreneurial Approaches	67
4.3.2	Organizational Innovation	67
4.3.3	Communities of Practice	68
4.3.4	Social Networking	69
4.4	CONCLUSIONS	71
5.	PATHWAY TO A FUTURE SYSTEM	73
5.1	VISION FOR AN INTEGRATED SYSTEM	73
5.1.1	Need for an Integrated National Security Professional System	74
5.1.2	What Degree of Integration Is Required Across the INSP System?	76
5.2	MANAGING THE INSP SYSTEM	77
5.2.1	Options for Managing the INSP System	77
5.2.2	Integrated National Security Professional System Management Board	79
5.2.3	National Security Professional Levels	81
5.3	BUILDING BLOCKS FOR SUCCESS	83
5.3.1	Key Elements for Success	83
5.3.2	Enabling Attributes	84
5.3.3	System Implementation Strategies	85
5.4	TRANSFORMATIVE STAGES	87
5.4.1	Stage 1: Current National Security Professional Program	91
5.4.2	Stage 2: National Security Professional Qualification Program	103
5.4.3	Stage 3: Integrated National Security Professional System	112
5.4.4	Stage 4: Whole-of-Government Integrated NSP System	120
5.4.5	Cost Model for Pathway to a Whole-of-Government Integrated NSP System	129
5.5	PROGRAM EVALUATION GRID FOR THE FOUR STAGES	132
5.6	PILOTS	132
6.	CONCLUSIONS AND RECOMMENDATIONS	135



6.1	CONCLUSIONS	135
6.2	OVERARCHING RECOMMENDATIONS WITH ADDITIONAL GUIDANCE FOR SUCCESS	137
6.3	NEXT STEPS	138
7.	APPENDICES	141
7.1	APPENDIX A: RECOMMENDATIONS FOR SEQUENTIAL STAGES	141
7.2	APPENDIX B: CURRENT EFFORTS	149
7.2.1	Additional Information on Information Systems	149
7.2.2	Additional Information on Incentives	156
7.2.3	Additional Information on Funding	166
7.2.4	Additional Information on the Inclusion of State and Local Components	171
7.2.5	Professional Development for State and Local Inclusion	187
7.3	APPENDIX C: NSPD PROGRAMS AND SELECTED NATIONAL SECURITY PROGRAMS	196
7.3.1	Department and Agency National Security Professional Development Programs	196
7.3.2	Description of Selected National Security Programs	203
7.4	APPENDIX D: LESSONS LEARNED FROM MAJOR EFFORTS	214
7.5	APPENDIX E: UNIONS AND LABOR MANAGEMENT – BACKGROUND AND EXAMPLES	220
7.6	APPENDIX F: KEY ISSUES REGARDING THE QUALIFICATION SYSTEM	227
7.7	APPENDIX G: PROGRAM EVALUATION GRID (PEG)	229
7.7.1	PEG Framework	229
7.7.2	Selected Programs PEG (Current Efforts)	233
7.7.3	Four-Stage Integrated System PEG	235
7.8	APPENDIX H: DESIGNING A SYSTEM	237
7.8.1	Lessons Learned from Transformation Efforts: Additional Characteristics	237
7.8.2	Communities of Practice: Recovery Support Functions	238
7.8.3	Pilot Project Examples	239
8.	Glossary	249
9.	BIBLIOGRAPHY	253
10.	Annexes	273
10.1	FEDERAL GOVERNMENT SOURCES	273
10.2	STATE AND LOCAL ENTITIES CONSULTED	273
10.3	FULL TEXT OF SECTION 1054 FROM THE 2010 NDAA LEGISLATION	274
11.	Index	277





Figures, Tables, and Graphs

Figure 1: Pathway to an Integrated NSP System _____	vii
Figure 2: Wicked Problems _____	9
Figure 3: Scope of the National Security System _____	12
Figure 4: Key Background Events in Addressing Training and Coordination of NSPs _____	15
Figure 5: National Security Professional Shared Capabilities _____	20
Figure 6: Examples of National Security Programs/Courses Offered by Departments _____	23
Figure 7: Employee vs. Employer Perspectives on Rewards _____	29
Figure 8: Factors Important to Employees in their Current Jobs _____	30
Figure 9: GAO Collaboration Best Practices _____	43
Figure 10: Summary of Possible NSP Levels _____	83
Figure 11: Pilot Management _____	86
Figure 12: Pathway to an Integrated NSP System _____	89
Figure 13: NSP Levels of Training and Education Evaluation _____	125
Figure 14: Cost for the Pathway to an Integrated NSP System _____	131
Figure 15: Federal Use of Incentives for FY 2008 _____	157
Figure 16: Federal Incentives and HR Mechanisms _____	158
Figure 17: Shared Capabilities and SES Fundamental Competencies _____	161
Figure 18: Cost Factors of a Potential INSP System _____	166
Figure 19: Cost Estimates for Training and Education Programs for an NSP _____	167
Figure 20: Cost Model for Pathway to an Integrated NSP System _____	170
Figure 21: DHS NSP Workforce Development Plan _____	177
Figure 22: Key FSLMRS Provisions _____	220
Figure 23: Union Representation in the 13 Agencies _____	222
Figure 24: PEG Framework _____	229
Figure 25: Program Evaluation Grid – Current Efforts _____	233
Figure 26: Four-Stage Integrated System PEG _____	235
Figure 27: Recovery Support Functions _____	238





Acronyms

AC	Active Component
ARC	American Red Cross
CAE	Centers of Academic Excellence
CGSC	U.S. Army Command and General Staff College
CHDS	Center for Homeland Defense and Security
CIA	Central Intelligence Agency
CIO Council	Chief Information Officers Council
COCOM	Combatant Commands
COFRAC	Colorado State First Responder Authentication Credential Standards
COG	Continuity of Government
COOP	Continuity of Operations
CRC	Civilian Response Corps
CRS	Congressional Research Service
DARPA	Defense Advanced Research Projects Agency
DC	Deputies Committee
DHS	Department of Homeland Security
DoC	Department of Commerce
DoD	Department of Defense
DoE	Department of Energy
DoJ	Department of Justice
DoI	Department of the Interior
DoL	Department of Labor
DoS	Department of State
DoT	Department of Transportation
DSLDP	Defense Senior Leader Development Program
DSOP	Directorate of Strategic Operational Planning
DVA	Department of Veterans' Affairs
EHRI	Enterprise Human Resource Integration
ELP	Executive Leaders Program
EMACs	Emergency Management Assistance Compacts
EMI	Emergency Management Institute
E.O.	Executive Order
eOPF	Electronic Official Personnel Folders
EPA	Environmental Protection Agency
EP+	Department of State's Employee Personnel Plus
ESC	Executive Steering Committee



ESF	Emergency Support Function
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FEMA	Federal Emergency Management Agency
FIPS	Federal Information Processing Standards
FMA	Federal Managers Association
FPC	Federal Preparedness Coordinator
FRAC	First Responder Authentication Credential
FSI	Foreign Service Institute
FSO	Foreign Service Officer
GAO	Government Accountability Office
GPRA	Government Performance and Results Act
GSA	General Services Administration
HAZMAT	Hazardous Materials
HSDEC	Homeland Security/Defense Education Consortium
HSDECA	Homeland Security and Defense Education Consortium Association
HHS	Health & Human Services
HLS	Homeland Security
HRIS	Human Resource Information System
HSPD	Homeland Security Presidential Directive
HUD	Housing & Urban Development
IC	Intelligence Community
IC3	ODNI Intelligence Community Capabilities Catalog
ICD	Intelligence Community Directive
ICS	Federal Incident Command System
INSP system	Integrated National Security Professional System
IPA	Intergovernmental Personnel Act
IPC	Interagency Policy Committee
IRTPA	Intelligence Reform and Terrorism Prevention Act
JDAL	Joint Duty Assignment List
JFO	Joint Field Office
JIACG	Joint Interagency Coordination Group
JIATF	Joint Interagency Task Forces
JOC	Joint Operations Center
JOM	Joint Officer Management
JPME	Joint Professional Military Education
JTTF	Joint Terrorism Task Forces
LE	Law enforcement
LMS	Learning Management Systems
MET	Mobile Education Team



MOU	Memorandum of Understanding
NASA	National Aeronautical and Space Administration
NCR	National Capital Region
NCTC	National Counterterrorism Center
NDAA	National Defense Authorization Act
NDPC	National Domestic Preparedness Consortium
NDU	National Defense University
NFPA	National Fire Protection Association
NGA	National Geospatial Agency
NIC	National Integration Center
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan
NGO	Non-governmental Organization
NNSA	National Nuclear Security Administration
NORTHCOM	U.S Northern Command
NRC	Nuclear Regulatory Commission
NPLI	National Preparedness Leadership Initiative
NPS	Naval Postgraduate School
NRC	Nuclear Regulatory Commission
NRF	National Response Framework
NSA	National Security Agency
NSC	National Security Council
NSP	National Security Professionals
NSELS	National Security Executive Leadership Seminar
NSETC	National Strategy Education and Training Consortium
NSPD	National Security Professional Development
NSPD-IO	National Security Professionals Development Integration Office
NSPF	Interagency National Security Professional Fellowship
NWCG	National Wildfire Coordinating Group
ODNI	Office of the Director of National Intelligence
OHSEC	Office of Homeland Security and Emergency Coordination
OIA	Department of the Treasury's Office of Intelligence and Analysis
OMB	Office of Management and Budget
OPM	Office of Personnel Management
OSS	Open Source Software
PACOM	Pacific Command
PC	Principals Committee
PCRU	Post Conflict Reconstruction Unit
PDR	Intelligence Community Personnel Data Repository
PEG	Program Evaluation Grid



PKEMRA	Post-Katrina Emergency Management Reform Act of 2006
PMF	Presidential Management Fellows
PNSR	Project on National Security Reform
POLAD Program	Department of State's Political Advisor program
PPBE	Planning, Programming, Budget, and Execution
Pro Board	National Board on Fire Service Professional Qualifications
PRT	Provincial Reconstruction Teams
QDR	Quadrennial Defense Review
QHSR	Quadrennial Homeland Security Review
RC	Reserve Component
RCPS	Regional Catastrophic Preparedness Staff
S/CRS	State Department's Coordinator for Reconstruction and Stabilization
SES	Senior Executive Service
SDE	State-Defense Exchange Program
SRO	Stabilization and Reconstruction Operations
TS/SCI	Top Secret/Special Compartmentalized Information
TVA	Tennessee Valley Authority
UASI	Urban Area Security Initiative
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
USD (P&R)	Under Secretary of Defense for Personnel and Readiness
W3	IBM Dynamic Workplaces
WCF	Working Capital Fund
WMD	Weapons of Mass Destruction







Executive Summary

NEED FOR MAJOR REFORM

Picture these images:

- *A terrorist-piloted airplane hitting the New York City World Trade Center Twin Towers September 11, 2001.*
- *Fifteen million people affected in the aftermath of Hurricane Katrina.*
- *Troubled stability operations in Iraq and Afghanistan.*
- *A Haitian-magnitude earthquake on the U.S.-Mexico border in 2011.*
- *Continuing violence in Mexico that spills into U.S. border states.*
- *A crippling cyber attack on the U.S. grid affecting all major infrastructure and communications, from the most basic to those related to intelligence and security in the next 18 months.*
- *Al Qaeda in Yemen continues to grow and receive financing, enabling planning for a multi-pronged anniversary attack on U.S. soil for September 11, 2011.*
- *The increasing U.S. national deficit and debt create a global financial meltdown in 2015.*

These kinds of complex problems confront U.S. policymakers and decision-makers today and will do so for the foreseeable future. Some are indelible parts of American history and we continue to learn from them as well as manage them and their multiple consequences. Others paint the kind of future scenario that is likely to pose risks to this country from major to incalculable. Some challenges require diligent attention every day to prevent or manage; others are crises that will hit overnight. An inability to deal effectively with such problems produces outcomes that range from local or regional chaos to national incapacitation.

To meet these 21st century challenges and many more such as scarce resources, global disease, post-conflict reconstruction, and conflict prevention, requires the best people possible – the best human capital our nation has to offer. It is foundational to success. We need national security professionals who can work in challenging environments on extremely complex problems characterized by neither simple root causes nor easy solutions. These professionals must know how to seek solutions across departmental lines, work in interagency and intergovernmental teams, and employ U.S. instruments of power in integrated, effective, whole-of-government and whole-of-nation approaches. At risk in their work is nothing less than the security and prosperity of the United States and its citizens.

Do we have individuals like these now? Yes, we do. Do we have enough of them, with the right training, education, experience, and incentive structures? No, not yet. Does a current human capital system exist for these people to ensure that we have sufficient numbers with the right qualifications and who are readily available when crisis strikes, as well as on a day-to-day



basis when policy and strategy is being made and dots need to be connected? The answer is an unabashed *no!*

The President's 2010 *National Security Strategy* makes clear what is needed and sets forth U.S. goals and the importance of integrated, whole-of-government efforts. It describes the broader, reformed national security system needed to achieve the goals and it calls for "strengthening national capacity" through a "whole-of-government approach." The *National Security Strategy* states that, "to succeed, we must update, balance, and integrate all of the tools of American power."¹

The *National Security Strategy* recognizes that the overall national security system must be undergirded by educated, trained professionals who can operate effectively and collaboratively. Specifically, the Strategy calls for adapting the education and training of national security professionals to equip them to meet modern challenges."² Having such national security professionals is a national goal, recognized necessity, and stated priority, and will be necessary to carry out current and future National Security Strategies. To achieve this national goal will require:

- **Individuals** who are educated, trained, and incentivized to collaborate in permanent, temporary, and emergency national security assignments and to put national perspectives ahead of individual agency equities.
- **Organizations** that are prepared to train, support, and reward individuals to deploy and serve in interagency and intergovernmental positions and to put mission-accomplishment in pursuit of national interests ahead of organizational equities.
- **An integrated human capital system** for National Security Professionals that is flexible, dynamic, and inclusive.

This study calls for urgent development of—and strategic investment in—an integrated human capital system called the Integrated National Security Professional system to meet the national goal. It articulates a vision, as well as a pathway to achieve that system beginning with near-term action to get started down that path.

This is a new time, requiring new ideas, new minds, and experiences that can both confront and embrace new technology and systems that drive the change and the environment. It is critical that the new system recognize the culture, capabilities, and needs of the next generation – and more broadly of a country moving from an industrial era and post-Cold War ways to a more horizontally integrated world where collaboration across boundaries will be the hallmark of successful policies and successful countries. Terrorist organizations and non-traditional warfare have already made this transition. It is now time for the United States government at all levels to undertake that same transformation. The human capital system proposed in this study is a step in the right direction.

¹ United States, White House, *National Security Strategy* (Washington, D.C. White House, 2010) 14.

² United States, White House, *National Security Strategy* (Washington, D.C. White House, 2010) 14.



CURRENT SYSTEM

We are not starting from scratch. As a result of the lessons of Hurricane Katrina, President Bush issued Executive Order 13434 in 2007, mandating that departments and agencies designate and train National Security Professionals who work across agency boundaries. On the plus side, departments and agencies now have their own programs; new courses have been created that are open to other agencies; critical shared capabilities have been identified; rotational assignments are in play; and some Memoranda of Understanding (MOUs) enable reimbursement for individuals assigned from other agencies.

Although good faith is evident, the results have usually been agency-centric and therefore disparate and non-uniform. Extensive analysis of current efforts indicates a number of deficiencies. Leadership to improve human capital systems has been sporadic. Key elements of a common system are missing, including: lack of authority to direct an overall National Security Professional (NSP) program, unclear roles and responsibilities, lack of a common lexicon, poor communication among programs, lack of a direct funding source, no defined metrics for system evaluation, and lack of coordinated congressional oversight.

RECOMMENDATIONS FOR AN INTEGRATED HUMAN CAPITAL SYSTEM

In Section 1054 of the National Defense Authorization Act of 2010 – the statutory mandate for this study – Congress recognized the need for a “system for career development and management of interagency national security professionals.” Toward that end, this report seeks to identify multiple systemic dimensions—grounded in the 21st century strategic environment—to facilitate a robust discussion on a future human capital system.

The study’s vision for a system is grounded in the 21st-century strategic environment. Given the described complexities and human capital required, the Project on National Security Reform (PNSR) recommends *an integrated human capital system called the Integrated National Security Professional (INSP) system, with four evolutionary stages to reach the end state*. PNSR uses “INSP system” to describe a system that is: 1) comprised of multiple interrelated dimensions, described below as key features, and 2) integrated throughout the full range of national security processes and across organizational boundaries, including civil-military, interagency, intergovernmental, and public-private sector. PNSR uses, and recommends retaining the term “National Security Professional” (NSP) to describe *individuals* in the proposed INSP system.

OVERARCHING RECOMMENDATIONS WITH ADDITIONAL GUIDANCE FOR SUCCESS

- 1) *The United States should urgently build an Integrated National Security Professional system to develop and manage a cadre of professionals highly capable of working effectively across agency and governmental boundaries on complex day-to-day and crisis challenges. The INSP system – built on the current program established in 2007 by Executive Order 13434 – should be an overlay on existing systems rather than a whole new human capital system and should include the following key features:*



- **A federal human capital program** that provides the foundation for the emerging profession of National Security Professionals (NSPs).
 - **A corps of designated NSPs** from throughout federal departments and agencies and state, local, tribal organizations, who work collaboratively across organizational boundaries (intra-agency, interagency, intergovernmental, international or public/private) during steady state assignment, on a special task force or team, or in crisis response in a whole of government system.
 - **Centralized management** of key aspects of the system, including pilot programs, career development, and tracking of NSPs.
 - **Designation of specific positions** for service by NSPs involving responsibilities that are inherently collaborative across organizational boundaries with incumbents serving outside their primary department, agency, or major organization, during steady-state assignment, special task force or team, or in crisis response.
 - **Recognition of various “patterns of work” in the national security community and “one size may not fit all”** in the formulation of elements of a NSP career development system.
 - **Accommodation of both person-based and position-based approaches.**
 - **Progressive development and qualification of NSPs** through a series of levels representing achievement of proficiency in collaborative teaming across organizational boundaries as the result of education, training, experience and demonstrated performance, with requirements for qualification at various levels.
 - **Formal program for integrated training and education**, largely run by individual departments and agencies.
 - **Self-selection** to pursue NSP qualifications, bolstered by incentives and recruitment programs.
 - **Entry and training laterally** or at an early career stage.
 - **Central funding** for key aspects of the system such as the development, implementation, and maintenance of any interagency education and training curricula and qualification processes, as well as costs for experiential opportunities, incentives, human capital tracking systems, and central management functions.
 - **Central evaluation** and oversight of the system.
- 2) *The INSP system must be institutionalized, linking responsibility and authority and having continuity from administration to administration. Central management is key to this institutionalization.*
- Central management of the INSP system should be in the hands of a new congressionally created independent Board whose chief executive is presidentially nominated and Senate confirmed for a five- or seven-year term and who would report to the President. The Board would first be created through executive order.
 - The Board staff would be half permanent and half on rotational assignment.
 - The Board must have its own budget and the authority to develop and pilot leadership, management, and procedural mechanisms appropriate to the interagency, intergovernmental, and multi-sector (public, private, international) needs of the INSP system.



- Congress must reexamine its internal structure and processes for the authorization, appropriation, and oversight functions related to NSPs and the INSP system.
- 3) ***The INSP system must be attractive enough to create demand for self selection and must include the incentives to attract the newest generation of potential government employees.***
- Financial and non-financial incentives for both individuals and organizations are indispensable.
 - There should be a NSP/INSP system brand, perhaps with a logo to build esprit and attract newcomers.
 - The system and its processes should appeal to the next generation by starting early to build collaborative culture and cadre.
 - The system should be built through the stages both top down and bottom up, for example, encouraging communities of practice
- 4) ***The INSP system should be developed over a five- to seven-year period through a pathway of four evolutionary stages. PNSR is describing a vision of “change,” but the speed of accomplishment will depend on action at each stage.***
- The management Board should conduct studies and pilot programs at each stage to insure that decisions to proceed will be based on actual analysis and experience on how best to implement the new horizontal, collaborative organization.

NEXT STEPS

Recommended next steps are:

- The White House must lead the effort to strengthen the current program and begin to build the centralized components of the INSP system. The White House champion also must work with Congress to pass necessary legislation.
- The President should sign an executive order establishing an independent Board to manage the INSP system and nominate the first chief executive of the Board.
- Congress should confirm the chief executive immediately and pass legislation establishing the system, its management (the Board), and its budget within two years.
- The Office of Management and Budget (OMB) should issue guidance to departments and agencies to fund more training and education for their NSPs.
- The Board should be directed and funded to undertake a series of pilots to test the components of each of the stages of INSP system development along the pathway to a fully-integrated INSP system.
- The Board should review current interagency education and training efforts to determine curriculum content, requirements, and sequencing for integrated training and education of NSPs to achieve critical capabilities.
- The Interagency Policy Committee (IPC) on National Security Professionals should continue to elicit feedback on development of a system for NSPs and ensure that views of the participating organizations – as well as state, local, tribal – voices are heard on aspects of the new INSP system.
- Further study should be undertaken on implementing the INSP system to:



- Recommend specific steps (each with responsibility assigned) to establish and pass through each sequential phase outlined in this study.
- Prepare budget recommendations on structure and levels of funding.
- Suggest how to include state and local personnel, taking into account nationally recognized guidelines.
- Identify the NSP workforce required
- Conduct further analysis to map in greater detail the patterns of work for NSPs to better determine their development requirements.
- Identify existing national security functional communities practice, assess their status, and develop concepts for community involvement in NSP development including identifying capabilities, validating learning objectives, designing career paths, and maintaining professional standards.
- Further study mission-critical competencies in interagency organizations to better understand the specific types of skills and experiences NSPs will need to work in these settings, and examine how these specific competencies differ across different models of coordination.

FOUR IMPLEMENTATION STAGES TO AN INTEGRATED SYSTEM

Dramatic broad change in the national security human capital system is clearly necessary. To that end, PNSR offers a pathway to the vision and outlines sequential stages of an advancing program of change. Each stage contains the seeds of the next. Each stage also involves pilot or demonstration programs to test new concepts and operating processes. Equally, each stage requires leadership at the highest level to bring about change and progress.

The four sequential stages are outlined in Figure 1 and described below. Greater detail appears in Chapter 5 of this study, including the implications of each stage for professional development, coordination, incentives, funding, and inclusion of the military and state and local government organizations. Chapter 5 also assesses the constraints, risks, and benefits of each stage.



Figure 1: Pathway to an Integrated NSP System

STAGES	1	2	3	4
	Current NSP program	NSP Qualification Program	Integrated NSP System	Whole-of-Gov. INSP System
		Pilot Programs & Strategic Investment	Pilot Programs & Strategic Investment	Pilot Programs & Strategic Investment
ATTRIBUTES				
Range of Application	<p>Federal government positions</p> <ul style="list-style-type: none"> • Not formally including the military • Not formally including State/Local/Tribal 	<p>Federal government positions</p> <ul style="list-style-type: none"> • Military continues in parallel • Not formally including State/Local/Tribal 	<p>Federal/State/Local government positions</p> <ul style="list-style-type: none"> • Including the military • Including State/Local/Tribal • Incorporates “continuum of service” opportunities 	<p>Federal/State/Local/Private Sector/International positions</p> <ul style="list-style-type: none"> • Including the military • Including State/Local/Tribal • Including private sector and international components • Incorporates “continuum of service” opportunities
Overall System Attributes	<ul style="list-style-type: none"> • Decentralized NSP programs run at the agency level • New emphasis on training NSPs for key positions • Key interagency policy choices to be made in the interagency process (IPC, DC, PC) 	<ul style="list-style-type: none"> • Strong, decentralized NSP programs at the agency level AND a modest but identifiable INSP system at the interagency level • Begin to develop centralized management 	<ul style="list-style-type: none"> • Centralized INSP system with complementary and supporting NSP programs at the agency level. • Fully realized INSP System Management board 	<ul style="list-style-type: none"> • Strong centralized INSP system with integrated and subordinate NSP programs at the agency level. • An empowered INSP board
Implementation (Mission areas)	<ul style="list-style-type: none"> • Contributes to multiple domestic missions, e.g. domestic emergency response, counter-terrorism, and other National Security / Homeland Security tasks • Functions start with policy, strategy, and linking strategy with resources 	<ul style="list-style-type: none"> • Expands upon stage 1 to international response missions, e.g. across emergency response, counter-terrorism, post-disaster and conflict reconstruction • Functions expanded to interagency planning, execution, oversight, and evaluation 	<ul style="list-style-type: none"> • Contributes to the full range of national security missions across intergovernmental spectrum, expanding upon stages 1 and 2 to integrate state/local/tribal organizations in missions 	<ul style="list-style-type: none"> • Contributes to the full range of national security missions across intergovernmental spectrum, expanding upon stages 1 and 2 to integrate state/local/tribal as well as private sector and international organizations



STAGES	1 Current NSP program	2 NSP Qualification Program	3 Integrated NSP System	4 Whole-of-Gov. INSP System
		Pilot Programs & Strategic Investment	Pilot Programs & Strategic Investment	Pilot Programs & Strategic Investment
ATTRIBUTES				
Implementation (Human capital components)	Involves: • Position designations	Involves: • Position and person designations • Agency-run qualification program	Involves: • Position and person designations • Federal qualification program • Agency career development tracks	Involves: • Position and person designations • Intergovernmental qualification program • Federal system wide career development track ("continuum of service")
Changes to Human Capital and/or Information System(s)	None	Modest	Significant	Large-scale change
NSP Human Capital Responsibilities / Capabilities	• Support interaction among the agencies, such as coordination skills	• Define and coordinate interaction among the agencies, such as national level strategic skills	• Some mandates for NSPs in key agency and interagency positions	• Senior leadership in top positions in the interagency and agencies • Key interagency positions would have mandates for qualified NSPs and top agency positions would include some competitive advantages for qualified NSPs
Legislation or Presidential Action Needed	Relatively minimal • Executive order to establish management board • Some mandates to support interagency initiatives	Modest • Firm mandates requiring support of interagency initiatives • Legislation establishing central management and funding	Substantial • Mandates for basic design and increased funding, oversight mechanisms to ensure detailed implementation • Appropriate organizations would have to be put in place for management of the system	Substantial • Extensive mandates for design, implementation and funding, significant oversight and reporting requirements to ensure detailed implementation • Appropriate organizations would have to be put fully in place for management of the expanded system



Stage 1: Current National Security Professional Program

This stage is based on the current National Strategy for the Development of Security Professionals. It is agency-centric in the way requirements are defined and executed, even though the original National Security Professional Development (NSPD) Executive Steering Committee (ESC) described its vision in terms of interagency performance.

The NSPD program is decentralized and lacks central standards for designation of NSPs. It does not require NSPs to have experience or service outside their primary organization. Although each department's NSP training programs includes a focus on interagency performance, the NSPD program mandates only "familiarity" with federal efforts and procedures to work across agencies and departments, not actual training for or service in doing so. To date, departments have focused on designating NSP positions and providing incumbents specific training and have not chosen to designate or qualify individuals as the result of training, education, experience, and demonstrated proficiency. Recommended aspects in this stage are increased training and improvements in specific ways the NSP program could be administered or augmented, to address challenges such as security clearances and funding, establishment of core curricula, and improved exchange mechanisms.

In Stage 1, leaders must define a common vision of the end state and a pathway to achieve it. This would ideally be addressed first by identifying the constructs and key issues and second by designing pilot projects for Stage 2 that would test the construct for Stage 2 and beyond. The study and pilots would include system management, professional development, coordination, incentives, funding, information technology, metrics, and preparation for inclusion of the military and state/local/tribal components to begin the construction of an appropriately integrated system for NSPs.

Advancing beyond Stage 1 along the path toward Stage 2 and eventually Stage 4 requires visible and sustained leadership within and across the executive and legislative branches, or it will not occur. The management Board and its chief executive officer must be put in place by executive order for the study and to design and launch the pilot projects.

Stage 2: National Security Professional Qualification Program

This stage would focus on "experience"—PNSR's term for the second level of integration and cross-fertilization among participants—in the interagency space and would build upon agency NSP efforts with a formal set of minimum standards of training, education, and interagency experiences required to obtain qualification or designation as a NSP. It would include incentives (primarily competitive advantages) for individuals to assure that a cadre of NSPs fills a large percentage of designated top-level NSP positions over time. NSP standards, qualifications, designations, and appointing top-level positions would be centralized—not fully at the discretion of or waiver by agencies—although they would be managed by interagency teams composed of agency representatives and a small executive secretariat and specially established Board. This stage would involve extensive detail on how to best implement a formal NSP qualification or designation system tied to both people and positions. It is expected that this stage will require only modest legislation and funding.



During Stage 2, an evaluation of the successes and failures of Stage 1 will set the foundation for what must be done to ensure Stage 2 success. The Stage 2 pilot will be a major source of input for the development of system leadership and management. The Board should consult with INSP system leaders and employees to identify the most critical areas needing further study and exploration. A pilot which tests the constructs of Stage 3 of the INSP system should be designed, implemented, and evaluated to provide insights into how to ensure a successful Stage 3.

The requirements to move forward along the pathway to and beyond Stage 2 are political will and action in the form of leadership, legislation, and funding.

Stage 3: Integrated National Security Professional System

This stage focuses on developing a true Integrated National Security Professional system and integrating the government's efforts to improve cross-boundary performance throughout the federal government by adopting a more centralized program. Therefore, it is built with "top-down" imperatives and mandates rather than as an additive to agencies' NSP programs. This stage involves the long-term, centrally-tracked development of some NSPs along with some realignment of educational and personnel systems to develop senior NSPs with "mastery" of the interagency domain, the necessary attributes and proficiency to serve in the most demanding and important cross-boundary responsibilities.

This stage is about integration. It extends the range of inclusion to all professionals in the federal government involved in *interagency* activities – including the military – rather than addressing them separately. It includes some options for inclusion of others outside the federal government involved in national security, such as intergovernmental officials and the reserves. This stage also involves formal mandates to assure that qualified NSPs are represented or required in the most important top-level agency positions.

During Stage 3, an evaluation of the successes and failures of Stage 2 and the results of the pilot for Stage 3 will substantially expand the knowledge of what must be done to ensure Stage 3 success. At the same time, the pilot for Stage 4 should be designed and implemented and the next set of studies identified.

In order to progress from this stage to Stage 4, continuity of management, centralized funding, substantial legislation, and continuing executive and legislative branch support will be required.

Stage 4: Whole-of-Government Integrated National Security Professional System

The final stage of establishing the INSP system envisions a broader transformation of the national security system that includes major changes in how national security work is done and how authority and accountability are distributed in order to realize more efficient and effective action on a whole-of-government basis. Such a transformation would focus on transitioning the national security system from agency-centric activity and resourcing to holistic mission performance that results from much better cross-boundary teaming by highly qualified NSPs. Significant responsibilities and accountabilities for performance would transition to integrated teams and task forces, with departments and agencies in many instances becoming providers of



capabilities rather than mission managers, especially where missions inherently require collaboration.

At Stage 4, the pilot results of Stages 2, 3, and 4 should be particularly instructive on how the more mature INSP system should be operating. Refinement of the qualitative and quantitative metrics which are used to judge success would also be appropriate.

Stage 4 is distinguished from Stage 3 in the extent of this broader transformation and by major changes in personnel systems to support it, allowing for the full integration of an INSP system rather than its adaptation to fit the requirements and characteristics of existing civil, military, and other professional service systems.

Stage 4 is also distinguished from Stage 3 by the extent of integration that is possible in the INSP system for intergovernmental, international, and public/private collaboration as the result of a broader transformation of the national security system. Although Stage 3 also involves cross-boundary teaming and development of NSPs across these boundaries, a much more integrated system in Stage 4 would be possible because of the transformation of rules, methods, and evolving interagency culture in the national security system.

The specific scope of such a major transformation of the national security system and accompanying changes in department and agency personnel systems exceeds the mandate of this study, but its general characteristics can be envisioned. Such a system would be *national* in its character rather than federal and interagency-centric rather than agency-centric. Its organization would be flatter, more open, involve fewer “stovepipes,” and fully employ new horizontal collaborative methods facilitated by new technologies and social networking.

Strategic planning and measurement would be focused on national security missions rather than departmental or agency discipline or function. Governance methods would generally be at the federal interagency level, but with collaboration or participation from non-traditional and non-federal actors. Tradeoffs in resourcing and activity would be between competing national priorities based on documented risk/consequence factors. Provisions would exist for more “continuum of service” opportunities for National Security Professionals to work beyond federal organizations. The management of the NSP system would be centralized at the federal level but would also be augmented by engaging NSPs in co-managing their development as a “community of practice” that spans boundaries of agency and federal service.

KEY ENABLERS FOR TRANSFORMATION

PNSR is proposing significant transformation of the national security human capital system. A truly integrated system will not be easy to institutionalize; it will cut against the grain of established procedures, practices, and culture. However, the goal is attainable and can be realized within five to seven years with strong, visionary political leadership and swift, effective legislative action. Champions and leaders head a list of key enablers that must be in place to make it so.



CHAMPIONS, LEADERSHIP, AND CAPABILITIES

Embarking on this pathway will require major transformational leadership and sustained commitment in both the executive and legislative branches. At the most strategic level, champions in both the executive and legislative branches are essential to provide political visibility and funding. It is heartening to note interest in the current administration through an Interagency Policy Committee (IPC) and in Congress, as demonstrated by the September 2010 introduction of a bill by Congressmen Ike Skelton (D-MO) and Geoff Davis (R-KY). Executive branch leadership below the President is also required to manage the system on a day-to-day basis and fulfill functions such as tracking personnel and evaluating system performance.

At the department level, agencies must be able to plan as a “whole of department” and provide reach-back support to deployed NSPs. Finally, a cadre of experts is needed that is incentivized and organized to work together in teams and networks. Both leadership and NSPs must share a vision of common stakes and responsibilities across federal, state, and local governments, and across the public and private sectors. Employees at all levels must be engaged in the transformation effort at the problem identification, problem solution, piloting, and implementation stages. Change is facilitated with communities of practice, networked organizations, and social networks because these entities enhance both vertical and horizontal collaboration.

CULTURE, BRANDING, AND SOCIAL NETWORKING

Culture cuts both ways. It can be a positive inducement to join and achieve excellence. It also can be a hindrance to change, as old ways of doing business are nearly always more comfortable than new ways.

Change efforts and new systems fail without the support of the affected people. They cannot be left out – they must be informed, involved, and recognized. Recognition includes branding so that being an NSP means something in common to the group and others. It must have the brand and reputation of achievement and responsibility. NSPs might wear a lapel pin – not unlike the famous Ranger tab that is awarded to military personnel who undergo rigorous Ranger training.

The younger generation of federal, state, and local national security professionals is crucial to an INSP system, and the evolving INSP system must understand them and appeal to them. Social networking – and the information systems that make it work in a system – will be a key factor in this attraction and in effectiveness.

PILOT PROGRAMS

Because the INSP system represents a very different organizational construct – one that is horizontal, collaborative, and operating across organization and governmental boundaries – it requires new concepts and practices for national security human capital policies, procedures, and program constructs. Designing and implementing these new ideas and ways of doing business requires a rigorous testing methodology to ascertain whether the concept and the theory actually will work in the real world of organizations that must accomplish strategic goals and objectives,



often under short deadlines and crisis conditions. In recognition that this is a “new world,” the management Board will conduct a wide variety of studies and pilots.

The use of studies and pilots to expand knowledge about horizontal, collaborative organization provides a measured approach that will help insure that, to the extent possible, decisions to proceed will be based on actual analysis and experience rather than solely on theoretical concepts. While there is no way to be 100% certain that a policy, process, and method will work as anticipated and as needed, the use of studies and pilots will substantially improve the knowledge base from which decisions are made, and reduce the chance of unintended consequences that can result in fatal error of system design and/or implementation.

Furthermore, the methodology proposed, which is collaborative and inclusive, models the system behavior that is needed for the INSP system to be successful in addressing and resolving this country’s national security challenges.

RESOURCES

Transformation requires strategic investment to raise the level of support for the identification and development of a cadre of National Security Professionals. Resources are necessary to develop, design, test, and implement the elements of a whole-of-government Integrated National Security Professional system including establishment of the INSP management Board as the central management authority. If this important work is treated as an unfunded mandate at the department level, there is little if any chance for a successful transformation of the national security human capital system

LEGISLATION

To evolve successfully, the system described in this study requires legislation. Stages 1 and 2 along the pathway require minimal legislation to be successful. However, congressional interest and legislation could provide a vital impetus for progress and help define a more coherent transition toward Stages 3 and 4. To realize a fully Integrated National Security Professional system, legislation will be necessary. Authorities and funding are ultimately needed to identify and establish:

- an entity (the Board) to manage the INSP system, including tracking and qualification of NSPs
- positions, pay, and promotion paths, including incentives
- essential practices, skill-sets, leadership abilities, and experiences
- training and education programs³
- pilot programs

VALUE OF SUCCESS AND COST OF FAILURE

An Integrated National Security Professional system would improve collaboration across the full range of national security missions and processes. It would enable a more integrated approach in key areas such as civil-military operations abroad, intelligence and law enforcement community

³ This may require revisiting conditions of hire, and continued employment statements.



efforts at home and abroad, and multi-agency disaster response. An integrated approach – across interagency, intergovernmental, and sometimes across public and private sectors and the international community – will also be required to confront effectively many other challenges to our viability and vitality such as financial, food, health, energy, and infrastructure aspects of our nation's security.

Without individuals and systems able to produce integrated national security products and perspectives that are better aligned with the strategic environment, future national security failures are inevitable. Hurricane Katrina and the recent Gulf of México oil spill illustrate the importance of an integrated, whole-of-nation response to natural disasters, as well as the costs of not doing so effectively. The post-war Iraq experience sheds light on the need for an improved workforce that alleviates the “turbulence engendered by persistent turnover at every level”– that is indicative of the current system’s overall inability to generate the personnel necessary to perform a growing number of interagency tasks.⁴

Complex national security threats and opportunities increasingly demand whole-of-government approaches. Our human capital must be prepared to meet the demands and requirements of this new environment. Just as we train and equip our military forces to conduct a broad range of military operations, we must enact and invest in an Integrated National Security Professional system to educate, train for, and incentivize whole-of-government approaches. The risks of not preparing those who bear the burdens of ensuring the nation’s security are simply too great. We already have seen the searing images of failure. Our ability to effectively and efficiently confront future threats and opportunities to our national security will be seriously hindered unless we build the required human capital foundation.

⁴ Special Inspector General for Iraq Reconstruction. *Hard Lessons: The Iraq Reconstruction Experience*. (SIGIR: Washington D.C., 2009).



1. INTRODUCTION

The 21st century requires new ways of thinking, new ways of operating, and new systems to ensure that our organizations and processes are working interdependently to produce national security outcomes that align with our national strategic interests.

The challenges faced by the United States national security system are increasingly in the category of “wicked” problems—problems that defy definitive formulation, are entwined with one another, and have multiple causes. Wicked problems are not easy to solve and cannot be managed with outmoded legacy industrial age processes or mindsets; nor do they have formulaic solutions that are designed and delivered by a single department, or level, of government. Also, there are opportunities that cannot be understood, managed, or taken advantage of without new perspectives, capabilities, and processes.

The President’s 2010 U.S. National Security Strategy describes the 21st century national security environment and the capabilities that the U.S. will need in order to respond to these new risks, threats, and opportunities. It states that “to succeed, we must balance and integrate all elements of American power and update our national security capacity for the 21st century.”⁵ More specifically, the Strategy emphasizes the importance of integrated, interagency processes carried out by well trained, skilled national security professionals. It refers to the need to improve the “integration of skills and capabilities within our military and civilian institutions” to advance “coordinated planning and policymaking.”⁶

The National Security Strategy and other key documents such as the 2010 Quadrennial Defense Review (QDR) and the Quadrennial Homeland Security Review (QHSR) also describe the rapidly changing, fast-unfolding events of the 21st century and the need for new capabilities and processes within government to meet the known and unknown challenges and opportunities of national security.

Reflection on recent crises – including 9/11 and troubled stability operations in Iraq and Afghanistan as well as the poor responses to Hurricane Katrina and the BP oil spill – and a sense of urgency stemming from the emerging multiple, daunting challenges have created the demand for integrated approaches that cut across all levels of government – federal, state, local – and the private sector. These existing and emerging situations require national security professionals with the training and mindset to seek solutions collaboratively. These professionals must be able to work in interagency and intergovernmental environments and develop whole-of-government solutions to complex national security problems. They must be available and capable in both domestic and international situations that threaten or provide opportunities for our national security.

⁵United States, White House, *National Security Strategy* (Washington, DC: White House, 2010) 1.

⁶ United States, White House, *National Security Strategy* (Washington, DC: White House, 2010) 14.



These national security professionals and an integrated career development system for them are a foundational component of better government in general and of our national security strategy and posture in particular.

The President's National Security Strategy acknowledges that significant work remains to "foster coordination across departments and agencies." It identifies "key steps" that must be taken, including "adapting the education and training of national security professionals to equip them to meet modern challenges."⁷

The requirement for national security professionals who can work in the interagency and intergovernmental spaces is not new. In 2007, President George W. Bush issued Executive Order 13434 in recognition of the need for increased focus on identifying, training, and educating National Security Professionals (NSPs) who can work effectively and efficiently in interagency settings. Efforts to implement the executive order have been largely uncoordinated and shaped by individual agencies that lack a more systemic approach to this important national endeavor.

In 2009, Congress called for an independent study to "examine matters pertaining to a system for the development and management of *interagency* (emphasis added) national security professionals."⁸

This study by Project on National Security Reform (PNSR) fulfills that Congressional mandate. While there are many national security professionals, people working for the national security apparatus – in the intelligence community, the law enforcement community, the diplomatic and development communities, and in the military, National Security Professionals – those who possess the official designation created in the implementation of Executive Order 13434 – are the subject of this study. National Security Professionals come in all shapes and sizes. Some spend every minute of their professional career deeply involved in the identification of and solution to national security issues, problems, and opportunities. Others make a contribution periodically when their talents are needed, or perhaps only once in an entire professional career. What is important is that when the call comes, each individual understands and is able to function efficiently and effectively in interagency and intergovernmental environments. Thus, PNSR has retained the term National Security Professional as the descriptor for all individuals included by Executive Order 13434.

This study lays out a case for varying levels of interagency involvement, but is adamant that all individuals must be able to function appropriately in an interagency and intergovernmental context. PNSR has also stated the compelling case for an Integrated National Security Professionals (INSP) system which can encompass all of these different elements, and assure the appropriate interagency/intergovernmental professional development of all National Security Professionals whether they reside in the national, state, local, tribal, or private sectors of the nation. The study also recognizes that states, localities, and other government and private-sector entities that do, and will, participate have different constitutional constructs that direct their

⁷ United States, White House, *National Security Strategy* (Washington, DC: White House, 2010) 14.

⁸ National Defense Authorization Act 2010, Section 1054.



responsibilities, chain of command, and actions. The INSP system must be flexible enough to accommodate these realities.

The primary recommendation is an Integrated National Security Professional system to be built along a four-stage pathway. The stages describe key elements of a system that, together, will achieve the result that the United States desperately needs today and increasingly into the future: a better human capital capability to maintain and manage the national security of the United States, including an improved ability to respond to and anticipate opportunities and crises.

1.1 STUDY OBJECTIVES, SCOPE, AND METHODOLOGY

1.1.1 OBJECTIVES AND SCOPE

In Section 1054 of the 2010 National Defense Authorization Act (NDAA), Congress mandated a study by an independent nonprofit organization to “examine matters pertaining to a system for the development and management of interagency national security professionals.” This study is an independent and objective examination of efforts beginning with Executive Order 13434 in 2007, which was originally born of lessons learned from the Hurricane Katrina response. It takes into account current efforts to create an NSP system and creative ideas for a new Integrated National Security Professional system (INSP system).

The study Statement of Work (SOW) issued by the Department of Defense, the executive agency for the President for this study, requires the study to “support efforts to improve the quality of interactions between executive agencies engaged in issues of national security and increase executive agencies’ overall interoperability, especially in times of national crisis from natural disasters or national security threats, by developing and managing a system for career development and management of interagency national security professionals.” Additionally, the system should “build meaningful and lasting interoperability between executive agencies within the context of the individual cultures, equities, and concerns of each agency.” It also requires an analysis of the “feasibility of integrating, coordinating or supplementing” interagency development for military, state, and local entities.

The study examines six major areas of focus detailed in the SOW:

- Current Efforts: Effectiveness of and lessons learned from major current efforts at developing interagency national security professionals
- Professional Development: The skills, education, training, and professional experiences desired in interagency national security professionals at various career stages, and the feasibility, benefits and costs of developing a pool of personnel necessary to enable interagency national security professionals to undertake such professional development opportunities
- Coordination: Procedures for ensuring appropriate consistency and coordination among participating executive agencies, such as methods for identifying positions and personnel, performance reviews, and promotion policies that should be included in the system
- Incentives to Participate: Incentives and requirements that could be implemented to encourage personnel and organizations to fully participate in the system across various career levels



- Funding: Potential mechanisms for funding an interagency national security professional development program
- Military and State and Local Government Personnel: Feasibility of integrating, coordinating, or supplementing the systems and requirements regarding experience and education for military officers with an interagency national security professional system, potential means and benefits and drawbacks of doing so, and similar analysis for appropriate state and local government organizations and personnel

The study draws heavily on firsthand accounts and data calls of thirteen U.S. government agencies, and a number of other agencies and organizations involved in National Security Professional efforts. Agencies include: Department of Agriculture, Department of Commerce, Department of Defense, Department of Energy, Department of Health and Human Services, Department of Homeland Security, Office of the Director for National Intelligence, Department of the Interior, Department of Justice, Department of State, United States Agency for International Development, Department of Transportation, and Department of the Treasury. The other organizations include: Government Accountability Office, Office of Personnel Management, Office of Management and Budget, and National Security Professional Development—Integration Office. In addition, the PNSR study team consulted extensively with state, local, and other governmental and private sector entities that have a stake in, and/or contribute to, national security opportunities and solutions.

1.1.2 METHODOLOGY

PNSR identifies the root causes of problems through extensive research and analysis – not just peripheral impediments or mere symptoms of problems – before developing solutions. The solutions presented in this study are tightly and logically linked to the identified problems.

The study uses both human capital and national security lenses to examine the issues covered in the Objectives and Scope. The study uses rigorous analytical tools to evaluate Interagency National Security Professional development and similarly related intra-agency, interagency and intergovernmental efforts. PNSR relied on primary source material from the aforementioned departments, and agencies, particularly interviews and official U.S. government documents obtained through data calls. Secondary source material was also used, particularly in describing the evolution of the NSP system and the current landscape. A similar approach was used in gathering information about state, local, tribal, and private sector issues.

Analysis of these efforts and programs as well as existing legislation, including Titles 5 and 31, allowed PNSR to discover recurring themes, pinpoint lessons learned, and identify best practices across the six major study areas in order to design the pathway to the new integrated career development and management system for national security professionals.

Through the use of an evaluation tool, the Program Evaluation Grid (PEG) developed for this study, PNSR further evaluated the series of existing special interagency programs to identify important features that could be extracted for the development of a model INSP system. Through this evaluation, PNSR developed a range of interlocking stages to an overall INSP system. These stages are fully described and analyzed in Chapter 5.



The appendices of this study provides the recommendations in sequential stages, a bibliography of sources, a detailed analysis of the dimensions of the current program efforts by agencies identified in the Statement of Work, and other reference sources useful for future efforts to refine, enhance, and implement an integrated career development and management program for National Security Professionals.





2. STRATEGIC ENVIRONMENT

Nearly 7,000 miles apart, in what seemed like different worlds, Janet Smith and John Lang both felt outside their comfort zones for one of the first times in their careers. Smith, a Department of Agriculture expert who spent most of her career as a bureaucrat in Washington, D.C., now found herself working alongside military and civilian personnel in a conflict zone. Smith was recently deployed to a Provincial Reconstruction Team in Afghanistan, to advise on agricultural markets and management of natural resources. She knew that agriculture was a critical component of the mission and through initial discussions with U.S., Afghan, and international colleagues, it became increasingly clearer that this piece of the puzzle was inexorably linked to the political, security, social, and economic dimensions of the broader problem.

Back in Washington, Lang—recently detailed to a fledgling interagency cybersecurity team, housed in the Department of Homeland Security and reporting to the National Security Staff—was in culture shock on another level. He was working alongside planners and subject matter experts from the law enforcement, intelligence, and defense communities, and a host of other stakeholders in the U.S. cybersecurity mission. It was made clear by the organizational alphabet soup on the name tents around the room that the cyber threat crossed nearly all institutional boundaries in the United States, including interagency, intergovernmental, civilian-military, and public-private sector. In order for the nation to be as protected as possible, Lang realized he would need to focus not only on his technical expertise and home agency's equities, but also, perhaps more importantly, on contributing to a national assessment of the problem and an integrated solution for how to confront it.

Although drastically different on many levels, these scenarios illustrate the evolving national security environment and types of 21st century national security challenges that a National Security Professional will be called upon to address. These challenges do not fit into the jurisdiction of any one department or agency, and almost always span congressional jurisdictional boundaries as well. More and more, important national security work will take place in the interdisciplinary space between the departments and the president. Many of these threats and opportunities, such as cyber security, post-disaster response, or reconstruction and stabilization, are characterized by incomplete, often contradictory, and changing requirements. Solutions demand dynamic, whole-of-government approaches that reflect seemingly infinite interdependencies and produce integrated national products and perspectives.



2.1 STRATEGIC ENVIRONMENT

As detailed in the President's 2010 National Security Strategy, the world of today and the world of the future will continue to be characterized by increasing complexity and an accelerated pace of change. The nature of the challenges and opportunities for U.S. national security, fueled by and coupled with the extraordinary demands of the information age, have created the need for new perspectives, capabilities, and processes within the public and the private sectors.

Understanding the strategic environment provides the basis for understanding needed systems evolutions. Therefore, it is the starting point for a discussion on National Security Professionals (NSP) and the integrated system they require.

2.2 EXTERNAL ENVIRONMENT

The strategic environment today is volatile, uncertain, complex, and ambiguous.⁹ The rate of change is increasing exponentially. New technology helps generate new technology faster. An increasingly globalized world allows for denser, more fluid, and almost instantaneous exchanges of goods, information, ideas, and people. Organizations and individuals have always dealt with a changing world, but the pace and the abruptness of change are new to the current environment.¹⁰ It breeds higher levels of uncertainty and ambiguity. The strategic environment is now extremely difficult to foresee, understand, and interpret.¹¹

The characteristics of the broader strategic environment are readily apparent in the specific context of the national security environment. Today's national security challenges are more numerous, varied, broader, complex, faster paced, and interdependent than those of the past. New threats and risks—ranging from climate change and economic instability to cyber threats and extremist ideology—dominate the landscape and add to already prevalent challenges such as the proliferation of weapons of mass destruction. Similarly, opportunities exist to shape the future in a positive way by building and fostering strategic partnerships and integrated approaches to deliberately, instead of reactively, confront the aforementioned risks and by restoring America's leadership in areas such as education, innovation, and energy. These threats and opportunities have emerged in the context of an increasingly complex international security environment characterized by new rising powers, failed and failing states, an abundance of non-state actors, and an ever-present news media.

Many of today's national security problems can best be described as "wicked." These wicked problems defy definitive formulation, are entwined with one another, and have multiple causes.¹² Choosing their solutions can be an endless process and one that is largely driven by judgment.¹³

⁹ T. Owen Jacobs, *Strategic leadership: The competitive edge* (Washington, D.C.: National Defense University, 2008) 13-22.

¹⁰ Ram Charan, "Before the point tips," *Know how: The 8 skills that separate people who perform from those who don't* (New York: Crown Publishing Group, 2007) 53.

¹¹ T. Owen Jacobs, *Strategic leadership: The competitive edge* (Washington, D.C.: National Defense University, 2008) 13-22.

¹² Horst Rittel and Melvin Webber; "Dilemmas in a General Theory of Planning," *Policy Sciences* Vol. 4, (Amsterdam: Elsevier Scientific Publishing Company, Inc., 1973) 155-169.

¹³ Horst Rittel and Melvin Webber; "Dilemmas in a General Theory of Planning," *Policy Sciences* Vol. 4, (Amsterdam: Elsevier Scientific Publishing Company, Inc., 1973) 155-169.

Previously prevalent national security missions such as conventional war or pure diplomacy can be thought of as “tame” when compared to the increasingly wicked problems of today and tomorrow, including challenges such as countering extremist ideology, preserving national economic security, food security, global health, and managing immigration. The following table identifies characteristics of “tame problems” as compared to “wicked problems”:

Figure 2: Wicked Problems

TAME PROBLEMS¹⁴
Well-defined problem statement
Definite stopping point
Solution can be objectively evaluated as right or wrong
Belongs to a class of similar problems which can be solved in a similar manner
Has solutions which can be tried and abandoned

⇓

WICKED PROBLEMS¹⁵
No definite formulation
No stopping rules (it's not clear when a solution is reached)
Solutions are not true-or-false, but better or worse
No immediate or ultimate test of a solution (any solution will generate waves of consequences over an extended period of time)
Every solution is a “one-shot operation” (no opportunity to learn by trial and error)
No enumerable set of potential solutions
Problems are essentially unique
Problems can be considered to be a symptom of another wicked problem
Causes can be explained in numerous ways
Solutions cannot be tried and abandoned (therefore, planners are more liable for the consequences of the actions they generate)

¹⁴ Jeff Conklin, “Wicked Problems & Social Complexity,” *Cognexus Institute* October 2005, accessed October 2010 <http://cognexus.org/wpf/wickedproblems.pdf>.

¹⁵ Horst Rittel and Melvin Webber; “Dilemmas in a General Theory of Planning,” *Policy Sciences* Vol. 4, (Amsterdam: Elsevier Scientific Publishing Company, Inc., 1973) 155–169.



2.3 ALIGNMENT OF THE NATIONAL SECURITY SYSTEM WITH THE STRATEGIC ENVIRONMENT

There is general agreement that change is required to keep pace with the evolving strategic environment. The imperative for change is recognized across the government and has received particular attention recently in the context of national security. Our legacy agency-centric national security system, designed primarily in 1947, cannot and does not readily handle the pace of change or level of complexity. From troubled stability operations in Iraq and Afghanistan to the poor response to Hurricane Katrina and the Gulf oil spill, recent failures provide compelling evidence of the mismatch between the current national security system and present and emerging challenges.

These events and a host of other threats and opportunities demonstrate the need for a more effective whole-of-government and, in many cases, whole-of-nation approach to national security. The challenges we face span organizational boundaries and cannot be addressed by any single organization alone. In fact, anything we do as a nation at the strategic level will inherently be interagency and, in many cases, intergovernmental.

The second- and third-order effects of these issues also cross organizational domains and require a more integrated approach in both the executive and legislative branches of government. Furthermore, with resources stretched tight, there is a greater need for prioritization across agencies and issues. Since we do not know which of today's challenges are more likely to emerge and which may pose the greatest peril, we must spread our attention and limited resources to cover a spectrum of activities and possible contingencies.¹⁶

In recognition of the misalignment of the national security system with the strategic environment, the Obama administration has outlined a broader concept of national security that emphasizes a whole-of-government approach and calls for the integration of all elements of national power. The National Security Strategy aims to take a "longer view," and build upon a stronger foundation including economic prosperity, military operations, diplomacy, and development.

*To succeed we must update, balance and integrate all the tools of American power and work with our allies and partners to do the same [...] improving coordinated planning and policymaking [...] and a deliberate and inclusive interagency process, so that we achieve integration of our efforts to implement and monitor operations, policies and strategies.*¹⁷

Supporting the development of national security professionals has rightly been an issue of bipartisan attention on Capitol Hill in recent years. A clear example of this bipartisan interest is the Interagency National Security Professional Education, Administration, and Development Act (INSPEAD Act), introduced by Congressmen Ike Skelton (D-MO) and Geoff Davis (R-KY) in September 2010 as H.R. 6249. As Members begin to consider similar legislation in the 112th Congress, the Skelton-Davis bill can serve as an instructive precedent in many respects, and the

¹⁶ Project on National Security Reform, *Forging a New Shield* (Arlington, Va.: PNSR, 2008) iii.

¹⁷ United States, White House, *National Security Strategy* (Washington, D.C. White House, 2010) 14.



greater efficiency and effectiveness of a more integrated national security professional system should appeal to a growing number of lawmakers.

Congress should—in due course—also consider how best to adjust its own internal mechanisms for the budgeting, appropriations, and oversight for national security professionals – and interagency issues more generally.

In order to fully align our national security system with the strategic environment and to efficiently implement current and future national security strategies, a workforce is needed that can fulfill a range of missions and functions.

WHAT ARE THE WORK REQUIREMENTS (I.E., MISSIONS AND FUNCTIONS)?

Given these assessments of the current national security system, we must focus on those NSPs who work within that system and ask: “What range of work is required to confront effectively the national security environment?” Professionals in the national security system must be prepared to address the full array of traditional and non-traditional national security missions and fulfill the full range of functions along a spectrum of national security processes—from policy formulation and coordination to strategy development, alignment of strategy with resources, planning, policy execution, oversight, and assessment of policy outcomes.

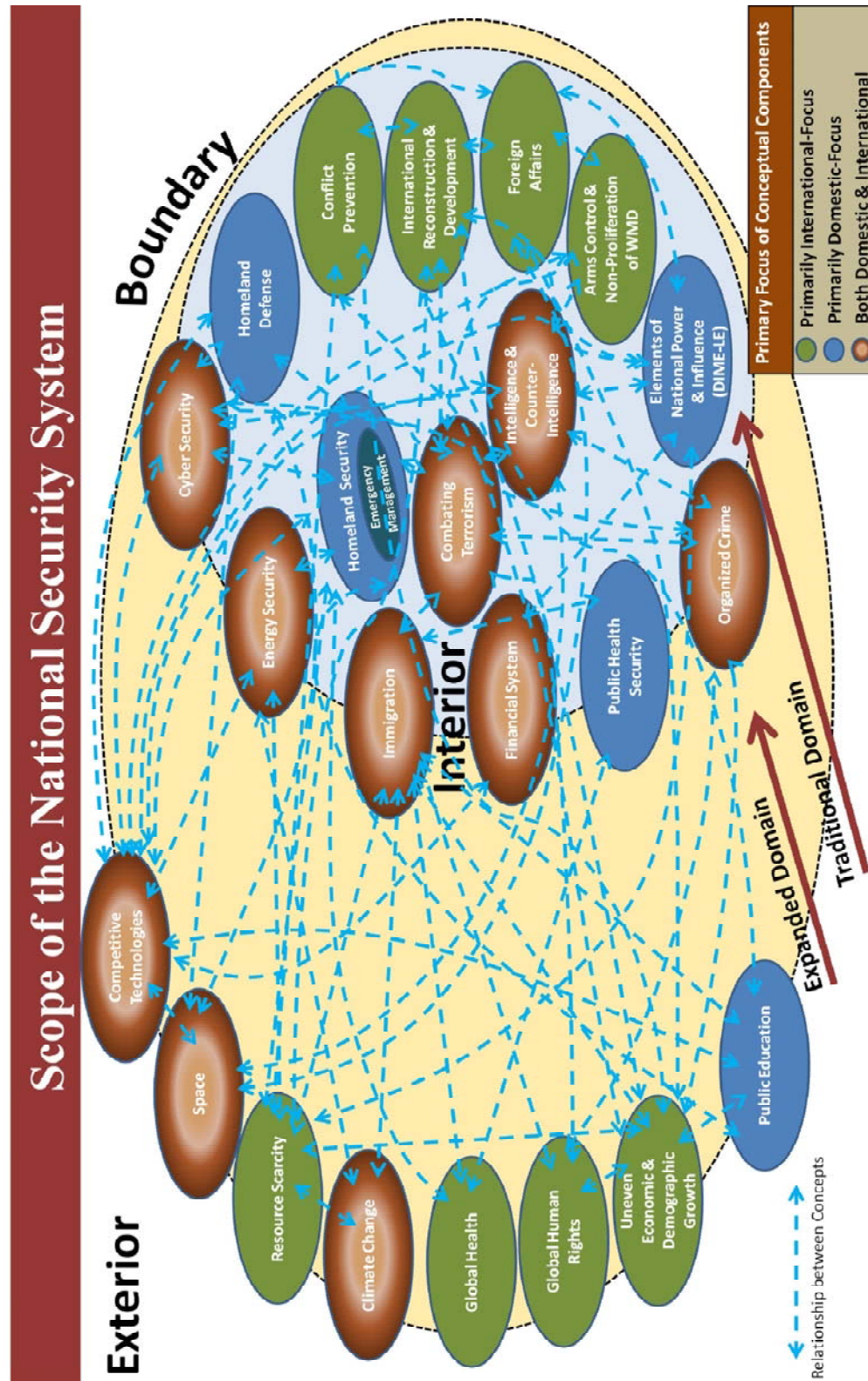
Based on the national security environment, and in light of the broadened scope of national security outlined in the President’s 2010 National Security Strategy, national missions could include countering threats such as organized crime, human trafficking, climate change, and seizing opportunities such as maintaining energy, public health, financial stability and other aspects of national security.¹⁸ The following diagram illustrates a range of traditional and non-traditional cross-cutting national security missions to which national security professionals of today and tomorrow will need to contribute. The graphic also depicts the complex interrelationships among these various missions.¹⁹

¹⁸ The National Strategy for the Development of Security Professionals identifies “national security missions” as including “those necessary for the implementation of, among others, the National Defense Strategy, the National Drug Control Strategy, the National Intelligence Strategy, the National Military Strategy, the National Strategy for Combating Terrorism, the National Strategy for Combating Weapons of Mass Destruction, the National Strategy for Homeland Security, the National Strategy for the Physical Protection of Critical Infrastructures and Key Assets, the National Security Strategy, the National Response Plan, the National Cyber Security Strategy, and the War on Terrorism National Implementation Plan.”

¹⁹ Project on National Security Reform, *Turning Ideas into Action* (Arlington: PNSR, 2009) 7.



Figure 3: Scope of the National Security System





To fulfill this full range of missions and functions, national security professionals must be able to work within crisis and steady-state environments and be available and capable to plan and act in both domestic and international situations that threaten or provide opportunities for our national security. They will need to populate and work with the interagency and intergovernmental communities and, often times, operate seamlessly with the private-sector and international communities.

Much of the work required to fulfill these missions and functions will not only require interaction across organizational boundaries, but will take place in the interagency space—the space between the departments and agencies and the President. Therefore, we must be able to staff and resource multi-agency organizations and environments. Numerous interagency and intergovernmental entities are already in place throughout the U.S. Government—from committees in Washington, D.C. and fusion centers and task forces throughout the United States, to teams and task forces around the world. Moreover, given the critical importance of holistic approaches to complex 21st century national security challenges, the need for multi-organizational teams is certain to increase in the future.

NEED FOR A 21ST CENTURY NATIONAL SECURITY WORKFORCE

A government workforce that can operate in today’s strategic environment and effectively confront the full array of 21st century challenges is essential. The President’s FY11 Budget identifies the need for “educating a workforce for the jobs of the 21st century:”

From unlocking the cures of tomorrow to creating clean energy industries, from growing our economy and creating jobs to securing our Nation in the years to come, there is one constant in addressing these challenges: they all depend on having a highly-educated workforce.²⁰

In the more specific context of national security, the President’s 2010 *National Security Strategy* states the need for “...adapting the education and training of national security professionals to equip them to meet modern challenges...” The National Strategy for the Development of Security Professionals, developed to implement Executive Order 13434, further clarifies that:

The national security professional will need access to education, training, and opportunities to work in coordination with other Federal departments and agencies, State, local, territorial and tribal governments, the private sector, non-governmental organizations, foreign governments, and international organizations, in order to accomplish the following goals: (1) Better understand partner organization objectives and mission requirements, interdependencies and synergies between the public and private sectors, and different organizational cultures; (2) Enable professional development to transcend organizations, levels of government, missions, and specific national security disciplines; and (3) Improve the overall capability to safeguard national security in a dynamic risk environment.²¹

²⁰ United States, White House, *FY2011 Budget* (Washington, D.C. White House, 2010) 25.

²¹ United States, National Security Professional Development Integration Office, *National Strategy for the Development of Security Professionals* (Washington, DC: White House, 2007) 2-3.



The remainder of this report describes the progress that has been made in building this workforce and the work that remains to further develop the individuals, organizations, and systems required for its success. The report describes how the Janet Smiths and John Langs of the future could be better prepared for the enormous challenges that will confront them.

3. CREATION AND DEVELOPMENT OF THE CURRENT SYSTEM

The purpose of this chapter is to lay out the dimensions of the current system and to provide the analysis that identifies what works and what does not. It covers lessons learned and successful practices gleaned from current programs and several previous transformation efforts. The analysis sets up the issues that are to be addressed in Chapters 4 and 5.

3.1 FOUNDATIONS OF THE NSP PROGRAM

Improving collaboration between federal departments and agencies to create a more effective and efficient government has been a much sought after goal for the past half-century. Studies of government programs are replete with examples of the confused, uncoordinated, and counterproductive efforts of agencies that failed to work together. Although numerous instances of failed coordination in the national security arena existed in the 20th century, the failures of the past ten years have heightened awareness of the problem and resulted in numerous efforts to better coordinate agencies' responses to critical events. A thread that runs through all of these efforts is the need to attract, train, and retain a well-qualified workforce to work across organizational boundaries. The table below outlines some of the key efforts regarding training and development for national security professionals.

Figure 4: Key Background Events in Addressing Training and Coordination of NSPs

Year	Event	Description
1976	Creation of the National Defense University (NDU)	NDU's mission is to prepare military and civilian leaders from the United States and other countries to evaluate national and international security challenges through multi-disciplinary educational and research programs, professional exchanges, and outreach.
1986	Passage of the Goldwater-Nichols Act	Goldwater-Nichols strengthened authority of joint officers and organizations to enable the effective integration of military planning, resource allocation, and operations.
2001	Phase III Report: Hart-Rudman Commission	Report conclusion: The United States "must redesign not just individual departments and agencies but its national security apparatus as a whole. Serious deficiencies exist that cannot be solved by a piecemeal approach."



Year	Event	Description
2004	Report of the 9/11 Commission	Report conclusion: “no one was firmly in charge of managing the case and able to draw relevant intelligence from anywhere in the government, assign responsibilities across the agencies (foreign or domestic), track progress, and quickly bring obstacles up to the level where they could be resolved.”
2005	Report: Beyond Goldwater-Nichols: U.S. Government and Defense Reform for a New Strategic Era, Phase 2	Report conclusion: “Interagency operations are no longer rare. Yet crises are still managed largely on a case by case basis, with interagency coordination mechanisms reinvented each time.”
2006	Report: Federal Response to Hurricane Katrina: Lessons Learned	Report conclusion: “In terms of the management of the Federal response, our architecture of command and control mechanisms as well as our existing structure of plans did not serve us well. Command centers in the Department of Homeland Security (DHS) and elsewhere in the Federal government had unclear, and often overlapping, roles and responsibilities that were exposed as flawed during this disaster.”

3.2 BACKGROUND

To provide a more structured approach to National Security Professional development, President George W. Bush signed Executive Order 13434 on May 17, 2007. The executive order stipulated that the policy of the United States was to integrate the approach to National Security Professional Development (NSPD) in order to:

- *enhance the national security of the United States, including preventing, protecting against, responding to, and recovering from natural and manmade disasters, such as acts of terrorism*
- *promote the education, training, and experience of current and future professionals in national security positions [...] in executive departments and agencies...*

The executive order mandated the development of a National Security Professional Development Strategy to:

set forth a framework that will provide to security professionals access to integrated education, training, and professional experience opportunities for the purpose of enhancing their mission-related knowledge, skills, and experience and thereby improve their capability to safeguard the security of the Nation. Such opportunities shall be provided across organizations, levels of government, and incident management disciplines, as appropriate.



The National Strategy for the Development of National Security Professionals was issued in July 2007. The Strategy defined National Security Professionals (NSPs) as Federal employees in positions responsible for developing strategies, creating plans to implement, and executing missions in direct support of U.S. national security objectives. NSPs have a role in:

- Identifying, reducing or eliminating risks
- Preventing, protecting against, or responding to known or potential threats
- Mitigating against, responding/recovering from attacks, major disasters, international crises, supporting National Special Security Events, and other emergencies
- Continuity of Operations and Continuity of Government initiatives

The Strategy also specifically identified National Security Professionals as those:

- Who are located in the United States or abroad
- Who work on both traditional national security missions as well as homeland security missions
- Who need to coordinate with other federal departments and agencies, state, local, territorial and tribal governments, the private sector, non-governmental organizations, foreign governments, and international organizations

The definition of a National Security Professional (NSP) is discussed in more detail later in this chapter. In addition, the Glossary – section 8 of the Appendix – contains basic terms that are relevant to this study.

The Strategy set forth a framework designed to enhance the capability of National Security Professionals. Specifically the strategy called for:

a formal national effort to attain a robust and integrated national security professional development program through access to education, training, and professional opportunities that enhance national security professionals' mission-related knowledge, skills, abilities, and experience. The successful performance of missions within each phase or function of defense, prevention, protection, response, and recovery – both military and civilian – are inextricably linked, and depends upon heightened collaboration and a mutual understanding

The Strategy identified three fundamental pillars that an NSPD system must include:

- *Education: Opportunities to enhance a person's capacity for critical and innovative thinking, and level of understanding of authorities, risks, responsibilities, and tools to perform a current or future national security mission successfully*
- *Training: Opportunities to enhance, exercise, or refine a person's ability to apply knowledge, skills, and abilities in performing national security missions*
- *Professional Experience: Opportunities to enhance a person's capabilities to perform national security missions through career and personal development and expanded professional experiences*



The intended outcomes of NSPD education, training, and professional experience were to:

- Better understand partner organization objectives and mission requirements, interdependencies and synergies between the public and private sectors, and different organizational cultures
- Enable professional development to transcend organizations, levels of government, missions, and specific national security disciplines
- Improve the overall capability to safeguard national security in a dynamic risk environment

The NSPD Implementation Plan, issued in August 2008, laid out the details of the training, education, and professional development, outlined timelines for implementation, and called for the development of goals and metrics to measure success.

In response, the individual departments and agencies identified as having national security responsibilities developed implementation plans. These plans were designed to guide the development of National Security Professionals within that department and reinforce the essential requirement for optimized interagency and intergovernmental approaches to threats in the new and evolving national security environment.

3.3 MANAGEMENT

Executive Order 13434 and the Strategy and Implementation Plan for National Security Professionals set forth an agency-centric program. Significantly, the strategy made it clear that the NSPD program would not establish “a single human resource or career development standard,” but would instead coordinate the various departments and agencies’ development of NSPs.

The Executive Order established the NSPD Executive Steering Committee (ESC), chaired by the Office of Personnel Management (OPM), to facilitate the strategy implementation. Specifically, the ESC was to “coordinate, to the maximum extent practicable, national security professional development programs and guidance issued by the heads of agencies in order to ensure an integrated approach to such programs.” This included developing the NSPD Implementation Plan, recommending changes to the National Strategy, and coordinating NSPD programs and guidance issued by the heads of agencies. The ESC met a few times in the last half of 2008 and once in January 2009. The committee was comprised of representatives of the 17 departments and agencies specified in the executive order and was chaired by the Director of OPM. In late 2008, leadership of the ESC was transferred from the Director of OPM to the Deputy Director for Management of the Office of Management and Budget (OMB). In late 2009, after a strategic pause by the new administration, an Interagency Policy Committee (IPC) assumed the responsibilities of the ESC.

In addition to the ESC—now the Interagency Policy Committee (IPC)—the National Security Education and Training Consortium (NSETC) Board of Directors was established to oversee the development of an education and training program to support a cadre of national security professionals. The NSETC board advises on education and training strategies. It encourages cooperation and collaboration among consortium members by sharing existing as well as new,



innovative approaches to national security education and training. It also leverages limited education and training funds by identifying or supporting the development of joint/interagency courses and facilitating interagency enrollment.

A final key management component of the current system is the NSPD Integration Office (NSPD-IO), which is responsible for helping the IPC execute the NSPD Implementation Plan, coordinate interagency activity, and monitor progress in support of the plan. The Department of Defense (DoD) funds the NSPD-IO, which reports to the National Security Staff. The NSPD-IO periodically meets, on an individual basis, with the IPC members to update them on the status of the program, provide guidance and leadership, monitor the status of the individual agency implementation efforts, and listen to their concerns.

3.4 INFORMATION SYSTEMS

Effective and efficient system management requires coordination between and among agencies, supported by information system(s) which:

- Record and track employee-specific information, such as assignments, pay and promotions across multiple organizations,
- Support the education and training mandates of the Executive Order,
- Provide a website or similar information sharing mechanism so that information can be shared between and among agencies.

The NSPD national strategy planning documents instruct the departments and agencies to explore the use of internal Human Resources Information Systems (HRIS) to track NSPs and to provide career development tools through agencies' Learning Management Systems (LMS). The departments and agencies took an interest in offering courses online to support the National Security Education and Training Consortium (NSETC) and to have a "virtual" national security university.²² The departments and agencies declared they would meet on developing online initiatives through the NSPD Content Management Working Group that managed the NSPD website, www.nspd.gov. They would also use the federal E-Training website, www.golearn.gov.

The great diversity of missions, sizes, personnel systems (e.g. civilian, Foreign Service, Public Health Service, military), the general rigidity of the existing HR information systems, and the expense of defining, developing and implementing a set of common elements into an already existing HR information system frustrates efforts to develop an information system to track personnel, pay, and promotion across multiple entities. The NSPD website which served as a focus point for NSP education and training and other relevant information was closed down shortly after the 2009 change of administration when the two agencies providing the funding withdrew their financial support. This lack of a central portal for NSPs and their organizations to share and exchange information continues to be a significant problem.

Finding: The difficulties that NSPD-IO and the federal agencies are encountering in their search for information technology systems to support their interagency and collaborative efforts are not

²² United States, Department of State, *U.S. Department of State National Security Professional Implementation Plan* (15 September 2008) 18.



surprising. As with other administrative systems, such as human resources and budgeting/funding systems, these systems are designed to support the industrial age vertical organization structures of departments and agencies, not the interagency and collaborative mechanisms that are needed to support the emerging NSP profession.

3.5 CURRENT EFFORTS BY DEPARTMENTS AND AGENCIES

This section discusses current efforts among the 13 departments and their subordinate agencies with national security missions to implement the national security professional development program. It focuses on (1) the professional development of NSPs including capabilities, training, and interagency assignments; (2) incentives to encourage development; (3) issues associated with funding; and (4) the inclusion of the military and state and local officials in the program. Appendix 7.3.1 contains a short summary of the results achieved by various departments and agencies who have implemented an NSPD program.

Additionally, the Departments of Defense, State, Homeland Security, and the Office of the Director of National Intelligence Programs have developed several programs designed to enhance national security and interagency cooperation. PNSR analyzed these efforts as a way to develop lessons learned from previous initiatives.²³ These programs are briefly described Appendix 7.3.2.

3.5.1 PROFESSIONAL DEVELOPMENT

A critical component of any professional development program is the identification of capabilities that would benefit from education, training, and professional experience, including interagency assignments.

CAPABILITIES

In a move to provide consistency across departments and agencies, the NSPD Implementation Plan lists eight basic shared capabilities for NSPs. The Table below outlines shared capabilities as defined by the NSPD Interagency Policy Committee which updated the original shared capabilities list.

Figure 5: National Security Professional Shared Capabilities²⁴

Capability	Description
Strategic Thinking	NSPs must understand the country's national security strategy and the various documents that convey it. They must also be able to: envision future states in collaboration with other agencies; think strategically; and engage in interagency strategic planning.

²³ Note, these 12 programs were specifically identified in the Statement of Work for the study.

²⁴ Adapted from: "Core Capabilities", The National Security Professional Development – Interagency Policy Committee.



Capability	Description
Critical and Creative Thinking	NSPs must be able to: analyze problems in concert with other agencies; seek out, evaluate, and synthesize information from multiple sources; assess and challenge assumptions; and offer alternative and creative solutions/courses of action.
Leading and Working with Interagency Teams	NSPs in leadership roles must be able to: create a shared vision and unity of purpose among participants; win confidence and trust; effectively utilize the knowledge, skills, and resources of team members; develop/mentor staff from other agencies; ensure collaborative problem-solving; and manage internal conflicts.
Collaborating	NSPs must be able to: work with other agencies to accomplish goals; build and maintain networks/relationships that span agencies; and promote an environment that encourages collaboration, integration, and information/knowledge sharing, to include intelligence sharing.
Planning, Managing and Conducting Interagency Operations	NSPs must be able to develop plans (strategic and operational); execute and monitor interagency operations (e.g., be adept at budget/financial management/evaluation in an interagency environment); maintain strong political and situational awareness; consider resilience and <u>other core principles</u> ; and navigate interagency decision-making processes (e.g., technical level, policy level, political level).
Maintaining Global and Cultural Acuity	NSPs must maintain an integrated understanding of factors that influence national security; knowledge of relevant domestic and foreign cultures and histories; and foreign language proficiency, if required by position. NSPs must also be familiar with the structures, processes, and cultures of the other agencies with whom they work. Additionally, they must be “interagency savvy.” NSPs must understand the interagency working environment, the roles and authorities of each organization involved in national security, official and unofficial interagency processes, and cultures of other agencies involved in national security. They must be able to identify the internal and external politics that impact the work of the interagency organizations, approach national security issues with clear perceptions of organizational and political reality, recognize the impact of alternative courses of action, and maintain the flexibility to operate under conditions of uncertainty.
Mediating and Negotiating	NSPs must be able to mediate and negotiate, from an interagency perspective, with partners and stakeholders.
Communicating	NSPs must be able to clearly articulate information (written and verbal), read non-verbal cues, manage the expectations of diverse groups, listen actively, and tailor communications approaches to different circumstances and audiences.

The identified shared capabilities correspond to existing competencies for many positions and especially the Senior Executive Service fundamental competencies. However, the NSP shared capabilities focus to a greater extent on the interagency and global awareness than do the Senior Executive Service (SES) competencies. A comparison table is in Appendix 7.2.2.



All of the analyzed departments and agencies identify core NSP capabilities. Some simply espouse the eight NSPD shared capabilities while others actually incorporate their own SES agency-specific skills into the mix and adopt or adapt some iteration of the NSPD education/training/professional development model for development, promotion, and assignment. Most identify courses, either internally developed or offered by other agencies that can help provide the needed capabilities and skills.

TRAINING, EDUCATION, AND ROTATIONAL ASSIGNMENTS

In developing the prerequisites for NSP designation, most departments and agencies abide by the NSPD directive that NSPs are at the GS-13 to SES grade levels. These grade levels represent, for the most part, the leadership or future leadership in these agencies. Over the past decade agencies paid particular attention to leadership training as part of their human capital development programs. OPM's Human Capital Assessment and Accountability Framework includes a Leadership and Knowledge Management System to help agencies assess their ability to develop their future leaders.

Leadership training and development is an ongoing educational process in most departments and agencies with many having separate leadership development programs to ensure their workforce plans can be met. The leadership training programs focus on each agency's unique leadership needs but all include basic leadership skills which incorporate the basics of the NSPD core capabilities. The breadth of offerings can be seen at the OPM website under Leadership Training where agencies list some of their offerings, the eligible grade levels, and course descriptions.

In addition to already established leadership training, the 13 NSP departments and agencies identified for this study have developed a variety of programs to further educate NSPs. Most of the agencies have instituted basic programs covering:

- National security orientation
- National response framework
- Emergency management orientation training

Although some departments and agencies share their programs with other agencies, most have opted to create their own programs either for budgetary reasons or because they characterize their agency needs as unique. Many of the departments and agencies also use the Federal Emergency Management Agency (FEMA) Emergency Management Orientation Program, but present it in-house. The intelligence community and the Departments of State and Defense are the primary exceptions to this rule. They share programs extensively with each other, and on a space-available basis with other NSPD agencies.

Proper sequencing of training and education programs/courses and rotational assignments is necessary to optimize investments, outcomes, individual, team, organizational, and NSPD community performance. To date, little emphasis has been placed on the proper sequencing of NSPD training, education programs or courses, and rotational assignments.

The following Table represents a sampling of the programs/courses that the various agencies have developed.

**Figure 6: Examples of National Security Programs/Courses Offered by Departments²⁵**

Agency	Programs	Skills/Capabilities	Career Stage
Department of Commerce	Orientation programs		SES
Department of Defense	<ul style="list-style-type: none"> • Orientation programs • A catalog of available courses • Existing programs: DSLDP, ELDP, and PME • National Defense University and war college courses 	<ul style="list-style-type: none"> • Understanding: national strategies, interagency challenges • NSPD shared capabilities • Interagency professional development 	GS-13/SES / military equivalent
Department of Energy	<ul style="list-style-type: none"> • Orientation programs • Web-based training • Existing programs: National Nuclear Security Administration Emergency Operations Training Academy, OSS National Training Center 	<ul style="list-style-type: none"> • DoE roles in national security • DHS roles in national security • National security objectives, structures and processes • Interagency experience 	GS15
Department of Health and Human Services	None (HHS does not have a centralized training and education office)		
Department of Homeland Security²⁶	<ul style="list-style-type: none"> • Various education programs • Professional Development Experience 	<ul style="list-style-type: none"> • Understanding national strategies, interagency challenges • Developing innovative solutions to homeland security challenges • Understanding other DHS organizations • Building trust • Minimizing obstacles to coordination 	SES

²⁵ Source: PNSR compilation of data from departments and agencies.

²⁶ DHS programs have been sequenced and are time-phased to optimize investments, desired outcomes, and performance behaviors.



Agency	Programs	Skills/Capabilities	Career Stage
Office of the Director of National Intelligence	<ul style="list-style-type: none"> • Certificate programs • Emergency management/homeland security exercises • Online communities • Center of Academic Excellence Program • IC Joint Duty Program 	<ul style="list-style-type: none"> • Emergency Management • Value of integrated approaches • Information sharing • Understanding IC 	G-13/SES
Department of the Interior	No information provided		
Department of Justice	A catalog of available courses		GS-13/SES
Department of State	<ul style="list-style-type: none"> • POLAD (State-Defense Exchange Program) • Joint Interagency Coordinating Groups • Political-Military Affairs Course • Foreign Policy Advisors Orientation • National Security Exec Level Seminar • Understanding the Interagency 	<ul style="list-style-type: none"> • Foreign policy, diplomatic practices, international relations • Foreign policy and defense • Combat support • Relating national security policy to political military work • Responsibilities as advisors to military leaders • Leadership skills in policy formation and implementation • National security framework, agency cultures, collaboration 	GS-9/15 FO-02/Senior Foreign Service GS-15/SES GS-13
Department of Transportation	Some basic orientation to national security		GS-13/SES
Agency for International Development	No information provided		
Department of Agriculture	<ul style="list-style-type: none"> • National Response Framework • National Incident Management System 	<ul style="list-style-type: none"> • Emergency management • Value of integrated approaches • Information sharing 	GS-13/SES

In summary, all of the departments and agencies cite the education/training and rotational assignments as sources for development of shared NSPD capabilities. The minimum standards for SES candidates also provide a source of development. The United States Department of



Agriculture (USDA) the Department of Transportation (DoT), and the Department of Health and Human Services (HHS) consider their NSP contribution as the ability to provide subject matter experts to specific projects and do not believe that their subject matter experts will gain substantial benefit from traditional 6-12 month rotational assignments outside their areas of expertise. They do, however, embrace the concept that understanding the interagency/intergovernmental cultures and processes is essential to successful performance of their responsibilities should a situation require their participation. The way these cultures and processes are learned, and kept up to date, need to be tailored to the type of contribution USDA and DoT experts make to national security issues and crises. Department of State and the National Foreign Affairs Training Center courses, which are required for Foreign Service Officers for promotion and job assignment, are also open to participants from other agencies on a reimbursable basis. In fact, about half of the participants are from other agencies. Each course focuses on interagency cooperation and capabilities.

Finding: A wide variety of national security training is available. For the most part, the quality of the offerings has not been evaluated except as it meets the needs of the specific audiences to which they are presented. There is little or no formal coordination between and among agencies in the national security orientation that NSPs receive from their individual agencies.

3.5.2 COORDINATION

This section discusses coordination issues, including rotations and interagency assignments. A key part of the professional development of NSPs was intended to take place through professional experience. With the strong emphasis on interagency and “jointness,” important professional experience is gained through interagency assignments.

Interagency assignments come in different forms, including rotations, exchanges, and details. These types of assignments are an integral component of talent development plans in the public and the private sectors. Within the U.S. Government, intra-agency and interagency assignments are used extensively to train personnel from GS-9 to GS-15 levels. Examples of programs with rotational assignments include the government-wide Senior Executive Service Career Development Program and the Presidential Management Fellows program. A number of agencies also include such assignments as part of their agency-specific leadership development programs. In addition, the intelligence community has implemented a “Joint Duty” program to develop interagency awareness and knowledge. The Department of Defense has encouraged joint assignments for military personnel within DoD in compliance with the Goldwater-Nichols Act.

Finding: Properly designed interagency assignments create an opportunity for agencies to provide personnel with an accelerated learning experience that can lead to demonstrable results for both the individual and the employers. Interagency assignments are also critical tools for establishing working relationships and strengthening collaboration across organizational units and agencies. They are essential in professional development for interagency and intergovernmental national security professionals.



BARRIERS TO INTERAGENCY ASSIGNMENTS

There are numerous real and perceived barriers to interagency assignments. The following section enumerates some of these barriers including overarching concerns, home agency and gaining agency issues, and individual challenges. The information provided represents a synthesis of agency issues and concerns regarding interagency assignments.

Overarching concerns:

- **Lack of buy-in:** One of the obstacles to full buy-in and stakeholder involvement in the NSP program is the lack of ownership and empowerment. As with any endeavor, stakeholders are more likely to support an initiative when they feel empowered and included in the decision-making process. Additionally, agency implementation of the NSP program without full engagement, in an attempt to merely “check the box,” will not ensure its success or long term viability.
- **Unclear definition of the interagency and intergovernmental aspects of National Security Professionals:** A lack of clear definitions continues to challenge the NSP program. National security professionals come in all shapes and sizes. Some will spend their entire professional career fully engaged in interagency national security work. At the other end of the spectrum is the individual who may be called upon once in a career to work interagency national security issues. Each must know how the interagency and intergovernmental systems work, but how and when that goal is accomplished takes very different approaches. The vagueness in the definition allows for multiple interpretations and serves as an impediment to a shared understanding and appreciation of the goals and objectives of the program. This situation poses a challenge because it allows agencies significant leeway in defining their roles within this interagency national security system.

Finding: There is a risk that agencies will define their interagency and intergovernmental roles using the same rationale that has led to silos and stovepipes within the federal government legacy national security system, an approach which will impede transformative change in the way we manage and solve national security threats.

- **Absence of guidance on the objectives and expected outcomes of interagency and intergovernmental exchanges and rotational assignments:** In order for rotational assignments to be effective, there must be clear descriptions of the learning objectives of the rotations and the expected outcomes for the participating agencies and individuals.

Finding: A review of current programs reveals that the most successful examples, such as the Senior Executive Service Career Development Program, have very clear guidance on the goals of rotational assignments and the expected outcomes for the participating organizations and individuals.

- **Tracking of National Security Professionals on rotational assignments:** Another challenge of interagency and intergovernmental assignments is the difficulty it presents in tracking personnel. A 2008 report by the Congressional Research Service estimates that National Security Professionals (NSPs) will include at least 20,000 federal government employees, of which about 1,500 will be SES positions and the rest GS-13 through GS-



15 positions (and their rank equivalents).²⁷ The Congressional Research Service estimates do not include military personnel, the Foreign Service or the Intelligence Community. If these agencies are included in the NSP program, the figures could be larger.²⁸ Technically, most positions within the Department of Defense could logically fall within the rubric of national security. The challenges associated with management information systems to track NSP personnel are discussed in greater detail in Appendix 7.2.1.

Finding: While Human Resource Information Systems like the Enterprise Human Resources Integration have facilitated human resource planning, they currently do not provide for tracking personnel on rotational assignments.

- **Funding:** Another challenge with rotational assignments is determining who pays for personnel during their period away from the home agency. Currently, developmental assignments, such as the SES Candidate Development Program, are paid for by the home agency. The costs of rotational assignments include the salary and in some cases, the cost of relocation and per diem.

Finding: Given the financial investment, it is critical that rotational assignments are ultimately beneficial to both the participating agencies.

- **Weak incentives:** Without a compelling business case supported by incentives for participation, rotational assignments will fail to have the desired impact on professional development. Typically one of the challenges to rotational assignments has been the perception that they represent a loss of good employees. Agencies and managers are often unwilling to allow their staff to go on rotations because of the additional burden it creates in terms of backfilling the position and the potential loss in productivity.

Finding: Changing the status quo will require incentives at the organizational and individual levels. Incentives are discussed in more detail in Section 7.2.2.

- **Reciprocity:** Generally, agencies have concerns that there will be a higher demand for rotations within some agencies than there will be in others. The risk is that one agency would send an employee to an agency and not receive another employee in return.

Finding: While there does not need to be an absolute one-to-one exchange between two specific agencies, there does have to be a modicum of balance between and among agencies. If certain agencies cannot achieve this balance, they are less likely to receive full benefits which may accrue from rotational assignments.

- **Lack of information on available opportunities:** Another barrier to interagency assignments is a lack of information on the kinds of rotational assignments available to NSPs. Knowing the kinds of programs that would be career enhancing enables managers to integrate these assignments in the individual plans of their staff, as well as enable individuals to better plan.

²⁷ Catherine Dale, *Building an Interagency Cadre of National Security Professionals: Proposals, Recent Experience, and Issues for Congress*, Congressional Research Service, July 8, 2008.

²⁸ While Executive Order 13434 places the Departments of Defense and State and the ODNI in special status, the Department of State includes both Foreign Service and civil service positions and people in its NSP planning and career development requirements.



Finding: A central information source on rotational assignments should be available for the use of agencies and employees.

- **Difficulties in reciprocity of security clearances:** The security clearance granted by one agency is not always accepted by another agency. U.S. Government agencies do not always share relevant information with their national security partners due to a lack of clear guidelines for sharing information and security clearance issues. The clearance problem is even more severe when one considers state and local partners. This vertical problem actually runs two ways. Not only do excessive restrictions limit the availability of information local bodies need to counter threats in their areas of responsibility, but some local entities are reluctant to share data with federal authorities because it becomes classified on the way up, thereby limiting its use at the local level, where security clearances are harder to obtain.

HOME AGENCY CONCERNS

- **Management and administrative burden:** When employees leave for rotational assignments, even for a relatively short period of time, managers must find a way to get their work done. Agencies that are small, short-staffed, or that require highly specialized personnel find this especially difficult. In some cases, managers discourage employees from going on rotational assignments for fear of the challenges presented in backfilling and training a temporary replacement.
- **Opportunity cost of interagency assignment:** The opportunity costs of interagency assignments can be high, especially in highly specialized agencies where it is difficult to temporarily replace personnel. Furthermore, lost training, productivity, and financial costs arise when personnel participate in developmental rotations. These aggregate costs often make rotational assignments an unpalatable option for managers.
- **Evaluating assignee performance:** It is often difficult to evaluate staff performance when they are on assignments in other agencies. Acceptance of another agency's evaluation can also be problematic.

GAINING AGENCY CONCERNS

- **Administrative and managerial burden:** For gaining agencies a concern is managing the new employee who may not have the necessary skill set to operate at maximum effectiveness immediately. There may be issues such as training the assignee, including him/her in the agency personnel database, processing clearances, and performing performance evaluations. In some cases, there may be a steep learning curve and adjustment to the organizational culture that can slow productivity at the onset.

INDIVIDUAL CONCERNS

- **Fears of rotational assignments as a career disruption:** In some cases individuals may perceive rotational assignments as a career disruption. This fear has been confirmed by cases within the federal government where rotations proved to be career detracting rather than enhancing – the popular adage "out of sight, out of mind" seems to hold.



- **Concerns about reintegrating into the agency:** Concerns about reintegrating into home agencies after long assignments is also an issue. Some of the concerns include perceptions of disloyalty that assignees may have to contend with.

Finding: Without a more systemic approach to rotational assignments, agencies and employees will continue to find rotational assignments a cause for concern.

Finding: None of the above represents unsolvable problems, but their presence is indicative of the absence of a clearly articulated set of agreed policies and procedures to guide interagency assignments. As part of the evolution of a career development and management system for national security professionals these problems associated with interagency assignments must be resolved.

The information discussed is specifically related to issues of exchanges between and among federal organizations. Intergovernmental exchanges can face similar challenges. But they, too, can be resolved if there are a clear set of policies and procedures which take into account the specific circumstances which apply to intergovernmental assignments. A more detailed discussion of the intergovernmental facets of assignments is found in Section 7.2.4, which discusses state and local government issues.

3.5.3 INCENTIVES

Providing incentives and appropriate recognition of staff are critical components of an effective hiring and retention strategy. The agencies that have or are in the process of implementing NSP programs have a variety of incentive awards and HR mechanisms to use as incentives and recognition for achievements, e.g., individual vs. group; intrinsic vs. extrinsic; monetary vs. non-monetary; and tangible vs. intangible. The more effective incentives tend to be “intrinsic” meaning they tend to be based on what individuals value most. Given that people have different value systems, it is difficult to design incentive programs that will have the same effect on large groups of individuals. The NSP work environment, which is heavily mission oriented and occupied by senior subject matter experts, lends itself to more intrinsic incentives such as employee engagement, passion for mission, education and professional development, and service under strong/effective leadership. Studies show that rewards are only motivating when they are meaningful to the individual receiving them. There is often differing opinions as to what is meaningful and the most successful firms turn to studies and surveys to determine the types of rewards to offer.

The following chart shows the difference between what employees valued when choosing a new position and what the employers viewed as most rewarding.²⁹

Figure 7: Employee vs. Employer Perspectives on Rewards

Ranking	Employee View	Employer View
1	Competitive base pay	Competitive base pay

²⁹ Towers Watson, *2010 Global Talent Management and Rewards Survey Report*, 2010.



2	Challenging work	Reputation of the organization as a great place to work
3	Convenient work location	Challenging work
4	Opportunities for career advancement	The business/industry of the organization
5	Vacation/holiday/paid time off	Opportunities to learn new skills
6	Reputation of the organization as a great place to work	Opportunities for career advancement
7	Flexible schedule	Organization's financial health

Though both employees and employers ranked competitive base pay as the number one reason for considering a position, more intrinsic rewards followed in close order. Interestingly, 74 percent of firms' current employees ranked compensation as the most important factor. The following chart shows the five most important factors chosen by current employees.³⁰

Figure 8: Factors Important to Employees in their Current Jobs

Factors Important to Employees	% of Employees Responding Yes
A secure and stable position	87%
Substantially higher levels of compensation	74%
Opportunity to rapidly develop my skills and abilities	62%
A wide range of jobs and work experiences	55%
Opportunity to develop innovative products/services	39%

Finding: This study, along with many others, bears out the premise that although employees want to be fairly compensated for the work they do, employers should also address growth needs, advancement potential, increased responsibility, and appropriate recognition when engaging their employees. In addition, Towers Watson found that improving communication of rewards can have a greater impact on employee satisfaction, and at a lower cost, than increasing the actual cash value of those rewards.

More detailed information about incentives is found in Appendix 7.2.2.

3.5.4 FUNDING

All current funding for NSPD programs resides in the agencies. Each agency prioritizes its existing budget to allocate sufficient funding for their respective NSPD programs. To date, that NSPD implementation has occurred without the benefit of separate funding from OMB or Congress. The following examples illustrate funding issues.

- The *Joint Agency National Security Professional Development Implementation Plan* produced by Department of Agriculture, Department of Commerce, Department of Education, Department of Housing and Urban Development, Department of Labor, Office of Personnel Management, and Department of the Interior states that no

³⁰ Towers Watson, *2010 Global Talent Management and Rewards Survey Report*, 2010.



substantial resource reallocation is planned and all the programs will be funded out of their existing budgets.

- The Department of Defense NSPD Implementation Office states that it does not have a central budget to fund NSP-related training or professional development and each organization would be responsible for any expenses occurred.
- The Foreign Service Institute provides more than 450 courses each year to staff from 47 different agencies. All the courses are free for employees of Department of State, but they are open to staff of other agencies for a fee.
- Seed funding for the NSPD-IO website was withdrawn by the supporting agencies in 2009.
- Department of Homeland Security FEMA funds grants for which state and local entities can apply to send people to the Naval Postgraduate School – approximately \$15 million per year.

Many agencies express concern for inadequate funding to conduct NSPD and similar programs. This is likely a result of their not adequately seeing how the benefits of NSPD fit into their agency mandates to be worth the cost of reallocated money.

- Department of Commerce believes—as similar to the other departments and agencies with smaller national security roles—it will need financial and other support as not to be overwhelmed by scope of requirements. Almost no existent NSPD programs, and no ongoing programs are funded. Smaller agencies feel they have to leverage larger departments/agencies for future NSPD programs.
- At least one department representative commented on the lack of funding for backfills when employees go on rotational assignment from their department. They suggested making the details reimbursable and to provide funding for joint duty assignments so that backfilling is more possible. They reiterated the need for increased financial support for NSPD programs such as rotational assignments. It was further noted that if funding for NSPD is to be centrally managed, it needs to be earmarked because small agencies might otherwise lose out.
- USDA is concerned about the budgetary implications of, and barriers to, developing training programs for NSPs. Letting agencies develop their own NSPD programs may hinder NSP initiatives given the lack of financial resources. From agency interviews conducted July-October 2010, it was noted that it would require budgetary cuts in other areas to fund NSPD programs.

The few NSPD programs that are open to multiple agencies developed slowly and are piecemeal. There is currently a lack of common vision among the agencies, which has led to an uneven budget commitment.

- The Civilian Response Corps, housed in the Department of State’s Office of the Coordinator for Reconstruction and Stabilization encompasses cooperation from eight federal departments and agencies, but the level of funding is uneven amongst the participants.
- Department of Energy’s energy security specialists advise multiple Combatant Commands through three- to four-year term assignments that are funded by Department of Defense.



- Department of Energy funds billets for DoE personnel in embassies of “key countries.” However this has experienced serious funding challenges.
- Department of Defense and the Department of the Treasury’s Office of Intelligence and Analysis jointly fund Threat Finance Cells in Iraq and Afghanistan.

More details about funding issues are found in Appendix 7.2.3.

3.5.5 INCLUSION OF MILITARY, STATE, AND LOCAL COMPONENTS

The NSP Strategic Plan notes that national security professional development needs to consider the role of and coordinate with state and local government and the private sector. Coordination with the military is also regarded as important. However, the execution of NSP programs to date has largely excluded the military, state, and local government officials and the private sector. For example, the Department of Defense’s implementation plan for Executive Order 13434 is applicable only to civilian employees.³¹ In agency interviews conducted July-October 2010, it was noted that although all military officers are “national security professionals” they have no plans to formalize their inclusion in programs based on Executive Order 13434.

INCLUSION OF MILITARY COMPONENTS

While the active military is not involved in NSP programs under Executive Order 13434, the military’s intra-agency integration is extensive based on the Goldwater-Nichols legislation of 1986, and a significant amount of military educational curriculum addresses the need for interagency collaboration. For example, all of the war colleges – service and national – now conduct end-of-year exercises focused on the interagency aspect of the national security system.

The Goldwater-Nichols legislation increases the authority of joint officers and organizations, restructured military commands, established requirements for education and experience in field grade joint positions for promotion to general/flag officer rank, and established requirements for joint boards and reviews on numerous matters. Although the system is only applicable to individuals in the grade of major (or lieutenant commander) and above, it is “workforce based” rather than cadre based. Joint education and experience is required of all regular line officers to be eligible for general/flag officer promotion. The law also requires that individuals with joint experience get at least equal rates for promotion compared to others.

The military’s program for interagency integration is far less formal, consisting of limited education and training materials, emerging doctrine, limited cross-assignment of personnel with other departments and participation in interagency processes, primarily by members of the Joint Staff. Recent initiatives stress the need for improved interagency capabilities, including participation in the intelligence community and support to civil authorities, regional combatant commands, and specialized interagency task forces and teams. Joint credit is now being given for formal assignments and duty with other agencies, although the number of individuals

³¹ United States, Department of Defense, Department of Defense Civilian National Security Professional Development Implementation Plan (19 Sept. 2008) accessed October 2010
<http://www.cpms.osd.mil/ASSETS/850366BF76BE4409BBD1C01596E85B8F/Draft%20DOD%20NSPD%20IP%20Sept%2019%20v6.pdf>.



involved is substantially less than those serving on joint military staffs drawn from the four services.

The military's approach to "jointness" is an important example of how legislatively directed integration programs can result in major changes to government performance. As the requirements of Goldwater-Nichols legislation have been fully implemented the problems arising from service redundancy and lack of collaboration have substantially moderated. The most obvious manifestation of this change is greatly improved performance in combat operations, as combatant commands and joint task forces integrate their actions, manage the complementary use of subordinate service component units, and set the conditions for tactical interoperability. Achieving this level of success through integration has not been accomplished by education, training and experiential requirements alone. It is also a consequence of the integration of authority at the national, regional, and joint task force level, as well as the requirements and incentives for joint service as a condition of promotion to flag or general officer, and the development of an aggressive joint culture.

INCLUSION OF STATE AND LOCAL COMPONENTS

As noted in the National Security Professional Development Implementation Plan: the Nation cannot view the missions of national security and homeland security as separate and distinct. In today's complex national security environment, risks have expanded far beyond the immediate site of a threat or incident. Commensurately, the scope and relationships of national security missions must mature to address those expanded risks.

Finding: The term "national security" should include both traditional national security and homeland security missions.

While the role of state and local officials is critical to addressing both national security and homeland security, it is especially important in times of national crisis arising from natural disasters. The 2006 White House *Federal Response to Hurricane Katrina: Lessons Learned* report calls for a professional development and education program for homeland security personnel. According to the report:

Over the long term, our professional development and education programs must break down interagency barriers to build a unified team across the Federal government. Just as the Department of Defense succeeded in building a joint leadership cadre, so the rest of the Federal government must make familiarity with other departments and agencies a requirement for career advancement. Where appropriate, interagency and intergovernmental assignments for Federal personnel must build trust and familiarity among diverse homeland security professionals.³²

The report recommended that the Department of Homeland Security specifically have the responsibility to "develop a comprehensive program for the professional development and

³² United States, White House, *Federal Response to Hurricane Katrina: Lessons Learned* (Washington, DC: White House, 2006) 65-82 <http://library.stmarytx.edu/acadlib/edocs/katrinawh.pdf>.



education of the nation's homeland security personnel³³, including Federal, state and local employees, emergency management persons within the private sector, non-governmental organizations, as well as faith-based and community groups. This program should foster a 'joint' federal interagency, state, local, and civilian team."³⁴

Similarly, the May 17, 2007, Executive Order 13434, National Security Professional Development, calls for establishment of a national security professional development program, a plan for interagency and intergovernmental assignments and fellowship opportunities and professional development guidelines for career advancement. It tasked the DHS Secretary to develop a program for federal, state, local, and tribal government officials to receive education in disaster preparedness/response/recovery plans and authorities and training in crisis decision-making skills.

In addition the July 2007 National Strategy for the Development of National Security Professionals stated the following with regard to development:

*The national security professional will need access to education, training, and opportunities to work in coordination with other Federal departments and agencies, State, local, territorial and tribal governments, the private sector, non-governmental organizations, foreign governments, and international organizations....*³⁵

With respect to education, the July 2007 Strategy spoke of an "Interagency Education System" and the tasking to:

*Identify the availability of existing education programs, facilities and institutions within the Federal Government, State, local, territorial, and tribal government, academic, non-governmental, and private sector institutions relating to national security mission areas. This effort should first focus on the identification of federal programs, facilities, and institutions, followed thereafter by the identification of such programs at the State, local, territorial, tribal, academic, non-governmental, and private sector levels.*³⁶

The Strategy similarly stated, with respect to training, the tasking to:

Identify the availability of existing training programs, facilities and institutions within the Federal Government, State, local, territorial, and tribal government, academic, non-governmental, and private sector institutions relating to national security mission areas. This effort should first focus on the identification of federal programs, facilities, and institutions, followed thereafter by the

³³ Though not necessarily exclusively, homeland security personnel missions and functions are in the realm of "borders-in" national security.

³⁴ United States, White House, *Federal Response to Hurricane Katrina: Lessons Learned* (Washington, DC: White House, 2006) 65-82 <http://library.stmarytx.edu/acadlib/edocs/katrinawh.pdf>.

³⁵ United States, National Security Professional Development Integration Office, *National Strategy for the Development of Security Professionals* (Washington, DC: White House, 2007) 2.

³⁶ United States, National Security Professional Development Integration Office, *National Strategy for the Development of Security Professionals* (Washington, DC: White House, 2007) 5.



identification of such programs at the State, local, territorial, tribal, academic, non-governmental, and private sector levels.

Regarding professional experience, the Strategy stated the tasking to:

Make available Federal national security assignments to personnel from State, local, and tribal governments, the public safety community, non-governmental organizations, and the private sector, as appropriate, and encourage State, local, and tribal governments to create similar opportunities for Federal employees.³⁷

Illustrating the import of the intergovernmental dimension to an INSP system, the NSPD Executive Steering Committee (ESC) determined in its August 1, 2008 National Security Professional Development Implementation Plan that the initial orientation training for NSPs would focus on the National Response Framework (NRF)—the national interagency and intergovernmental framework for management of domestic incidents rising to the level of a coordinated national response.³⁸ The plan also identified the critical importance of establishing an NSP “national security certification” and “a least administratively burdensome method” for database tracking of NSPs.³⁹

While the strategy and its implementation plan follow not from statute but rather an executive order by the previous administration, the intergovernmental dimension continues to be addressed by the Executive Branch with respect to NSPs. In an August 24, 2010 memo, the Deputy Administrator for Protection and National Preparedness, Federal Emergency Management Agency (FEMA), noted on the subject of “Establishment of a National Credentialing Program:

The National Credentialing Program will coordinate activities, incorporate policies, and recommend guidance and standards for credentialing all Federal Emergency Management Agency personnel and State, Tribal and local officials who require access to disaster areas or FEMA facilities during an emergency. This will not be a FEMA-only effort; we will work closely with our partners at all levels of government and with the private sector to develop the program.⁴⁰

Finding: The intergovernmental dimension of an INSP system must not be seen purely as a vertical dimension, i.e., in terms of federal, state, and local governments. A tenet of emergency management is “all disasters are local.” The NRF response doctrine holds, “Incidents must be managed at the lowest possible jurisdictional level and supported by additional capabilities when needed.”⁴¹ From the state and local perspectives, the *horizontal* intergovernmental dimension intrastate and interstate is equally—if not more directly—important in terms of developing NSPs. Complex, multi-site, multi-jurisdictional catastrophic events and situations often rise to

³⁷ United States, National Security Professional Development Integration Office, *National Strategy for the Development of Security Professionals* (Washington, DC: White House, 2007) 9.

³⁸ Cf. United States, National Security Professional Development Executive Steering Committee (ESC) *National Security Professional Development Implementation Plan* (1 August 2008) 8.

³⁹ *Ibid.* 16-17.

⁴⁰ Timothy W. Manning “Memorandum for all FEMA Employees: Establishment of a National Credentialing Program,” Department of Homeland Security (24 August 2010) accessed October 2010 <http://www.scfirechiefs.com/Memo%20to%20FEMA%20employees.pdf>.

⁴¹ *National Response Framework* (January 2008) 10.



the level of intrastate or interstate regional crises, versus national crises, where federal supporting assets alone are employed. Nevertheless, they still require interagency and intergovernmental management under mutual aid agreements or compacts governing collaborative use of personnel outside of their parent jurisdictions.

Presidentially-delegated authority covers the Executive Branch departments and agencies, their positions and personnel, but it does *not* extend to intergovernmental organizations and personnel. Federal, state, local, tribal, and territorial chains of command are separate. On top of these constitutional and sovereignty aspects, the homeland security space includes a multitude of disciplines whose certification processes are governed and administered by state-level professional boards. States and individual professions are thus resistant to the idea of national standards.

The February 2010 *Quadrennial Homeland Security Review* (QHSR) speaks of maturing and strengthening the Homeland Security Enterprise by fostering a unity of effort across a broad national culture of cooperation and mutual aid. First among its unity-of-effort objectives is the requirement to “build a homeland security professional discipline” by developing “the homeland security community of interest at all levels of government as part of a cadre of national security professionals.”⁴² The QHSR specifically refers to Executive Order 13434 and its effort to initiate a program to develop NSPs “through access to an integrated framework of training, education and professional experience opportunities.”⁴³ “As part of that effort, we must take steps to create a homeland security community of interest across the enterprise.”⁴⁴ Experience is “experience via developmental assignments,” and the QHSR speaks of “enterprise-wide approaches to enhancing homeland security professional development.”⁴⁵

The current foundational interagency and intergovernmental unity-of-effort framework structures and processes upon which the most of the homeland security enterprise have been based include the National Incident Management System (NIMS), National Response Framework (NRF), National Infrastructure Protection Plan (NIPP), Information Sharing Enterprise (ISE) and the various scenario and domain specific plans. NIMS and the NRF, for example, characterize the response area of the “white space” in which homeland security NSPs execute their missions and perform their functions. The Critical Infrastructure and Key Resources Support Annex to the NRF bridges steady-state and crisis-state coordination and execution. At the same time, the national security community, while sensitive to and cognizant of the NIMS and NRF policies and procedures, is bound by laws, guidelines, regulations, executive orders and findings that are both unclassified and highly classified in nature. Thus, as articulated above, homeland security as an enterprise is a combination of both the national security and emergency management—including public health, public safety, critical infrastructure/key resources, etc.—communities.

⁴² United States, Department of Homeland Security, *Quadrennial Homeland Security Review Report: A Framework for a Secure Homeland* (QHSR) (February 2010) 36.

⁴³ United States, Department of Homeland Security, *Quadrennial Homeland Security Review Report: A Framework for a Secure Homeland* (QHSR) (February 2010) 71.

⁴⁴ United States, Department of Homeland Security, *Quadrennial Homeland Security Review Report: A Framework for a Secure Homeland* (QHSR) (February 2010) 71-72.

⁴⁵ United States, Department of Homeland Security, *Quadrennial Homeland Security Review Report: A Framework for a Secure Homeland* (QHSR) (February 2010) 72.



The NRF:

*is a guide to how the Nation conducts all-hazards response. It is built upon scalable, flexible and adaptable coordinating structures to align key roles and responsibilities across the Nation, linking all levels of government, nongovernmental organizations and the private sector. It is intended to capture specific authorities and best practices for managing incidents that range from the serious to purely local, to large-scale terrorist attacks or catastrophic natural disasters.*⁴⁶

It builds on NIMS and provides a common playbook with NIMS standard command and management structures for response. With respect to the scope of the NRF, “The Framework provides structures for implementing nationwide response policy and operational coordination for all types of domestic incidents.”⁴⁷

Jurisdictions in Urban Area Security Initiative (UASI) regions⁴⁸ are fully included in the homeland security INSP cadre. Rural jurisdictions, however, prioritize risk differently than do UASIs, states and the Federal Government, due to significant capacity limitations with respect to participation in training, education, exercise, and operational activities.⁴⁹ Thus, rural jurisdictions may elect to opt out of some or most aspects of NSP professional development.

Not all jurisdictions or communities of practice at the local level will have the capacity or want to participate equally in NSP professional development activities. A rural jurisdiction with a small population and no meaningful national critical infrastructure/key resources assets will not see an NSP cost-benefit like a jurisdiction in a UASI region will.

Notwithstanding the assertion that NIMS and the NRF are the bases for the structure and management of the homeland security NSP cadre, PNSR has noted in the past that:

*the NRF is heavily weighted toward response and recovery. While it may be well articulated for emergency management, the NRF does not account for the fact that the prevention and protection missions are at the intersection between national security and homeland security. FEMA is not an intelligence or public safety agency.*⁵⁰

Under Sections 642-54 of Chapter 1, Sub-title C, the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA) tasks FEMA with significant responsibility for designing and

⁴⁶ Department of Homeland Security, *National Response Framework* (January 2008) 1, <http://www.fema.gov/pdf/emergency/nrf/nrf-core.pdf>.

⁴⁷ United States, Department of Homeland Security, *Quadrennial Homeland Security Review Report: A Framework for a Secure Homeland* (QHSR) (February 2010) 7.

⁴⁸ UASIs are 64 highest risk urban areas across the country that are eligible to receive FEMA grants to support regional preparedness collaboration.

⁴⁹ Cf. Project on National Security Reform, *Recalibrating the System: Toward Efficient and Effective Resourcing of National Preparedness* (Arlington, Va.: PNSR, 2009) 5-6, 8-9, accessed October 2010 http://www.pnsr.org/data/files/pnsr_national_preparedness_system.pdf.

⁵⁰ Project on National Security Reform, *State/Local Issue Team Solution Set*, 30 October 2008: 26, accessed October 2010 <http://www.pnsr.org/data/files/additional%20research/state>.



implementing the National Preparedness System. Certainly in *crisis-state*, the NRF Emergency Support Function (ESF) Annexes apply to law enforcement and its specific role in ESF-13 Public Safety and Security where the Department of Justice serves as the ESF-13 lead during a natural or man-made catastrophic incident. Man-made disasters (international terrorist attacks on U.S. soil, for example) that result in a large-scale law enforcement and intelligence community response will require a capability to quickly engage state, local or tribal law enforcement assets with sufficient training and experience to support classified missions that result from such disasters. While some capability currently exists within the FBI's Joint Terrorism Task Forces (JTTFs) and other established entities in a large-scale response and resulting investigation, a large cadre of trained and security-cleared state, local and tribal law enforcement officers may be necessary for participation in information sharing, including classified intelligence activities. Depending on the extent of the disaster, this cadre may be needed across the nation in order to assist federal law enforcement in resolving the incident and protecting other possible targets that may be discovered during the course of investigative and intelligence operations.

Since the launch of the DHS/Justice fusion centers, both federal and non-federal law enforcement units recognize the mutual need for improved collaboration and dramatically enhanced development of "personal relationships." Federal law enforcement recognizes that in many cases state and local law enforcement have better on-the-ground situational awareness; state and local law enforcement recognize the vital importance for access to information held by Intelligence Community (IC) agencies. From agency interviews conducted July-October 2010, "Everybody wants to get more involved with the IC. The IC is a closed system. Law enforcement intelligence is also closed. In the last two or three years, both have recognized there was a gap and want to bridge it to make one system."⁵¹

The three pillars of career development are education, training, and experience. The Federal Civil Service has its GS/SES levels; the military has its pay grades. DHS and FEMA have established a NIMS certification⁵² regime that state and local organizations have adopted. The Federal carrot and stick has been the requirement for NIMS compliance as a precondition for homeland security grants. NIMS is administered by the FEMA National Preparedness Directorate's National Integration Center (NIC) principally via courses offered online by the Emergency Management Institute. Notwithstanding the need for education and training, a successful career assignment history is the single strongest predictor of one's capability to perform in an NSP role. Increasingly challenging rotational assignments are thus critical to long term success in creating a national cadre of NSPs.

These efforts are all serving further to professionalize the national homeland security workforce. NSP professional development is similar to the Department of Defense effort two decades ago to institute the Defense Acquisition Workforce Improvement Act that provided for three levels of certification prior to entry into the senior Acquisition Corps. The Defense Acquisition

⁵¹ Agency interview July-October 2010.

⁵² According to OPM: (1) certification programs offer a professional designation (certification/credential) certifying qualification to perform a specific task and periodic renewal or recertification (e.g. CPA); (2) certificate programs offer attendance and/or completion of coursework (e.g. not a professional designation); (3) career development programs are yet another category. Detailed criteria and definitions from OPM can be found at <http://www.chcoc.gov/Transmittals/Attachments/trans1489.pdf>.



Workforce Improvement Act consolidated professional education into a Defense Acquisition University that had existing military institutions as well as civilian universities offering acquisition curricula.

A detailed discussion of the issues associated with inclusion of state and local entities in the national security system are included in Appendix 7.2.4.

3.6 GAPS IN THE CURRENT SYSTEM

Departments and agencies have implemented various programs to help address national security and improve interagency coordination, but they have experienced common problems limiting their effectiveness, especially with regard to interagency coordination, cooperation, and collaboration. There is not a common, standardized system. It is diffused and weakened by lack of centralized direction. These issues are summarized below.

3.6.1 LACK OF AUTHORITY TO DIRECT OVERALL NSP PROGRAM

By design, the current model for collaboration among National Security Professionals largely relies on cooperation between and among departments and agencies. The NSPD Strategy specifically calls for coordination among departmental NSPD programs and does not outline a government-wide model. Without central direction, department and agency programs focus primarily on the needs within their agencies and not on government-wide interagency national security goals. Both the Office of the Director of National Intelligence (ODNI) and DHS define rotational assignments to other agencies and elements of their own organizations as interagency in nature. While these assignments are clearly broadening and do provide insights into how another agency conducts its business, they are not substitutes for working in the most integrated interagency organizations, such as the National Security Staff or the National Counterterrorism Center (NCTC).

During the course of the transition between the Bush and Obama administrations, a period of time elapsed before the Obama administration decided on the NSPD program direction. As noted by several agencies, this resulted in a loss of momentum in NSPD program focus and momentum.

Following the December 2009 enactment of Section 1054 of the 2010 National Defense Authorization Act (NDAA), the Executive Steering Committee was replaced by an Interagency Policy Committee (IPC) and supported by a sub-IPC that includes representatives from the key national security agencies. The IPC and sub-IPC have been actively discussing the status and future of the NSPD program.

The NSPD program now resides within the jurisdiction of the National Security Council under the direction of the Special Assistant to the President and Senior Advisor on Strategic Planning. This is clearly a step in the right direction, but there is still an issue of whether there should be more strongly centralized management of the system.



3.6.2 UNCLEAR ROLES AND RESPONSIBILITIES

Related to the lack of authority, many of the programs in which interagency NSPs participate suffer from unclear roles and responsibilities. For example, the ill-defined and limited mandate of Provincial Reconstruction Teams (PRTs) often hampers coordination and unity of effort. In addition, unclear responsibilities and authorities frequently prevent effective interagency cooperation. Scarce, disproportionately distributed resources and limited training also frequently hinder coordination and lead to an overrepresentation of the military in field-based decision-making. In another example, the relationship of the Directorate of Strategic Operational Planning (DSOP) with the National Security Staff is not well institutionalized. It is dependent on the personality of National Security Staff directors and how they choose to use DSOP, as well as organizational realignments within the National Security Staff. Finally, unclear roles and responsibilities hamper the reconstruction and stabilization mission. Guidance on the roles and responsibilities of Department of State's bureaus and offices is unclear and inconsistent, and the lack of an agreed-upon definition for what constitutes stabilization and reconstruction poses an obstacle to interagency collaboration.

3.6.3 POOR COMMUNICATION AMONG PROGRAMS

Strategic, effective communication about the program and the results it is expected to achieve is clearly lacking. As discussed under lack of authority, there has been little communication about the extent to which the current administration supports the NSPD program. There has been no directive or other document which outlines this administration's support of or changes to the program.

This challenge has been encountered in other interagency national security missions as well. In another example, DSOP, a component of the National Counterterrorism Center (NCTC), is involved in a significant breadth of activity. But department and agency stakeholders have varying degrees of awareness of these activities, and the value added that DSOP brings to its customers is not universally understood.

3.6.4 LACK OF A DEDICATED FUNDING STREAM

Funding for NSPD programs largely relies on allocating budget from existing funding levels from the individual departments and agencies. For example, DHS notes that the lack of a direct funding stream creates a situation where departments must redirect resources from their own programs to support the interagency efforts. Although the funds needed are small relative to department budgets, without clear support for the program, departments appear to be reticent to support fully the cross-agency efforts. Currently, DHS is experiencing difficulty finding instructors, scheduling classes, and managing the Planners' Qualification Program, which they attribute to a lack of a dedicated source of funding.

This is consistent with findings in the February 2010 PNSR report on the NCTC/DSOP. Here, funding was also cited as one of the problems in creating a more robust program. The report notes that current means to prioritize resources and investments in capabilities are inadequate. The Department of State's Office of the Coordinator for Reconstruction and Stabilization (S/CRS) program managers note that the individual participating agencies have had difficulties



securing resources for operations not viewed as part of their agency's core mission. While most agencies have the resources to fund any program they identify as a priority, the lack of authoritative direction, for example a mandate from the Office of Management and Budget, or similar action, to agencies to request or establish a funding source undermines the importance of the NSPD program and its education, training and professional development objectives. An agency's program funding is aligned with the Executive Branch's perception of the program's value relative to their mission. Therefore the value of the NSPD program to national security mission achievement must be clearly established before increased, or even dedicated, funding across agencies will occur.

3.6.5 LACK OF COORDINATED CONGRESSIONAL OVERSIGHT

The fragmented oversight structure in the Congress also contributes to the lack of stature and adequate resources for the NSPD program. A key example is the widely reported oversight saga for the Department of Homeland Security (DHS). Congressional oversight of DHS has taken on extraordinary dimensions with 108 congressional committees and subcommittees having some responsibility for the department or its components. The 9/11 Commission notes this excessive number of congressional committees with oversight responsibilities for DHS and recommends that Congress create a single point of oversight for homeland security. More specifically, the PNSR February 2010 report on NCTC's DSOP notes that the current congressional committee structures are not equipped to oversee and empower interagency mechanisms, such as NCTC, which results in confused jurisdiction and inadequate support. In most situations, if everyone is in charge, then no one is in charge.

It is encouraging that some in Congress are taking interest in the development of National Security Professionals, as demonstrated by the legislation that established this study and the aforementioned Davis-Skelton bill introduced in October 2010.

3.7 LESSONS LEARNED AND SUCCESSFUL PRACTICES

The problems and issues with current NSPD programs and other current efforts were outlined in the previous sections. This section draws out lessons learned from current efforts – with the aid of a new analytical tool – that should be considered when designing an INSP system to overcome the deficiencies. The issues also dovetail with practices to build collaboration among federal agencies as defined by the Government Accountability Office (GAO). In addition, as noted by GAO, it is critical to measure program results and build in accountability both at the organization and individual levels. Analysis of several major federal transformation efforts contributes further to lessons learned and successful practices to be incorporated into introduction and development of a future system.

3.7.1 PROGRAM EVALUATION GRID ASSESSMENT OF CURRENT EFFORTS

PNSR has developed the Program Evaluation Grid (PEG) as a way to assess current and potential future programs using a single framework that is based on dimensions that are common to nearly all U.S. federal national security programs. PNSR used the PEG to analyze 12 federal government programs that have national security missions with interagency components. The PEG analysis of these programs appears in Appendix 7.7.



By employing a standardized methodology across all programs, the PEG allows programs to be compared and contrasted by highlighting patterns that appear within programs (endemic perspective) as well as those patterns that emerge across multiple programs (pandemic perspective). The grid identifies characteristics that are shared by successful and unsuccessful programs, and suggests how such lessons might be applied to future programs. The flexibility of the grid allows future program designs to be stress-tested for optimum system impact and cost-benefit performance.

The X axis is populated by 12 current programs analyzed by PNSR, such as the Department of State Coordinator for Reconstruction and Stabilization (S/CRS) Civilian Response Corps (CRC), and the National Counterterrorism Center's (NCTC) Directorate of Strategic Operational Planning (DSOP).

The Y axis of the framework captures the dimensions of the programs and models. They include dimensions of scope, attributes, and duration, as well as key issues for evaluation. The PEG includes overarching dimensions, such as organization, mission, and size, as well as more narrow dimensions to evaluate such attributes as incentives, coordination, professional development, funding, and integration of military and state and local personnel. It also includes color coding to represent generally the effectiveness of the elements to success or lack of success of the program.

INSIGHTS GLEANED FROM THE PEG

The twelve current programs analyzed are of varying type, size, and scope. Most of them address multiple national security missions and for the most part cover fewer than 5,000 participants. Eight of the programs involve more than one agency or level of government. Most of the programs involve multiple national security functions including policy, strategy, linking strategy with resources, planning, execution/implementation, oversight, and assessment of outcomes. All of the programs identify desired competencies, and all but one define the desired attributes of the program model. Most of the programs are permanent and the duration of assignments involved with the programs vary. Incentives are used in some of the programs, but for all of the programs, participation is considered career enhancing, with eight of twelve being promotion-enhancing.

Regarding key evaluation issues, communication at four programs is clear and effective, but for four programs communication is not complete. At one program poor communication hampers mission accomplishment. At four programs the lack of authority hampers mission effectiveness. Authority is clear at four other programs and mixed at two programs. Roles and responsibilities at five of the programs are not as clear as they should be and at two of the programs these unclear roles and responsibilities impact program accomplishment. The lack of a clear source of funding impacts program effectiveness for five of the programs.

Please see the Appendix 7.7 for the Program Evaluation Grid and a detailed description of its framework, criteria, and utilization.



3.7.2 COLLABORATION BEST PRACTICES

Collaboration is the key component to success in interagency and intergovernmental endeavors. GAO defines collaboration as “any joint activity that is intended to produce more value than could be produced when the organizations act alone.”⁵³ This GAO report defines eight practices that federal departments and agencies can follow to enhance and sustain their collaborative efforts.⁵⁴ In addition, leadership, trust, and organizational culture are necessary elements for a collaborative working relationship. The table below identifies and defines these practices based on the GAO report.

Figure 9: GAO Collaboration Best Practices

Practice	Description
Define and articulate a common outcome	To overcome significant differences in agency missions, cultures, and established ways of doing business, collaborating agencies must have a clear and compelling rationale to work together. This rationale can be imposed externally through legislation or other directives or can come from the agencies’ own perceptions of the benefits they can obtain from working together. In either case, the collaborative effort requires agency staff working across agency lines to define and articulate the common federal outcome or purpose they are seeking to achieve, that is consistent with their respective agency goals and mission. The development of a common outcome takes place over time and requires sustained resources and commitment.
Establish mutually reinforcing or joint strategies	To achieve a common outcome, collaborating agencies need to establish strategies that work in concert with those of their partners or are joint in nature. Such strategies help in aligning the partner agencies’ activities, core processes, and resources to accomplish the common outcome.

⁵³ United States, Government Accountability Office, Results-Oriented Government: Practices That Can Help Enhance and Sustain Collaboration among Federal Agencies GAO-06-15 (Washington, DC: GAO) 4, 21 October 2005, accessed October 2010 <http://www.gao.gov/new.items/d0615.pdf>.

⁵⁴ United States, Government Accountability Office, Results-Oriented Government: Practices That Can Help Enhance and Sustain Collaboration among Federal Agencies GAO-06-15 (Washington, DC: GAO) 21 October 2005, accessed October 2010 <http://www.gao.gov/new.items/d0615.pdf>.



Practice	Description
Identify and address needs by leveraging resources	Collaborating agencies should identify the human, information technology, physical, and financial resources needed to initiate or sustain their collaborative effort. Collaborating agencies bring different levels of resources and capacities to the effort. By assessing their relative strengths and limitations, collaborating agencies can look for opportunities to address resource needs by leveraging each others' resources, obtaining additional benefits that would not be available if they were working separately.
Agree on roles and responsibilities	Collaborating agencies should work together to define and agree on their respective roles and responsibilities, including how the collaborative effort will be led. In doing so, agencies can clarify who will do what, organize their joint and individual efforts, and facilitate decision-making. Committed leadership by those involved in the collaborative effort, from all levels of the organization, is also needed to overcome the many barriers to working across agency boundaries.
Establish compatible policies, procedures, and other means to operate across agency boundaries	To facilitate collaboration, agencies need to address the compatibility of standards, policies, procedures, and data systems that will be used in the collaborative effort. Furthermore, as agencies bring diverse cultures to the collaborative effort, it is important to address these differences to enable a cohesive working relationship and to create the mutual trust required to enhance and sustain the collaborative effort. Frequent communication among collaborating agencies is another means to facilitate working across agency boundaries and prevent misunderstanding.
Develop mechanisms to monitor, evaluate, and report on results	Federal agencies engaged in collaborative efforts need to create the means to monitor and evaluate their efforts to enable them to identify areas for improvement. Reporting on these activities can help key decision makers within the agencies, as well as clients and stakeholders, to obtain feedback for improving both policy and operational effectiveness.
Reinforce agency accountability for collaborative efforts through agency plans and reports	A focus on results, as envisioned by GPRA, implies that federal programs contributing to the same or similar results should collaborate to ensure that goals are consistent and, as appropriate, program efforts are mutually reinforcing. Federal agencies can use their strategic and annual performance plans as tools to drive collaboration with other agencies and partners and establish complementary goals and strategies for achieving results. Such plans can also reinforce accountability for the collaboration by aligning agency goals and strategies with those of the collaborative efforts. Accountability for collaboration is reinforced through public reporting of agency results.



Practice	Description
<p>Reinforce individual accountability for collaborative efforts through performance management systems</p>	<p>High-performing organizations use their performance management systems to strengthen accountability for results, specifically by placing greater emphasis on fostering the necessary collaboration both within and across organizational boundaries to achieve results. Within the federal government, the Office of Personnel Management (OPM) and OMB now require such emphasis under performance-based pay system for agency senior executives. Under this system, agencies are to hold executives accountable for, among other things, collaboration and teamwork across organizational boundaries to help achieve goals by requiring the executives to identify programmatic crosscutting, and partnership-oriented goals through the performance expectations in their individual performance plans.</p>

These practices were not specifically defined for national security collaboration, but clearly any future national security system must ensure these principles are met.

3.7.3 IMPLEMENTATION LESSONS LEARNED FROM MAJOR TRANSFORMATION EFFORTS

While every transformation effort has its own unique characteristics and challenges, a review of organizational transformation successes and failures provides insights that are beneficial to the planning and execution of future efforts. The PNSR team examined four large federal transformation efforts that have occurred over the last 25 years to identify lessons which are instructive to consider in the evolutionary design and implementation of an integrated career development and management system for National Security Professionals. These efforts, listed below, are explored in greater detail Appendix 7.4:

- The implementation of the Federal Employees Retirement System (FERS)
- The design and implementation of a new human resources system for the federal judiciary
- The transformation of the U.S. military, based on the requirements of the Goldwater-Nichols Act of 1986
- The design, implementation and ultimate failure of the Department of Defense National Security Personnel System

The experience of establishing the current NSP program along with the examples of the several national security programs discussed in Appendix 7.3.2, plus the four major cases listed above and detailed in Appendix 7.4 highlight a number of lessons learned.

If a new or revised system is to be successful, these lessons must be incorporated in the design, development, and implementation.

LESSONS LEARNED

Provide Strong Senior Leader Support and Direction: One key lesson learned is the need for top leadership support and direction. A key GAO practice for promoting collaboration is to define a common outcome. Without top level support for the NSP program from the White



House, National Security Council and National Security Staff, or the National Professional Development Program Integration Office (NSPD-IO) the NSPD program languished in 2009 and early 2010. In agency interviews, the majority of departments and agencies suggested that the unclear support of the NSPD-IO from higher levels in the White House has resulted in a lack of progress under the program. For example, the Department of Homeland Security said that both the DHS Planners Qualification Program and the NSPD Executive Curriculum have not moved forward because of the lack of higher level direction. In addition, officials at the Departments of Commerce, Defense, Energy, and the Office of Management and Budget all specifically note that the NSPD program stalled because of a lack of direction.

Provide Designated Funding: Specifically designated funding is necessary for the success of the NSPD program. Officials at smaller departments and agencies note this. For example, the Department of Commerce notes the need for financial and other support so that they are not overwhelmed by scope of requirements of the NSPD program. Treasury officials note that smaller national security agencies need increased financial support to backfill vacancies that occur during rotational assignments. Funding issues also impact DoE's national security program as it had to eliminate its billet for the Baghdad embassy due to funding constraints. USDA officials note their concern about the budgetary implications of developing a training program for NSPs. And finally, the NSPD web portal established to provide information on education and training programs, types of interagency rotational assignments, conferences, training consortia, training tools, publications and other NSP related subjects was shut down for lack of funding in fiscal year 2009.

Provide Interagency Training: Interagency training and assignments are required for a successful NSPD program. All of the literature about the national security professional program discusses the value of knowledge about other agencies in the national security arena. But agencies continue to focus on training that is not interagency. For example, DoD professional development efforts (NSP and otherwise) focus primarily on intra-DoD assignments and training. ODNI developed the joint duty program, but it focuses on assignments within the intelligence community. But even that goal has been compromised because many officials have been able to receive joint duty credit without ever having left their home agency.

Raise Importance of Interagency Assignments: Another lesson learned is to make sure that interagency assignments are valued by both the agency and the employee. For example, DoT officials said that employees need to know what implications NSP development has on their career development and progression and whether there are incentives and reasons to become an NSP. The Department of State's Political Advisor program (POLAD) program has suffered from under-valuing of the interagency assignment. However, current incentives for serving as a POLAD are now being structured in a way to attract the best personnel. The number of POLAD positions has been increased. Importantly, the POLAD position is now being featured as a developmental position for later selection as ambassador rather than a retirement position. These initiatives are reinforced by the decision that POLADs are now selected by the same committee that selects Deputy Chief of Mission positions.

Provide Clear Communication: An NSPD program cannot survive without clear communication about program goals and direction. Program direction and communication issues



plague national security programs. For example, the Directorate of Strategic Operational Planning (DSOP) program's significant breadth of activity is neither known to department and agency stakeholders or members of the National Security Staff, nor is the value-added of DSOP activities universally understood.

Define Key Terms: Another important lesson learned is to make sure all participants have a common understanding of key terms. DoJ officials note there is confusion about the definition of national security. DoT officials say that national security is not universally understood beyond its traditional definition of defense and diplomacy. And the ODNI notes there is a need for a common lexicon, vision, and conceptual framework for NSPs.

Communicate the Personal and Professional Value of Interagency Experience: Every employee must be able to see the direct relationship between his or her personal, professional and organizational goals and the interagency assignments which are essential to creating an interagency culture based on shared experiences.

All successful transformations share a set of core characteristics:

- Assessment to ascertain the readiness for change.
- Active, involved, articulate, and forceful leadership at every level of the organization.
- Alignment between the organization's strategic objectives and the transformation which is proposed.
- Clear objectives to be achieved and periodic evaluation of progress using a pre-determined set of qualitative and quantitative metrics.
- Effective and efficient communication of the strategic and operational objectives of the transformation and development of a culture which supports change.
- Sustained employee engagement in the identification of problems which need to be solved and design and implementation of the solutions.
- Processes to test solutions to identify unintended consequences and other conceptual design flaws.
- Adjustment to proposed solutions based on the test results.
- Sufficient human and fiscal resources to continue to accomplish the work of the organization AND to design, test, and implement the transformation.
- Sufficient information and training to assure that all affected parties know the what, why, when and how of the changes.
- Answers for every employee's question, "What's in it for me?"

A discussion of several of these characteristics is in Appendix 7.8.1.

3.8 CONCLUSIONS

Current efforts to designate and develop National Security Professionals are well intentioned, but they are agency-centric and not sufficiently centralized or directed to achieve the necessary results. Other specialized programs are attempting to build interagency capacity, some with success but with most encountering the same problems that plague implementation of the



executive order. These areas include lack of centralized authority, clarity of roles and responsibilities, communication, funding, and congressional oversight.

These deficiencies must be addressed in any future system, or even in making the current NSPD system effective. The lessons learned from current efforts, past major transformational efforts, and numerous studies can be usefully employed in designing a new system.

4. DESIGNING A SYSTEM

The purpose of Chapter 4 is to discuss PNSR’s findings on the elements and attributes of a successful integrated National Security Professional system. Based on lessons learned and successful practices gleaned from current programs and several previous transformation efforts, this chapter describes key enablers for a new, modern system that will attract the next generation of National Security Professionals, enablers such as social networking, innovation, and demonstration projects, and ground-up efforts, including communities of practice.

4.1 KEY ELEMENTS FOR SUCCESS

Designing an Integrated National Security Professional system requires recognition and inclusion of certain elements necessary for success. These essential system elements include:

- Scope
- Common Terminology
- Understanding of Work Patterns
- Information Technology Systems
- System Accountability
- Partnerships with Employee Unions and Associations
- Incentives

4.1.1 SCOPE

In scoping a system for career development and management of interagency National Security Professionals (NSPs), multiple, interrelated lenses can be applied to consider the definitional, organizational, geographical, functional, numerical, and temporal⁵⁵ dimensions of scope that both characterize and will be required in the national security environment of the 21st century.

Definitional scope – The lack of common lexicon is a significant hurdle in developing whole-of-government approaches or interagency initiatives such as a system for integrated NSPs. As discussed later, the challenge associated with lack of common terminology across the national security community emerged during the ongoing process of scoping the NSPD system.

Organizational scope – There are several dimensions to consider, including “interagency,” “intergovernmental,” and “multi-agency organizations.” Interagency scope of NSPD was initially set forth in Executive Order 13434 and further codified in Executive Steering Committee (ESC) membership. Notably, the current NSPD program did not issue rules or

⁵⁵ Temporal refers to duration in terms of, for example, permanent, temporary, steady-state, or crisis-oriented missions.



guidance regarding inclusion of three major categories of federal professionals: Department of Defense military personnel, the Foreign Service, and the intelligence community. Individual federal departments and agencies and interagency organizations and teams, comprised of federal and other government employees and, in some cases, non-governmental organization and private sector employees must also be taken into account. In addition to the interagency or “horizontal” dimension of organizational scope, the intergovernmental or “vertical” dimension must be considered. NSPD leadership chose to focus the program at the federal level, although both program documents and participant accounts make clear that the NSPs’ ability to work seamlessly with counterparts from other layers of government is a key program goal.

Geographic scope – If NSPs include those executive employees that “plan, coordinate, or participate in activities relating to the national security,” then the system must accommodate a variety of interagency organizations and teams that extend from Washington, DC, out to the field, both domestically and abroad. Domestic assignments are to federal regions, states and, in some cases, local governments. The National Strategy for the Development of Security Professionals explicitly states that “national security positions include those within the United States and abroad, including assisting nations and regions at risk of, in, or transitioning from conflict.”⁵⁶ So, if NSPs are those responsible for traditional national security *and* homeland security missions, then the system must necessarily extend to positions both in the U.S. and abroad.

Functional scope – This dimension considers the critical question of which functions and activities NSPs will undertake. This derives from the missions that these individuals are assigned to accomplish. One facet of functional scope, however, is to also consider which functions will be fulfilled, independent of mission. In *Forging a New Shield*, the Project on National Security Reform introduced the concept of end-to-end management as a foundational framework for understanding national security system processes along a spectrum from policy development through operational assessment.⁵⁷ The current IPC-approved definition of an interagency NSP refers to professionals that “plan, coordinate, or participate in activities...” While it does not directly refer to assessments, strategy, alignment of resources with national security mission, or operational evaluation, this broad statement could be interpreted as including all processes on the end-to-end spectrum. It at least does not exclude any of these functions. Another aspect to consider in applying the functional lens is the issue of “Inherently government functions”—“Functions, which are so intimately related to the public interest as to mandate performance by government employees.”⁵⁸ This issue is directly related to the question of whether and how, legally, private sector employees can temporarily be designated as, and fulfill the functions of, an NSP.

⁵⁶ United States, National Security Professional Development Integration Office, *National Strategy for the Development of Security Professionals* (Washington, DC: White House, 2007).

⁵⁷ Project on National Security Reform, *Forging a New Shield* (Arlington, Va.: PNSR, 2008): 225, 258, 298, 380.

⁵⁸ United States Agency for International Development, *ADS 601 - Funding Source Policy, Functional Series 600 – Budget and Finance, Automated Directives System 10 February 2004- Revision*, accessed October 2010 <http://www.usaid.gov/policy/ads/600/601.pdf>.



Numerical scope – Based on a 2008 initial inventory of NSP positions at the GS-13/15 level, 14,000 individuals were identified. As a subset of this larger number, NSPD-IO has identified approximately 1,500 Senior Executive Service positions with national security responsibilities.

POSITIONS AND PEOPLE DESIGNATIONS

Within the current human capital constructs, an important question is whether this system will adopt a “rank in person” and/or “rank in position” approach. “Rank in person” has been used in the military, the uniformed divisions of the Public Health Service and the Secret Service, the Central Intelligence Agency and the Department of State. In this system, rank is held by the person regardless of the work being performed. A position-based approach is one in which rank is tied to the position.

The Classification Act of 1949, which mandates rank in person, still governs personnel in the federal civil service of the national security system, and the principles of the 1949 act are now common in the state and local portions of the system as well. The 1949 act bases compensation on a combination of longevity and performance, and ties it to positions and levels within the organizational hierarchy.⁵⁹

There are both advantages and drawbacks to a person-based or position-based system for NSPs. Person-based positions often allow greater mobility and mission focus whereas there can be more restrictions (e.g., competition) on moving people who are tied to positions. In rank-in person systems, projection, career pathing, and funding may be more challenging.⁶⁰ In position-based systems, employees often derive a sense of their rights and privileges from their position which can lead to more rigidity. In such systems, it may be more difficult for an individual to move permanently to a position of higher or lower rank, but at the same time it provides greater continuity. In contrast, rank in person positions tend to be associated with a time limitation (e.g., tours of duty).

Experts and scholars find that it is possible to implement a hybrid (person and position-based) approach into a single system. Truman G. Benedict summarizes the argument that the two systems are not mutually exclusive in the following way:

Harold Leich has posed an issue of whether personnel systems can accommodate “rank-in-the-position” and “rank-in-the-person” in the same system. It appears beyond question that they can. People work in jobs, and jobs require people. People can be ‘ranked’ in specialties and positions can be ranked in specialties, in ways useful to good personnel administration; ways which are complementary, rather than contradictory.⁶¹

For example, a lawyer job in a General Counsel office would require “admission to bar” as part of the position description; a person filling that job, therefore, must be admitted to the bar. That

⁵⁹ Project on National Security Reform. *Forging a New Shield*. (Arlington: PNSR, 2008) 52.

⁶⁰ In rank in person systems, positions can still be identified to inform decisions on how many types of people the organization needs.

⁶¹ Truman G. Benedict, “Pay for position or pay for person?” *Public Administration Review* Vol. 21, No. 1, Winter, 1961: 55-57.



person could take another job that does not require bar admission, and the General Counsel office could have other jobs that don't require a bar-admitted lawyer.

Recommendation: Since those who will fill the NSP positions on a temporary basis will be from both position- and person-based systems, any future INSP system must accommodate both. If there is a permanent component of the INSP system, it may be position or person-based, but must adhere to the principle of maximum flexibility to accommodate both position and person-designations residing side by side.

4.1.2 COMMON TERMINOLOGY

One of the most basic recurring themes is the lack of a common understanding of basic terms. It is crucial for a new system to be designated from the outset with commonly agreed and understood terminology.

Numerous officials and documents have pointed to current confusion surrounding the definition of common terms. This includes the most basic term, "interagency national security professional," and other terms important to the overall NSPD program including "joint duty." Other terms could be defined too, but there is considerably less controversy over those terms.

INTERAGENCY NATIONAL SECURITY PROFESSIONAL

The FY 2010 National Defense Authorization Act (NDAA) contains the following definition of interagency national security professional:

The term 'interagency national security professional' means an employee of an Executive agency who plans, coordinates, or participates in activities relating to the national security of the United States that require significant interaction and engagement with other Executive agencies.

This summer (2010) the Interagency Policy Committee (IPC) adapted the NDAA definition and went further by defining "Significant interaction and engagement" as routinely participating in interagency forums to develop or execute interagency policy and plans, and responding to incidents. It also said the individual should be a GS-13 or equivalent and above.

Despite this definition, there continues to be discussion about all parts of the interagency national security professional definition. Specifically, there has been confusion about:

- What constitutes national security?
- What is meant by interagency?
- What professional level is included?

All of these parts of the definition can be clarified by information that has been developed on who is a National Security Professional (NSP).

NATIONAL SECURITY

The National Strategy for Development of National Security Professionals has a broad definition of national security as it pertains to NSPs. For example, it notes that the term includes those



working on one of the programs listed below. In PNSR's view, the list should be considered not fully inclusive, given the need to anticipate definitions of future national security threats:

- National Security Strategy
- The National Intelligence Strategy
- National Strategy for Homeland Security
- National Infrastructure Protection Plan
- National Response Framework
- National Preparedness Goal
- Homeland Security Act of 2002
- The National Strategy for the Physical Protection of Critical Infrastructures and Key Assets
- The National Strategy to Secure Cyberspace
- Robert T. Stafford Disaster Relief and Emergency Assistance Act
- Defense Production Act
- Federal Power Act

INTERAGENCY

The exact meaning of interagency also has various interpretations. As noted above, the Section 1054 definition of an interagency NSP is one who interacts "with other Executive agencies." It notes that executive agency "has the meaning given such term by Section 105 of Title 5, United States Code." Section 105 defines executive agency as an Executive department⁶², a Government corporation⁶³, and an independent establishment⁶⁴. So interagency in Section 1054 is the same as *interdepartmental* for those entities within a cabinet department. For those organizations outside of a cabinet department, such as the CIA, interagency means interagency. Under this definition interagency does not include interaction between two organizations within the same department. Specifically, interagency does not include interactions between the Army and the Navy because they are both within DoD. Similarly it does not include interactions between the Customs and Border Protection and the Coast Guard because they are both within the Department of Homeland Security.⁶⁵ These interactions are defined as *intradepartmental* or *intra-agency*.

The definition of interagency as defined in Section 1054 seems too narrow because it does not include state and local, tribal entities, territorial entities, and the nongovernment and private sectors. Such interactions are included as a part of the NSP program as defined in the National Strategy for National Security Professional Development. Specifically, the strategy notes that interactions with "other departments, agencies, local, State, Federal, tribal entities and the private

⁶² Executive Department is defined in Section 101 of this title as one of the 15 cabinet departments.

⁶³ Government Corporation is defined in Section 103 of this title as a corporation owned or controlled by the Government of the United States.

⁶⁴ Independent Establishment is defined in Section 104 of this title as (1) an establishment in the executive branch (other than the United States Postal Service or the Postal Regulatory Commission) which is not an Executive department, military department, Government corporation, or part thereof, or part of an independent establishment; and 2) the Government Accountability Office.

⁶⁵ It is interesting to note that prior to the establishment of DHS interactions between the Coast Guard and the Customs Service would be included within the definition of interagency.



sector” are part of the NSP program. Such interactions could be defined as *intergovernmental* or *intersector*.

Finally, there also are differing opinions on exactly what level and type of employee is included in the interagency NSP definition. As mentioned above, the IPC notes the employee must be a GS-13 (or equivalent) and above. Yet some officials note that there may be instances of GS-12 personnel or possibly lower grades, especially in the field, who might be important to include within the interagency NSP definition. Some definitions of NSP exclude political appointees, but clearly there could be some political appointees who should be included within the definition. In particular the Department of Homeland Security has several key politically appointed officials who play an NSP-type role. In fact the DHS training for NSPs is very similar to its training program for new political appointees which was developed for the January 2009 Presidential Transition.

JOINT DUTY

Other definitions are also important to the development of NSPs. The military formally defines “joint” as “connotes activities, operations, organizations, etc., in which elements of two or more Military Departments participate.”⁶⁶ The John Warner National Defense Authorization Act for Fiscal Year 2007 (FY07 NDAA) provided an important legal revision to the term “joint matters” to allow its applicability to “unified action by multiple military forces” to include participation with other departments and agencies, foreign military forces and agencies and non-governmental persons and entities.⁶⁷ As a result, in 2007 the military altered its joint “credit” system to become a “joint qualification system” that provides a broader formula for qualification beyond intra-agency joint assignments.⁶⁸ Nevertheless, the military’s formal intra-agency based definition of “joint” has not changed in Joint Publication 1.02.

For intelligence agencies, “joint duty” is clearly defined, but there still is disagreement about that definition. As defined in Intelligence Community Directive (ICD) 601 a joint duty assignment means:

(a) the permanent assignment of an employee from a position in one IC element to a position in another IC element that requires and/or provides appropriate joint IC duty experience, or (b) the temporary detail of an employee from a position in one IC element to a rotational assignment in another IC element that requires and/or provides appropriate joint IC duty experience for a period of at least 12 months and not more than 36 months.

Some intelligence agencies created “joint duty” positions within their organizations and allow their own employees to obtain “joint duty” credit when assigned to these positions.

⁶⁶ DoD Dictionary of Military Terms, Joint Doctrine Division, “Joint” April 2010, accessed October 2010 http://www.dtic.mil/doctrine/dod_dictionary.

⁶⁷ United States House of Representatives, Office of the Law Revision Counsel, 10 U.S. Code, Section 668 Definitions (1 February 2010) accessed October 2010 <http://uscode.house.gov>.

⁶⁸ United States, Department of Defense, *Department of Defense Joint Officer Management Joint Qualification System Implementation Plan* (30 March 2007).

Although there are numerous terms that could be discussed, the important ones that need clarification for comparing programs across agencies are who is included as an interagency NSP and the related definition of joint duty assignment.

It will be difficult for an effective INSP program to move forward without agreement on what an interagency NSP is and what is meant by “joint duty” assignment. Some departments and agencies have a vested interest in keeping the definition of who should be included in an INSP system as narrow as possible so that others from outside their departments are not involved in their programs.

Recommendation: PNSR believes that the definition of national security, interagency, and levels and type of appointment be kept broad so as not to exclude key officials who are critical for a collaborative, coordinated INSP system.

4.1.3 UNDERSTANDING OF WORK PATTERNS

Another issue to consider when designing an INSP system is the different national security missions and functions, levels of involvement, and sizes to the national security mission and workforce. There is wide variance in the types of work required to carry out those missions and functions. The lesson from these insights is that “one size may not fit all” when creating the elements of a career development and management system for NSPs.

One way to view these differences is to group agencies by their patterns of work. Our analysis reveals that there are at least four primary patterns which should not be viewed as mutually exclusive.

Pattern #1 includes those agencies whose work is predominantly and continuously national security and somewhat predictable, e.g. DoD, DoS, and various parts of DHS and ODNI, but even here not every part of every organization or position is an NSP.

Pattern #2 includes those agencies whose work is predominately national security, but is episodic, e.g., FEMA. At the most aggregate level, FEMA responds to uncertain and less predictable events, such as Katrina, and in some circumstances more routine and predictable such as low-grade hurricanes and flooding.

Pattern #3 includes those agencies where the very nature of the work requires intra-agency and interagency coordination, e.g. DoS in embassy/country teams, the various law enforcement agencies within DoJ; intelligence agencies; and in defined situations between and among law enforcement and intelligence agencies. DoJ officials note, and various studies have pointed out, that coordination and cooperation has improved significantly since 9/11, but still could be improved. DoJ officials point out that coordination and cooperation is much more integrated in the United States field locations than it is in the Washington headquarters of the various departments and agencies. DoS makes the same argument for country teams overseas. These agencies explain that their laws, regulations, protocols, MOUs, and MOAs further define and refine the what, why, who, how and when of cooperation and coordination. The above type



agencies tend to share a set of characteristics which requires them to look at NSPs with some, but not total similarity.

Pattern #4 encompasses a heterogeneous and variable set of characteristics. These agencies are often called non-Title 50 agencies, whose statutory basis is not found in Title 50—which deals with national defense and intelligence. Many of the non-Title 50 agencies have defined primary roles within the National Response Framework, and several of them perform national security-related Mission Essential Functions. Each of these agencies has a critical role to play when certain conditions in domestic or overseas national security issues arise. HHS and EPA are examples. HHS has a role in protecting and promoting the health of the nation both on a day-to-day basis as well as during events like (a) catastrophic natural disasters, (b) instances where immediate actions are needed to save lives, (c) the protection of property and the environment, or (d) the need to provide basic human needs.

Each of these agencies has employees who tend to be highly technical and in many respects unique in their day-to-day duties that are not directly related to national security, but who possess skills that are directly applicable in the event of a contingency. Scientists, medical professionals, education professionals, legal professionals, and the like, have day-to-day functions that become critically applicable in response and recovery in crisis situations. For example:

- An expert in the epidemiology of anthrax has a key role in a release of anthrax into the population, but on a day-to-day basis must continue scientific work in anthrax to remain current as an expert.
- An agency responds to the Gulf of México oil spill by providing various services ranging from food and nutrition or wildlife capture services to conducting shoreline assessments, participating on scientific panels assessing the reopening of fisheries, and evaluating proposals for cleanup technologies.

The day-to-day work while remotely associated with national security becomes critical when a crisis requiring these talents occurs. There is a substantial body of literature about the leadership and management of these types of individuals, whose allegiance is always more closely aligned to the profession than to a particular organization. The research suggests that individuals on rotational and/or joint assignments are more productive if they are seconded to assignments in organizations where there are similar or identical professionals, or if to a totally different work or organization that the assignments are defined in terms of weeks, rather than months.

Because the work to be done, as defined in missions and functions, is the foundation for every organization, the above observations also have implications for examining the different levels of agency work. Is NSP work only found at the SES and GS-13 through 15 levels, or their equivalents, in organizations? Is it possible that work exists at lower levels? Or more likely, does this suggest that developmental assignments, education, and training should begin within agencies at lower grade levels? What does appear to be the case is that one size or set of requirements does not fit the needs of every department and agency that has a contribution to make to the security of the nation. What may well be the case is that there are a set of government-wide requirements that are further refined based on the nature of the work and contribution each organization, or clusters of organizations, are required to make.



4.1.4 INFORMATION TECHNOLOGY SYSTEMS

Whatever form the new system for National Security Professionals takes, it must be supported by robust information technology systems. The two basic elements are: 1) the Human Resources Information System (HRIS), which supports the cataloguing and tracking of NSPs across the entirety of their careers, 2) and a variety of program support tools, including social networking tools, which support the ongoing collaborative and consultative mechanisms that are essential to successful national security system performance and NSP individual performance.

HUMAN RESOURCES INFORMATION SYSTEM

For the NSPD program, in which a cadre of NSPs must be developed and managed, Human Resources Information Systems should provide information to fulfill four essential functions:

- Track and catalog personnel and their capabilities
- Catalog and deliver training, education, and career development opportunities
- Provide information which can be used for NSP workforce planning
- Provide information that can be used for INSP system planning and evolution

Recommendation: At its most basic, there should be a full picture of the NSP cadres in order to manage and evaluate the NSPD program. There should be a way to record the skills and knowledge NSPs have absorbed through the training, education, and career development programs. The NSPD program should be able to project requirements and establish goals so as to adjust and improve implementation. The users of an HRIS for NSPs include the gamut of users from managers to analysts, and from employee self-service to partner organizations. Depending on the technology of the HRIS, all these users need to play a role in developing an HRIS for the NSPD program. Ultimately, the full utilization of HRIS functions depends on broader progress in the NSPD program and needs that emerge.

Recommendation: Because of importance and complexity, use of an HRIS in support of the NSPD program must be led and hosted by an office that can devote sustained attention to the effort.

SOCIAL NETWORKING SYSTEMS

Social networking, enterprise 2.0, collaborative software – all these terms refer to the use of virtual tools to enable greater knowledge and information sharing across an organization through profiles, blogs, wikis, tagging, e-mail, and instant messaging. These tools have allowed organizations to increase performance by amassing knowledge, improving agility, and expanding collaboration. Government has begun to adopt these tools to keep pace with the changing world. While the information technology aspect of developing social networking systems in organizations is often emphasized, social networking is just as integral to human capital management. IBM, for example, has recognized, “Workforce strategy drives Workplace [its collaboration environment] strategy.” Social networking can be a powerful enabler of culture change as it removes organizational and physical boundaries between people, and provides a space for instant feedback and innovation through the sharing of ideas. However, even as social networking can enable culture change, it still faces barriers and pitfalls like any other change initiative. Social networking’s ability to remove barriers and create a space for collaboration



presents a novel opportunity, outside of conventional means, for adjusting personnel policy for the NSPD program. Appendix 7.2.1 contains more information on social networking barriers and pitfalls.

The development of a social networking site has substantial potential benefits to enhance NSP individual and INSP system performance. It would also be easily accessible, compared to the usual policy decisions made in interagency forums, allowing the NSPD program to permeate people's day-to-day work. People could learn and develop habits of interagency collaboration on their own initiative, which would make them feel invested. The power of a well-implemented social networking site cannot be underestimated. IBM has found, for example, "People are willing to trust the intranet more than the company." Finally, as the U.S. moves further into the 21st century, people will expect social networking to be available to them at the workplace, and that it will be fully integrated with human capital policy. The government has a lot of work to do to catch up these expectations.

Recommendation: The NSPD program, as an agent of change, would benefit immensely from incorporating social networking into its efforts.

Recommendation: Social networking systems and technology have the potential for substantially enhancing the effectiveness and efficiency of any future system developed for NSPs. However, the newness of this technology suggests that testing the system limits and problems through one or several pilots would be a prudent way to proceed.

4.1.5 *SYSTEM ACCOUNTABILITY*

To function effectively and efficiently over time, there must be system accountability. This means qualitative and quantitative metrics must be developed which are used to evaluate system performance in relation to the system's strategic goals and objectives. System performance assessment is essential to guide the evolution of the NSP development program. There currently are few criteria to evaluate the overall interagency program. The Government Accountability Office (GAO) notes that a key success factor in encouraging collaboration is to develop mechanisms to monitor, evaluate, and report on results. As stated by officials in the NSPD-IO the evaluation criteria should be outcome (as opposed to input) based. Fundamentally, did interagency cooperation produce the best outcome at the best cost? They note that the hypothesis is that if departments and agencies collaborate in solving complex problems, each will be able to contribute its specific expertise, and if this is accomplished in a balanced and coordinated manner, it will reflect the most effective and efficient response.

Outcome measures are preferred, but initially it will also be important to identify certain input measures that can be used as proxies for potential outcomes, and as ways to encourage behavior that will move to greater collaborative activity or jointness. These metrics could measure:

- Alignment
- Employee engagement
- Collaboration
- Cost
- Program results



These various metrics could be used across all INSP programs as a way to track progress toward goals and eventually results.

ALIGNMENT

One measure of alignment is to focus metrics on the training and development of NSPs by the individual departments and agencies. As laid out in the NSPD Implementation Plan, key goals for National Security Professionals that should also be goals for NSPs are:

- An understanding of the strategies and plans relevant to their particular duties, especially the inherent interagency challenges
- The ability to deal with the specific interagency challenges they are likely to face

The current NSPD Implementation Plan lays out metrics to measure progress against these goals. They are for National Security Professionals to:

- Take relevant training course(s) designed to build improved interagency operations capability and readiness, which are focused on the understanding of the national strategies, the general interagency challenges inherent in each, and ways of dealing with these challenges
- Participate in relevant education program(s) such that they are able to think strategically and develop innovative solutions to complex national security interagency challenges
- Participate in relevant professional experience(s) such that they understand the roles, responsibilities, and cultures of other organizations and disciplines; exchange ideas and practices; build trust and familiarity among each other, especially those with differing perspectives; and minimize obstacles to coordination

Additionally, metrics to measure program effectiveness against program goals must include identifying the desired end-state to ensure investments in course and programs are aligned to achieve desired and required outcomes and performance behaviors.

Finally, departments and agencies should evaluate each of the key NSPD components (i.e., training, education, and professional experience opportunities) to ensure a value-added benefit for their respective Interagency National Security Professionals.

EMPLOYEE ENGAGEMENT

The second broad set of metrics involves employee engagement. Clearly the key skill set that NSPs should possess is the ability to understand and deal with interagency challenges. NSPs can gain an understanding of these challenges through training, but interagency assignments are a better way to actually deal with the issues. One metric in this area is the number of NSPs actually participating in an interagency assignment.

It is also important the NSPs possess the eight core capabilities of a qualified national security professional as laid out in Executive Order 13434 and outlined earlier in this chapter.

A robust performance management system for individual NSPs that measures and tracks performance against these core capabilities is critical for effective employee engagement and to help ensure all NSPs have these capabilities.



COLLABORATION

The next category of metrics involves collaboration. Measuring the extent that NSPs collaborate or that joint programs operate collaboratively is difficult. One measure could be the use of employee surveys to measure NSP's perception of the extent of collaboration in their work units and across the national security program. One such survey is the Federal Human Capital Survey, which is administered to most federal employees by the Office of Personnel Management. ODNI has administered the questionnaire to intelligence community employees. Key questions that could provide some assessment of collaboration include: "The people I work with cooperate to get the job done"; "Managers/supervisors/team leaders work well with employees of different backgrounds"; and "Managers promote communication among different work units (for example, about projects, goals, needed resources)." In addition, a more specific survey of NSPs could be developed to measure the key desirable activities.

COST

Another set of metrics involves not only the cost of the NSP program, but also benchmarks to compare the cost against other ways of operation. Did the interagency cooperation produce the best outcome at the best cost? Costs of training and development of NSPs can be measured and compared across national security departments and agencies, but without some criteria such measurements are not very useful. Metrics on costs should also be tied to metrics on program results and effectiveness as a means to evaluate funding objectives and budget requests.

PROGRAM RESULTS

The ultimate outcome metric category is program results. Such output measures are the most difficult to develop and measure. One way to approach developing such criteria is to use the Government Performance and Results Act (GPRA). The GPRA provides a framework that Congress, OMB, and executive branch agencies can use to evaluate the "jointness" of programs. It also provides opportunities for federal agencies to identify other agencies addressing related outcomes, and coordinate with these agencies to ensure that program goals are complementary; strategies are mutually reinforcing; and common performance measures are used. OMB's Program Assessment Rating Tools could also be used to foster greater federal agency collaboration. For example, OPM could consider whether the program coordinates and collaborates effectively with related programs and whether duplication exists. GAO has noted that the Program Assessment Rating Tool provides general guidance for assessing effective program coordination and collaboration. To demonstrate effective collaboration, agencies need to provide evidence of collaborative efforts "leading to meaningful actions in management and resource allocation." GAO has specifically noted that these tools could be used to promote better information sharing for securing the homeland, noting that this government-wide effort involves multiple federal agencies, including OMB, DoD, the Departments of Homeland Security, Justice, and State, and the Central Intelligence Agency.

Finding: A critical area of any program or activity is evaluation. Development of goals and measurable objectives is a cornerstone of effective program management. PNSR believes that in the short term, input performance measures could be developed to help move the NSP program to the desired outcomes of increased collaboration and effectiveness of joint operations.



4.1.6 PARTNERSHIPS WITH EMPLOYEE UNIONS AND ASSOCIATIONS

The very nature of interagency national security work is collaborative and requires inclusion of a wide variety of stakeholders in order to assure that all viewpoints are available to contribute to needed solutions. This suggests that partnerships with employee unions and associations are important components of a successful integrated national security career development and management system.

The federal government has one of the largest unionized workforces in the United States, with 37.6 % of all government employees belonging to unions, compared with 7.3 % in the private sector⁶⁹. While this workforce accounts for more than 50 % of all union members in the country, it represents less than 40 % of union-eligible government employees. The majority of this membership is at the state and local level⁷⁰.

Recommendation: Federal state and local government organizations, their employees, and the unions and associations that represent employees who are national security professionals have a shared benefit to be gained through working cooperatively to design, develop and establish a career management and development system for national security professionals.

IMPLICATIONS OF LABOR-MANAGEMENT RELATIONS FOR THE INSP SYSTEM

In thinking about the potential implications of developing a cadre of NSPs, it is important to consider exactly what functions such a cadre will perform and at what levels of the federal government they will operate. Currently the majority of NSPs at the federal level is at the GS-13 level and above and tends to hold executive, managerial, and supervisory positions. A smaller number carry out non-supervisory roles at the GS-13 level and above.

The Federal Managers Association (FMA), the Professional Managers Association, and the Senior Executive Association are examples of professional associations whose membership includes supervisors, managers, and executives who may be national security professionals. These and other similar organizations, as well as the more traditional public service unions, will have an interest in any national security professional career management and development system which is developed. The FMA, for instance, is the largest professional organization of managers in the federal government. It represents the more than 200,000 managers in the government and has considerable influence. In some instances, the FMA has joined labor unions to advocate changes to policies and initiatives such as the National Security Personnel System. While the FMA or similar organizations, may not have the legal authority to bargain with agencies, their members are the ultimate decision makers. Hence, the organizations' perspectives or stance on policy issues could ultimately impact the effectiveness of implementation at the agency level, where members operate.

Recommendation: Given current efforts by President Obama to encourage multi-stakeholder negotiation on various aspects of labor rights, this study may provide a perfect opportunity for

⁶⁹ Examiner Editorial, "Ban Government Employee Unions," *Washington Examiner* 16 November 2009.

⁷⁰ Mike Causey, "Pay Freeze as Union Recruiting Tool," *Federal News Radio* 1 June 2010, accessed October 2010 <http://www.federalnewsradio.com/?nid=20&sid=1969498>.



engaging management, professional associations, employees, and labor unions in discussing the concept of NSPs and exploring approaches for effective implementation.

Further details on the statutory framework, bargaining representation, recent changes to labor-management relationships as well as lessons learned from the DHS MaxHR and DoD NSPS systems can be found in Appendix 7.5.

4.1.7 INCENTIVES

PNSR's review of available incentives and HR mechanisms, suggests that their value and impact might be increased if these incentives were bundled or if the employee is allowed to choose from among several options. The element of employee choice and/or involvement is a powerful incentive in and of itself.

In addition, current authorities allow departments and agencies the authority to design extensive incentive and recognition programs and grant awards to federal employees to recognize individual and/or group performance or the achievement of pre-established goals.⁷¹ A 2009 report by Merit Systems Protection Board on employee engagement states:

Recognition lets employees know their work is appreciated and valued. It is a strong contributor to high levels of employee engagement and retention. As well as encouraging employees to repeat desirable behaviors, recognition can be used to improve an employee's performance to the level expected by recognizing incremental improvements. Monetary incentives, such as salary increases and bonuses, are only part of the recognition picture. In addition to money, employees appreciate more personal forms of acknowledgement of their contributions, such as oral or written praise, achievement awards, time off, special assignments, increased autonomy, opportunities to share and implement their ideas, and public recognition.⁷²

Observers have suggested that in order to ensure full participation, an interagency system needs to provide incentives for individuals to participate. Those might include enhanced promotion potential; improved prospects for choice assignments; and a reasonable degree of confidence that the program rules, the basis for career decision-making, will not change too dramatically over time.⁷³

One of the methods by which employees and organizations will be encouraged to participate in an INSP system is an effective incentive and recognition program. This program must be closely linked to an NSP mission/vision statement. Methods of recognizing employee and organizational contributions range from an oral acknowledgement to formal ceremonies with

⁷¹ United States, Office of Personnel Management, *Incentives and Employee Recognition* (September 2005)1, accessed October 2010 http://www.opm.gov/hcaaf_resource_center/assets/Tal_tool1.pdf.

⁷² U.S. Merit Systems Protection Board, *Managing for Engagement, Communication, Connection and Courage* July 2009, accessed October 2010 http://www.doi.gov/hrm/MSPB_Response.pdf.

⁷³ Catherine Dale, *Building an Interagency Cadre of National Security Professionals: Proposals, Recent Experience, and Issues for Congress* (Order Code RL34565) Congressional Research Service (8 July 2008) accessed October 2010 <http://www.fas.org/sgp/crs/natsec/RL34565.pdf>.



beautiful plaques and significant cash awards. While many of the current awards and recognition take the form of cash, a number of studies indicate that cash awards and bonuses can be relatively short term motivators, while incentives such as increased autonomy, choice assignments and public praise and recognition can be the “gifts that keep on giving.”

A true cost benefit analysis for incentives is a challenge because of the difficulty in identifying a quantifiable value in terms of organizational benefits associated with the granting of an incentive award. By way of comparison, however, each year, United States firms spend more than \$117 billion on tangible incentives and awards, representing about 3% of the United States payroll. More than 80 % of these incentives are cash-based⁷⁴. In fiscal year 2008, the United States Federal Government spent close to \$2 billion on awards paid under the authority of Chapter 45 of Title 5, U. S. Code. This represented nearly 2% of total government salaries.

The impact of incentives varies depending on factors such as the type of incentives, the duration of the program, the target audience, and intrinsic individual values. For example, cash awards tend to have more significant impact in occupations that are manual and require more repetitive functions. In cognitive occupations, non-tangible incentives such as self-direction, autonomy, and purpose are stronger incentives and tend to have more dramatic impacts on performance. In these instances cash incentives have marginal impacts, and in some cases may not work. Intrinsic values, therefore can have significant benefits, and yet cost little to nothing⁷⁵. Recent research by the Incentive Research Foundation has found that incentives, regardless of the type, can have significant impacts on performance. Meta-analysis from 45 studies and survey findings, reveal the following:⁷⁶

- Properly selected and administered tangible incentives (cash and awards) can dramatically increase work performance
- When tangible incentives are carefully selected, implemented, and monitored, they increase incentivized work performance an average of 22%
- Tangible incentives can significantly increase one’s intrinsic interest in incentivized work tasks

The research of the Gallup Organization and others also shows that employee engagement and commitment are increased, sometimes significantly, when the element of employee choice is introduced. This suggests that the incentives structure for an INSP system should give strong consideration to providing appropriate employee choice in its human capital policies and programs.

Historically, incentives have focused almost exclusively on the performance and behavior of individual employees. More recent thinking has begun to focus on incentives for changing organizational culture and behavior, particularly incentives which support innovation within organizations. Here the focus is a bit different, but the results to be accomplished are the same – incentives which motivate agencies to act in certain ways, for example, policies and procedures

⁷⁴ Harold D. Stolovitch, *Incentives, Motivation and Workplace Performance: Research & Best Practices*, Incentive Research Foundation, 2002.

⁷⁵ Daniel H. Pink, *Drive: The Surprising Truth About What Motivates Us* (New York, NY: Riverhead Books, 2009).

⁷⁶ Stolovitch, Harold D. *Incentives, Motivation and Workplace Performance: Research & Best Practices*. Incentive Research Foundation. 2002.



which support and reward organizations that embrace and support interagency and/or intergovernmental assignments. Another area of focus for organizations is incentives that support organizational innovation. Incentivizing organizational innovation is discussed later in this chapter.

The following points summarize the effective use of incentives as a key design element of a National Security Professional system to attract and retain NSPs:

- Current authorities allow agencies to design effective incentive and recognition programs for NSPs and organizations
- Programs should be closely linked to an NSP system vision or mission
- Programs should include financial and non-financial awards
- Impact of non-financial awards is greater if combined/bundled (e.g. time off award combined with cash award)
- Non-tangible incentives, such as oral or written recognition, increased autonomy, and use of HR mechanisms, such as enhanced promotion potential and improved assignments, will have longer-term impact than monetary incentives

Recommendation: Agencies in the National Security community should design an incentive and recognition program for NSPs and groups utilizing financial, non-financial, and HR mechanisms to motivate participation in interagency professional development opportunities and to recognize individual, group, and organizational achievements in performing interagency activities.

4.2 TRANSFORMING CULTURE

For an organization to reach maximum effectiveness and efficiency, there must be a shared vision of what is to be accomplished, buttressed by shared values, attitudes, beliefs, assumptions, artifacts, and behaviors⁷⁷ that are institutionalized to create the routines and habits of an organization seeking to create predictability.⁷⁸ There must be an organizational culture that binds the group together. This shared culture influences internal and external relationships, and it guides and defines individual actions.

WHY FOCUS ON CULTURE?

Culture has also been an identified barrier to halting efforts of both public and private sector organizations who try to transform themselves. This is particularly true when the transformational goal is to move from an industrial age vertical structure into a more modern, agile, networked organization. Departments and agencies have strong, dominant cultures reflective of their legislative mandates, and this tends to trump interagency culture and the ability

⁷⁷ Bruce M. Tharp, *Four Organizational Culture Types- Haworth Organizational Culture White Paper* April 2009, accessed October 2010 http://www.haworth.com/en-us/Knowledge/Workplace-Library/Documents/Four-Organizational-Culture-Types_6.pdf.

⁷⁸ Edgar H. Schein, *Organizational and Managerial Culture as a Facilitator or Inhibitor of Organizational Learning*, Working Paper 3831, 29 June 1995, accessed October 2010 <http://dspace.mit.edu/bitstream/handle/1721.1/2581/SWP-3831-33296477.pdf;jsessionid=0A1FFE5A8475E1BA555CBDF5B4585D72?sequence=1>.

to work effectively in a collaborative fashion.⁷⁹ Strong cultures are good if they are aligned with the system, vision, and mission and are appropriate for the goals of the organization. However, strong culture organizations may not be as adaptive in the long term.⁸⁰ In the collaborative realm, having a diverse group of people with different backgrounds is ideal to provide the widest perspectives when examining issues and problems. However, if the culture is so strong that it renders an individual incapable of comprehending others' logic and ways of thinking because it is so different from their own, the culture becomes stifling and counterproductive.

Leadership is crucial in transformative change and in enabling individuals in an evolving system. The following⁸¹ are successful managerial practices within collaborative cultures:

- Forge relationships
- Develop flexibility
- Encourage courage
- Support risk taking
- Enable empowerment

While these were given in the context of a crisis capacity for responders, they are real aspects of the day-to-day work in which culture is created. Effective leadership creates a culture that is defined by the day-to-day interactions that influence peoples' ideas of acceptable performance.

Recommendation: A successful INSP system creates a culture of its own with strong effective leadership that promotes identification of NSPs as a community while the individuals also work within the unique department and agency cultures from which they come.

BRANDING

Small changes can be used when creating a new culture or sub-culture, as with the INSP system. Inherent in these small steps are reflections of the larger changes. These steps for creating or transmitting a culture are also known as creating a brand. Patrick Hanlon, founder of Thinktopia, an idea engineering firm, distills the branding process to seven elements.⁸²

Several elements that impact the creation of a successful brand for NSPs and the INSP system include:

- *A creation story* and creed that describe the purpose and philosophy of the group.
- *Icons and logos* that identify a specific community of people.
- *Common rituals, behaviors, or experiences* that bind a community together through shared values and experiences.

⁷⁹ Project on National Security Reform, *Forging a New Shield* (Arlington, Va.: PNSR, 2008).

⁸⁰ Alicia Boisnier & Jennifer A. Chatman, *The Role of Subcultures in Agile Organizations* 24 May 2002, accessed October 2010 <http://www.hbs.edu/research/facpubs/workingpapers/papers2/0102/02-091.pdf>.

⁸¹ Center for Creative Leadership, "Build Culture, Build Capacity-Leading Effectively Series Podcasts," 2010, accessed October 2010 <http://www.ccl.org/leadership/podcast/transcriptBuildCulture.aspx>.

⁸² Hanlon, Patrick, *Primalbranding: Create Zealots for Your Brand, Your Company, and Your Future*, Free Press (January 24, 2006).



Recommendation: Various elements of a brand reinforce organizational and cultural change. Creeds, creation stories, and icons, for example, can simultaneously aid leadership in articulating their mission while providing a clear line of sight for individuals to connect with the organization. A lapel pin with an INSP system logo could be a positive branding feature.

ORGANIZATIONAL CULTURE

Because organizational culture is such a broad and complex concept, it is often cited as *the* critical success factor. There is no magic wand to be waved. Profound change takes time and presents inherent challenges and possible downfalls.

Organizational culture can be too strong and actually stifle an organization. Flexibility is an inherent component of successful cultures and thus must be reflected through the organization in as many facets as possible. During transformation, there will be people who have been so ingrained in the prior culture that they will feel that to act in a different fashion is to not be themselves and will leave the organization.⁸³ Leaders must be willing to remove barriers and aspects of culture that are counterproductive, even if that means losing people or removing iconic people who represent the old culture. The benefit of such action is that it provides the opportunity to recruit people who do fit into the new culture. Often this is reflected by taking advantage of generational change and bringing an influx of new, often young, professionals into the workforce.

Creating a culture takes time and is reinforced through leadership, consistency, and experience. It is frequently the case that those who are most senior in an organization tend to have the hardest time adjusting to a new culture as they have been inculcated the most in their agencies' current cultures. However, they are also supposed to function as the leaders of change and models for behavior when they themselves will experience the most difficulty in accepting the changes. This is an inherent contradiction. No two transformations are alike.⁸⁴ These various aspects are present in every organization and agency. Some may have strong lines of sight, or be working on a bottom up approach while others focus on a top down model, or may be stagnating.

Organizations that are considering change must conduct an honest evaluation of their culture and the readiness of the organization and its employees at every level to change. The underlying cause of failure in the majority of change initiatives is that the organization has not developed the capabilities to reflect on, inquire about, and talk openly together about impeding structures, practices, and mindsets that are blocking change. People cannot raise the serious issues that need to be addressed without invoking defensiveness.⁸⁵ Creating an environment in which employees may pose their questions, fears about, and ideas for change is an extraordinary leadership challenge.

⁸³ Edgar H. Schein, "Leadership and Organizational Culture," *The Leader of the Future*, Ed. Frances Hesselbein, Marshall Goldsmith, & Richard Beckhard (San Francisco, CA: Jossey-Bass, 1996)
<http://www.hss.doe.gov/deprep/archive/oversight>.

⁸⁴ United States, Government Accountability Office, *Results-Oriented Cultures: Implementation Steps to Assist Mergers and Organizational Transformations*, July 2003 GAO-03-669 (Washington, DC: GAO) July 2003, accessed October 2010 <http://www.gao.gov/new.items/d03669.pdf>.

⁸⁵ Peter Senge, et al., *The Dance of Change : The Challenges of Sustaining Moment in Learning Organizations* (New York, NY: Doubleday, 1999).



The public sector has a particularly powerful factor that can support the change process. Public sector employees are devoted to the mission they serve. Culture change can come more quickly when employees and leaders are able to see a direct relationship between the mission they care about and the ability of the proposed changes to help them achieve that mission.

Leaders who can communicate both the vision and strategic goals while encouraging communication, openness, flexibility, and risk taking tend to be the most effective in facilitating a profound cultural change. An ideal situation is to work from both directions, top and bottom, at the same time. Leadership can be preparing for change and focusing on strategy while innovative ideas and concepts are allowed to be pulled up organically from the bottom of the organization.

Recommendation: Careful consideration must be given in building an INSP system that is both strategically focused and open to a collaborative culture and structure. A culture is needed in which the backgrounds, perspectives, and ideas of someone from DoD and someone from USDA are seen as advantages to providing a broader perspective, and not a barrier to comprehension and progress.

4.3 ENABLING ATTRIBUTES

4.3.1 ENTREPRENEURIAL APPROACHES

The national security community can create a powerful organizational incentive by creating competition within and among agencies to identify innovative solutions to specific national security issues. The potential topics involve professional development, human capital, policy, or operational issues. The issues could be selected by the Interagency Policy Committee (IPC) from those nominated by the national security community. Agencies would be encouraged to select a critical issue to address and develop an innovative and creative solution. In addition to recognition from other organizations and the professional community, an additional incentive to participate in this competition would be a substantial financial grant to be used toward the winning agency's NSP program. This organizational and individual incentive would encourage entrepreneurial thinking and result in innovative solutions to important issues.

Entrepreneurial approaches are not dependent upon permission from higher authority. They can easily come from within the group. "Entrepreneurial" and "hierarchical" are inherently antithetical notions, which suggest that it is useful to create a public framework for entrepreneurial approaches and then step out of the way and let the creative forces take over.

4.3.2 ORGANIZATIONAL INNOVATION

To encourage and harness creativity and entrepreneurship across agencies, innovation can be incentivized. The concept of *innocentives* has taken root in the public sector:

- In 2004, the Defense Advanced Research Projects Agency (DARPA) was authorized by Congress to conduct contests and offer cash prizes to participate in the first DARPA



Grand Challenge. Additional DARPA Grand Challenge contests took place in 2005 and 2007.⁸⁶

- Since 2005, NASA has offered competitive prizes, awarding a total of \$4.5 million, for NGO-funded advancements in technology through their Centennial Challenges program. Three new challenges were announced in July 2010 to add to the 19 competition events that have already been held over the past 5 years.⁸⁷
- September 2009, President Obama issued “A Strategy for American Innovation.”⁸⁸
- In March 2010, OPM issued guidance to agencies to increase the use of challenges and prizes for the development of new tools and approaches as part of the president’s effort to create a more collaborative government.⁸⁹
- As of October 2010, 42 challenges from 21 departments and agencies have been posted on the new website Challenge.gov.

The 20th century command and control models that focused on ‘pushing’ innovation are being challenged by and giving way to 21st century network models based on ‘pulling’ innovation from diverse resources and available human capital from across public and private, agency and department boundaries. This change is totally consistent with the idea of networked organizations discussed in Section 7.2.1. It is also consistent with the concept that every individual can be a leader and can make a contribution. Contribution is not dependent on a directive from a higher level leader but resides within the individual.

4.3.3 COMMUNITIES OF PRACTICE

Another opportunity to improve collaboration is through communities of practice. In general, communities of practice serve as a vehicle for workforce professionals and thought leaders to discuss and share promising practices within a subject matter area. Such communities of practice often provide an interactive platform for providing technical assistance through webinars, discussion boards, blogs, and other online resources to workforce professionals.

One of the first federal agencies to use communities of practice was the National Aeronautical and Space Administration (NASA). For example, the NASA Engineering Network was designed to connect NASA engineers and provide resources to help them effectively and efficiently solve problems and design solutions.

The February 2010 National Disaster Recovery Framework envisions establishing communities of practice for the 6 Recovery Support Functions. These functions bring together federal departments and agencies—including those not active in emergency response—to collaborate and focus on recovery needs. By organizing long-term recovery into these 6 manageable components, relevant stakeholders and experts can effectively be brought together to identify and

⁸⁶ *DARPA Urban Challenge*, accessed October 2010 <http://www.darpa.mil/grandchallenge>.

⁸⁷ David E. Steitz, “Release: 10-162, NASA Announces Three New Centennial Challenges,” NASA, 13 July 2010, accessed October 2010 http://www.nasa.gov/home/hqnews/2010/jul/HQ_10-162_New_Centennial_Challenges.html.

⁸⁸ Executive Office of the President, National Economic Council, Office of Science and Technology Policy, *A Strategy for American Innovation: Driving Towards Sustainable Growth and Quality Jobs* (September 2009).

⁸⁹ United States, Office of Personnel Management, “Guidance on the Use of Challenges and Prizes to Promote Open Government”, Memorandum M-10-11, (8 March 2010).



resolve recovery challenges. The 6 Recovery Support Functions, along with the key federal agencies involved, are shown in the table in Appendix 7.8.2.

The Chief Learning Officers (CLOs) of various departments and agencies have also coalesced into a robust community of practice to collaborate on training and education issues. In 2004, they established the CLO Council, which, while informal, provides organization and structure for their discussions. Officials from the Department of Commerce have played a particularly strong leadership role in the formation and continuity of the CLO Council. A number of traditional national security players participate regularly, but the CLO Council could also be a forum through which to evolve relationships and best practices among a broader set of stakeholders in our national security missions.

These communities of practice not only should be able to coordinate and increase collaboration among key federal departments and agencies, but also could involve state and local governments, businesses, and voluntary, faith-based, and community organizations. Such communities of practice could also be used to improve collaboration in other parts of the national security system.

4.3.4 SOCIAL NETWORKING

Social networking began in the late 1990s with websites that offered users the ability to create profiles and link to others' profiles.⁹⁰ In addition, websites like Wikipedia provide spaces for people to collaborate in content creation. Tagging and bookmarking help people to sort content socially.⁹¹ As social networking sites grew in popularity, businesses began to incorporate them into internal websites. They found these features improved collaboration and helped remove organizational barriers. As social networking sites advanced, they began to incorporate more user-generated content, which in the business, meant greater feedback, more innovation, accumulation of knowledge and learning, and more engaged employees.

The advantage of social networking for organizations is its network-enabled approach to problem solving. The idea of “networked organizations” has been around for more than 40 years.⁹² This concept has recently gained currency because of the combination of advances in information technology and the challenges of solving increasingly complex problems. The failure of traditional approaches—namely hierarchies and market structures—to solve such complex problems has created an imperative for a new alternative. This alternative, networks, is purported to solve the “coordination problem” by providing more expansive access to knowledge bases and facilitating wider and more effective information sharing. As the U.S. moves into the 21st century strategic environment, social networking can play an important role.

⁹⁰ Danah M. Boyd & Nicole B. Ellison, “Social Network Sites: Definition, History, and Scholarship,” *Journal of Computer-Mediated Communication* Vol. 13, No. 1, October 2008: 210-230, accessed October 2010 <http://jcmc.indiana.edu/vol13/issue1/boyd.ellison.html>.

⁹¹ Emma Antunes, *How Social Networking Can Enable Mission Success: An Overview of Web 2.0*, NASA, 24 February 2009, accessed October 13, 2010 <http://pmchallenge.gsfc.nasa.gov/docs/2009/presentations/Antunes.Emma.pdf>.

⁹² John Sviokla, *The Rise of the Networked Organizations* 2004, accessed October 2010 http://exchange.diamondconsultants.com/pdf/Network_Org_White_Paper.pdf.



The U.S. Government has lagged the private sector in adopting social networking practices, but it has made important gains. For example, the Nuclear Regulatory Commission (NRC) developed Tomoye, a Microsoft SharePoint-based tool, to combat the loss of knowledge from experienced people leaving the agency.⁹³ NASA hosts wikis, blogs, and tagging tools on its intranet.⁹⁴ Its social networking site is called Spacebook.⁹⁵ Perhaps most well known of all government efforts, the intelligence community has created tools such as Intellipedia, a collaborative wiki, and A-Space. “A-Space lets the analysts create workspaces on various subject matter, such as the avian flu, Iranian elections, or Somali piracy, on which they can share information and collaborate on projects.”⁹⁶ Other examples include Diplopedia, FedSpace, milBook, and Bureaupedia. GovLoop is a private site that serves people in the federal government and those who are interested in the community.

While information technology specialists are required to ensure that the technical needs of social networking sites are met, the role of social networking in human capital is of equal strategic importance. Social networking sites serve to increase employee engagement, identify experts, improve communications, host online courses, and provide data for workforce planning and organizational analysis.⁹⁷ For example, BestBuy found that about 20,000 employees who participated in www.blueshirtnation.com had only 8 to 12% turnover, compared to the overall company turnover rate of 60%. “Starbucks used its social network to find native Czech speakers to help open new stores in the Czech Republic.”⁹⁸ At Swiss Re, the company “deployed social business software globally to improve collaboration, increase the cohesion of their matrix organization structure and deal with the complexity of combining diverse expertise in the design of products and solutions.”⁹⁹ IBM uses a comprehensive system, IBM Dynamic Workplaces, or W3, that includes profiles, messaging, collaboration spaces, and even HR tools.¹⁰⁰ As one employee commented on IBM’s online directory, Blue Pages, “We started hot-desking seven or eight years ago, and we became unable to find people [within the organization]... So we had to

⁹³William Jackson, “Social media helps NRC combat brain drain,” *Government Executive Magazine*, 2 September 2010, accessed October 2010 <http://gcn.com/articles/2010/09/06/nrc-gov-2.0.aspx>.

⁹⁴Emma Antunes, *How Social Networking Can Enable Mission Success: An Overview of Web 2.0*, NASA, 24 February 2009, accessed October 13, 2010 <http://pmchallenge.gsfc.nasa.gov/docs/2009/presentations/Antunes.Emma.pdf>.

⁹⁵SpaceBook, White House, accessed October 2010 <http://www.whitehouse.gov/open/innovations/spacebook>.

⁹⁶Rutrell Yasin, “National security and social networking are compatible,” *Government Computer News*, 23 July 2009, accessed October 2010 <http://gcn.com/Articles/2009/07/23/Social-networking-media-national-security.aspx?Page=2#>.

⁹⁷Evan Metter, Vlad Gyster and Rob Lamson, “Enterprise 2.0 and HR: Realizing the Potential,” *IHRIM Journal* Vol. XII, No 5, 2008, accessed October 2010 http://www.towersperrin.com/tp/getwebcachedoc?country=usa&webc=USA/2009/200901/IHJour_XII_No5_p03_08.pdf.

⁹⁸Evan Metter, Vlad Gyster and Rob Lamson, “Enterprise 2.0 and HR: Realizing the Potential,” *IHRIM Journal* Vol. XII, No 5, 2008, accessed October 2010 http://www.towersperrin.com/tp/getwebcachedoc?country=usa&webc=USA/2009/200901/IHJour_XII_No5_p03_08.pdf.

⁹⁹Namrata Murlidhar, “HR Begins to tap the Potential of Social Business Software,” *Workforce Solutions Review Online* September 2010, accessed October 2010 http://www.ihrimpublishations.com/WSR_Online_Archives/HR_Begins_to_tap_the_Potential_of_Social_Business_Software.php.

¹⁰⁰Jo Smeaton, “IBM’s Own Intranet: Saving Big Blue Millions,” *Intranet Journal* 25 September 2002, accessed October 2010 http://www.intranetjournal.com/articles/200209/ij_09_25_02b.html.



build a tool to enable us to find people and the skills they have."¹⁰¹ One manager said of W3, "W3 has surpassed management, coworkers, external media, and the internet in terms of usefulness... It's had a profound impact on our culture. In fact, it's become our culture."¹⁰²

In the federal government, leadership attention to social networking is a significant issue. Many large policy decisions are made through the process of memos and meetings, and it is not clear if social networking activity affects the policy process. For employees, this can make social networking seem futile. John Kagia, director of custom research services at Market Connections, which conducted surveys on social networking in the federal government, has said, "Generally, you'd have to go through a number of layers or gatekeepers before you had access to those people [strategic decision-makers]... [H]ow it's being used to influence strategic decision-making, purchasing behavior and agency policy...is still an unanswered question."¹⁰³

4.4 CONCLUSIONS

The INSP system design must take into account the key elements of scope, terminology, patterns of work, information technology, accountability, partnerships with employee unions and associations, and incentives.

The lessons learned from successful and failed transformation projects are powerful, and to ignore them is to imperil change. Political and career leadership must be involved and must articulate a clear vision and reason for change. The most successful transformations are those which can articulate a direct relationship between the change being made and the organization's and the individual's ability to achieve the agency mission more effectively and more efficiently.

Furthermore, employees at all levels must be engaged in the transformation effort at the problem identification, problem solution, piloting, and implementation stages. Change is facilitated with communities of practice, networked organizations, and social networks because these entities enhance both vertical and horizontal collaboration.

¹⁰¹ Suw Charman-Anderson, "Social Networking Stands to Benefit Businesses," *CIO Executive Council* 13 August 2008, accessed October 2010 http://www.cio.com.au/article/256672/social_networking_stands_benefit_businesses/.

¹⁰² Jo Smeaton, "IBM's Own Intranet: Saving Big Blue Millions," *Intranet Journal* 25 September 2002, accessed October 2010 http://www.intranetjournal.com/articles/200209/ij_09_25_02b.html.

¹⁰³ Henry Kenyon, "Government waking up to social media, survey finds," *Government Computer News* 24 September 2010, accessed October 2010 <http://gcn.com/Articles/2010/09/24/Study-Outlines-Government-Social-Media-Use.aspx?Page=3>.



5. PATHWAY TO A FUTURE SYSTEM

The previous chapters have described the history of national security interagency programs and the challenges facing the development of a new system. In this chapter, PNSR recommends and describes the development of a new system in terms of successive stages and discusses various pilot programs which can provide additional guidance about how to proceed.

5.1 VISION FOR AN INTEGRATED SYSTEM

Since issuance of Executive Order 13434 in May 2007, agencies have made progress in promoting the education, training, and experience of professionals in national security positions in executive departments and agencies. However, extensive work remains to fully prepare the national security system and its workforce to confront the challenges of the strategic environment today and tomorrow.

The need now is further development of a human capital system with greater integration across its components, including military and state and local personnel. The new human capital system must be able to enhance performance through strategic investment that further institutionalizes development of National Security Professionals who are educated, trained, and incentivized to work across boundaries and achieve the desired outcome of better integrated, and more effective, policy development, execution, and evaluation. *In this study, PNSR proposes a specific vision of such a system, which would be achieved through a series of stages, each with key elements and actions along the pathway.*

The Integrated National Security Professional system would not replace or restructure existing agency human capital systems but rather would overlay such systems. It would have the following key features:

- **Strategic investment in a federal human capital program** which provides the foundation to support the emerging profession of National Security Professionals (NSPs) who work with national security interests throughout all federal departments and agencies, bolstered by participation of other organizations (state, local, tribal, international, non-profit and private sector) through exchanges and “continuum of service” opportunities, in a whole of government system.¹⁰⁴
- **A system that is both person-based and position-based** so that rank can be tied to either positions or people.

¹⁰⁴ As directed by the Statement of Work, this study acknowledges that the recommendations for an Integrated National Security Professional system do not apply to the various excepted services and political appointments such as U.S. ambassadors and similar positions.



- **Designation of specific positions** for service by NSPs involving responsibilities that are inherently collaborative across organizational boundaries (intra-agency, interagency, intergovernmental, international, or public/private) with incumbents serving outside their primary department, agency or major organization, during steady-state assignment, special task force or team, or in crisis response.
- **Progressive development and qualification** of NSPs through a series of levels representing achievement of proficiency in collaborative teaming across organizational boundaries as the result of education, training, experience and demonstrated performance with established agency and interagency requirements, qualifications and management.
- **Centralized management** of the system, including career development and tracking of the careers of the most senior NSPs, funding for central aspects of the program, evaluation, and oversight.
- **Recognition of various “patterns of work” in the national security community and “one size may not fit all”** in the development of elements of a NSP career development system.
- **Multiple levels of achievement/rank** for NSPs based on accumulated training, education, experience, and demonstrated proficiency of service in intra-agency, interagency, intergovernmental, international, and public/private positions outside one’s own primary organization.
- **Formal program for integrated training and education**, largely run by individual departments and agencies but with some centralized mandates and courses.
- **Self-selection** to pursue NSP qualifications, bolstered by incentives and recruitment programs.
- **Entry and training laterally** or at an early career stage.
- **Central funding** for key aspects of the system such as the development, implementation, and maintenance of any interagency education and training curricula and qualification processes, as well as costs for experiential opportunities, incentives, human capital tracking systems, and central management functions.
- **Central evaluation** and oversight of the system.

5.1.1 NEED FOR AN INTEGRATED NATIONAL SECURITY PROFESSIONAL SYSTEM

In Section 1054 of the National Defense Authorization Act of 2010—the statutory mandate for this study—Congress recognized the need for a “system for career development and management of interagency national security professionals.” This report identifies multiple system dimensions and a pathway to reach them to facilitate a more comprehensive examination on a future “Integrated National Security Professional (INSP) system.” This phrase is used throughout the study to describe a system that is: 1) comprised of multiple interrelated systemic dimensions and 2) integrated throughout the full range of national security processes and across various organizational boundaries including civil-military, interagency, and intergovernmental. The people in the system are National Security Professionals (NSPs).

The concept of integrated National Security Professionals is not new. Formal identification of the emerging profession began in 2008 with the implementation of Executive Order 13434. The executive order established “the policy of the United States to promote the education, training,



and experience of current and future professionals in national security positions.”¹⁰⁵ This policy planted the seed for a system of interagency national security professionals. However, NSPs were identified primarily within the context of existing positions in internal agency systems. A distinct, complementary, and integrated system for professionals in interagency or intergovernmental national security positions – or with certain specified qualifications and able to serve in such positions – is less developed, with some dimensions further along than others.

As noted earlier in this study, “system,” in this sense, refers to “a collection of parts working interdependently to create a specifiable outcome.”¹⁰⁶ Leaders in both the public and private sectors have discovered that a systems approach is often required to holistically address today’s complex problems.

*The realization that simple, neat, and wrong short-term solutions use up precious organizational time, money and creativity is propelling managers to think differently—to think about the synergy of the entire system, not just the sum of its parts.*¹⁰⁷

The strategic environment demands that multiple approaches be considered and that multiple perspectives be applied to a problem. Due to the complexity of both the internal and external national security environment, simple and/or single solutions are increasingly less likely to be effective.

Developing an INSP system does not mean abandoning existing programs and initiatives (e.g. education and training) within departments and agencies. To the contrary, it relies on growing and evolving these initiatives organically and in a coherent way. There are many dimensions to an INSP system. These different elements must work together effectively to produce a common outcome of more effective development, execution, oversight, and evaluation of integrated national security policy, strategy, resourcing, plans, and assessment of outcomes.

Basic Dimensions of an INSP system, including its scope (i.e., its size and the organizational and functional/mission scope of the system) and mechanisms related to resources, authorities, incentives, and professional development, as well as other dimensions such as leadership, trust, and culture must also be considered to ensure that NSPs are developed with the right attributes and mind sets.

After describing the degree of integration required across the system, the remainder of this study considers the different dimensions of an INSP system in the context of sequential stages, including potential pilot programs, designed to build over time a comprehensive system.

¹⁰⁵ United States, White House. *Executive Order 13434: National Security Professional Development* (Washington, D.C. White House, 2007) 1.

¹⁰⁶ Ron Zemke, “Systems Thinking: Looking at how systems really work can be enlightening—or a wake-up call,” *Training* Vol. 38, no. 2 (2001): 40-46.

¹⁰⁷ Ron Zemke, “Systems Thinking: Looking at how systems really work can be enlightening—or a wake-up call,” *Training* Vol. 38, no. 2 (2001): 40-46.



5.1.2 WHAT DEGREE OF INTEGRATION IS REQUIRED ACROSS THE INSP SYSTEM?

There are several possible frameworks available to guide the discussion on the minimum degree of integration required by organizations and individuals in the future national security system.¹⁰⁸

The National Security Professional Development Integration Office (NSPD-IO) developed one such draft framework which is arranged in the following hierarchy:

- Collaboration: Execute tasks jointly
- Cooperation: Execute own tasks in pursuit of common goal
- Coordination: Solicit and respond to input from others
- Consultation: Inform others who may need to know
- Communication: Disclose information, plans, opinions/perceptions¹⁰⁹

Government organizations already communicate, consult, coordinate, and cooperate to some degree, but they rarely collaborate in the sense of subordinating individual agency interests for the benefit of the whole. In fact, barriers to collaboration are inherent in the current system. In a 2005 report, the Government Accountability Office (GAO) found that:

*The federal government faces a series of challenges in the 21st century that will be difficult, if not impossible, for any single agency to address alone. Many issues cut across more than one agency and their actions are not well coordinated. Moreover, agencies face a range of barriers when they attempt to work collaboratively.*¹¹⁰

At the strategic level, virtually all 21st century national security challenges require an integrated approach across a variety of interagency and, in some cases, intergovernmental and private-sector actors. *Collaboration* – execution of tasks jointly – between the multiple stakeholders ensures that activities are defined by policy, planned, resourced, overseen, and assessed in a holistic manner. Strategic *collaboration* requires all-source intelligence, staff review, and decision-making that is not beholden to the interests of specific departments or agencies. For example, policy formulation in Interagency Policy Committees and strategy development in the National Security Staff must be done collaboratively with a national, not individual agency or lowest-common-denominator, perspective.

At the operational level, many 21st century national security challenges require *cooperation*—execution of separate tasks in pursuit of a common goal—and in some cases *collaboration* will be necessary as well. For example, integrated planning at interagency organizations such as joint interagency task forces (e.g., Joint Interagency Task Force (JIATF)-SOUTH) must be done collaboratively. In the future, civilian-led integrated regional centers (a civilian equivalent to DoD’s regional combatant commands) may also require *collaboration* to carry out national security policy at the regional level. For cases in which *cooperation* is required, strategic

¹⁰⁸ See also: *Forging a New Shield*, glossary; GAO Report on *Results Oriented Government: Practices That Can Help Enhance and Sustain Collaboration among Federal Agencies*.

¹⁰⁹ From agency interviews July-October 2010.

¹¹⁰ United States, Government Accountability Office, *Results-Oriented Government: Practices That Can Help Enhance and Sustain Collaboration among Federal Agencies* GAO-06-15 (Washington, DC: GAO) 21 October 2005, accessed October 2010 <http://www.gao.gov/new.items/d0615.pdf>.



collaboration should ensure that separate operational activities are designed and executed to complement and reinforce one another.

In the field, *coordination* – solicitation and response to input from others – and *cooperation* combine to achieve the *collaboration* required for field interoperability. This means, the ability of people, organizations, and equipment from separate departments and agencies to work together at all levels, and of leaders to exercise initiative in mutual support, including the ability to draw upon each other’s information and expertise. Successful field interoperability involves a wide variety of activities including equipment and protocols for *communications*, a culture of sharing that is encouraged by senior leadership, the ability to provide or exchange resources without legal or other inhibitions, common understanding of intents and capabilities, and clear standards for accountability that are also agile enough to embrace and expect cross-functional and interagency mutual support. Provincial Reconstruction Teams (PRTs) and Field Advanced Civilian Teams are examples of field operations that require *collaboration*.

5.2 MANAGING THE INSP SYSTEM

The INSP system requires executive branch leadership, below the level of the President, to direct and manage the system on a day-to-day basis and to fulfill functions such as tracking personnel and evaluating system performance.

One of the great challenges to the successful development and implementation of the INSP system is creating an appropriate and effective management organization to lead the effort. While the federal government has several centuries of experience leading and managing vertical organizations, it has substantially less experience leading horizontal organizations which are interagency and integrated in nature. The creation of the INSP system offers the ideal opportunity to further develop integrated interagency and intergovernmental leadership and management policies, procedures, and expertise. It also gives Congress the opportunity to reexamine its internal structures and processes for the authorization, appropriation, and oversight functions related to NSPs and the INSP system.

5.2.1 OPTIONS FOR MANAGING THE INSP SYSTEM

At the most strategic level, a champion in both the executive and legislative branches is critical to provide political visibility and funding for the overall INSP initiative.

Under the current administration, the NSPD-IO office reports to a senior staff member at the National Security Staff. An Interagency Policy Committee (IPC) provides policy and strategic direction for NSPD-IO, and a sub-IPC is responsible for a variety of program and procedural issues. Although these are steps in the right direction, this arrangement is not sufficient. NSPD-IO is neither empowered nor staffed to manage the INSP system on a day-to-day basis. It is also not interagency or integrated in composition, funding or congressional oversight. Furthermore, no one, including the National Security Staff has the authority to direct actions by departments or agencies. The National Security Council is focused on policy – rather than management or planning, for example – and embodies a consensus-based approach to decision-making that is not sufficient for the difficult decisions required to develop and implement an INSP system.



The PNSR team examined multiple options to manage the INSP system, ranging from appointment of an existing department and agency as the executive agent to creating a new entity. Based on past and current analysis, the PNSR team concluded that whatever option is chosen must incorporate the following characteristics:

- Authority to orchestrate and manage the overall INSP system
- A reporting chain to the President
- An institutional linkage to the National Security Staff
- Clearly defined roles and responsibilities between the central management organization and the individual departments and agencies whose national security professional employees carry out the integrated interagency and intergovernmental functions of national security
- Clear strategic and operational communications between and among all of the involved organizations and parties
- A direct funding source
- Congressional support and coordinated congressional oversight

Appointing an existing department or agency as the executive agent has appeal because there are a number of agencies, for example OPM, DoD, DHS, and ODNI, who have various qualifications to fulfill this role. OPM has the human capital policy role and authority, but little experience with the intricacies of national security and the interagency processes that are critical to a successful national security policy and process. Nor does it, as currently configured, have the capacity or expertise to fulfill this management role. Moreover, it has just been given significant new responsibilities under the recent healthcare reform legislation. DoD is certainly steeped in the knowledge of national security and in the military experience of the Goldwater-Nichols reform of the military. DHS holds a central role in linking national and state and local national security and natural disasters. ODNI comes closest to having an interagency perspective based on its role in working with the 17 intelligence agencies under its umbrella, and it has worked diligently to structure interagency human capital policies for the organizations under its jurisdiction.

However, all of these agencies are industrial age structures. They are predominately vertical in their mission, vision, functions, funding, and human capital policies and procedures that compose their cultural and organizational constructs. In the judgment of the PNSR study team, no matter how hard these organizations try, it would be difficult, if not impossible, for them to make the transition to the type of horizontal management, collaboration and integration that is essential for a successful Integrated National Security Professional system. Finally, as documented in PNSR's *Forging a New Shield* and numerous case studies, the lead agency concept has historically failed to produce interagency or integrated efforts and more often than not, resulted in the lead agency being the only real player because other participants silently "opt out" of the arrangement.

The study team also considered whether the National Security Staff (NSS) might be the appropriate place to house the authority and responsibility to direct and manage the Integrated National Security Professional system. The NSS recently has been leading the policy process through an Interagency Policy Committee on National Security Professionals and is steeped in the interagency relationships required for national security matters. However, the NSS, as



currently configured, does not have the capacity or expertise needed to fulfill this management role. Furthermore, continuity will be important for the organizations involved with setting goals for and evaluating INSP system performance. The National Security Staff serves at the pleasure of the President and changes with each administration.

What is needed for the management and direction of the Integrated National Security Professional system is a wholly new creation that “eats, breathes, thinks, and acts” integrated, interagency, intergovernmental, and whole-of-government 24 hours a day, 7 days a week.

5.2.2 INTEGRATED NATIONAL SECURITY PROFESSIONAL SYSTEM MANAGEMENT BOARD

The PNSR Team has concluded that **the most appropriate management organization option is to create an independent Board** to manage the INSP system. The Board director would be appointed for a five- to seven-year term that spans transitions of presidential administrations to direct and manage the INSP system. During the first years of his/her tenure, the director’s focus would be to direct the initial system development and implementation and to test effective ways to manage a collaborative interagency organization. PNSR recommends Senate confirmation for the director so that he/she is an officer of the United States with directive authority.

The director would be a nationally recognized, experienced leader who is knowledgeable of national security programmatic issues, has experience in leading organizational transformations, and understands the workings of the interagency, as well as intergovernmental national security relationships. The individual must also communicate effectively with the national security departments and agencies and their national security professional employees, other internal and external stakeholders, and Congress.

The Board would be established by executive order initially and then be institutionalized by an act of Congress.

The Board would report to the President through the National Security Staff, but would be chartered as an independent entity, with independent authority to act as required to establish an effective and efficient INSP system.

The Board’s charter would include the following authorities and responsibilities:

- Manage the initial development and implementation of the INSP system to include such specifics as:
 - A system(s) to manage interagency assignments which identifies a roster of appropriate interagency and integrated rotational assignments; assures that the NSPs receive substantive assignments that assist them to acquire the needed interagency and integrated experiences appropriate to their grade level; identifies development/rotational assignments that take into consideration the nature of the work and the background of the individual to assure that interagency assignments are meaningful, and assures that NSPs are not disadvantaged for assignment or promotion when they return to their home agency
 - A system for tracking the education, training and experiential assignments of NSPs for career development and qualification purposes, so that in times of need,



the government can identify individuals with particular experiences and skills set for assignment to national security critical needs, e.g. Provincial Reconstruction Teams (PRTs) crisis management teams

- Work with the national security departments and agencies to build, pilot and implement a network of effective and efficient collaborative techniques and relationships to include communities of practices, empowered teams, social network exchange sites and other collaborative tools and techniques
- Develop and pilot incentives which encourage and reward entrepreneurial activities and innovation by organizations and individuals
- Review the current shared capabilities and identify and develop other shared capabilities needed by NSPs
- Further develop qualitative and quantitative metrics that both the Board and departments and agencies can use to judge the effectiveness efficiency and progress of integrated interagency and intergovernmental efforts
- Periodically evaluate the progress being made against the established objectives of the INSP system
- Continually improve and test collaborative interagency and intergovernmental management techniques and systems
- Continually improve and test mechanisms to assure the appropriate accountability and program effectiveness and efficiency of interagency organizations
- Provide periodic assessments on the INSP system to the President and the Congress

The Board would seek the advice of, and work collaboratively with, the currently established IPC and sub-IPC on National Security Professional Development in order to benefit from the knowledge and experience of these committees and to provide insight and assistance to these bodies based on the Board's experience in developing, testing and implementing management and human capital policies, programs and systems that enhance interagency collaboration, effectiveness, and efficiency.

The Board would be comprised of the director and a staff of 20-30 individuals. Funding for the Board would be provided by Congressional authorization (50%) and by agency contributions of dollars and individuals (half of the agency contribution would be dollars and half individuals serving term assignments of one to four years). Thus the staff would be half permanent positions and half rotational positions. The rotations would help assure the development of a group of NSP individuals through their service on the Board who understand the nuances of interagency, integrated, and intergovernmental management and of the human capital, budgetary and information technology systems required to support effective and efficient interagency collaboration to achieve program results.

The current NSPD-IO staff should be integrated into this new organization to contribute the substantial knowledge and experience of NSP issues and needs that it has gained since 2007.

The advantages of establishing an independent Board with authority to manage the INSP system are:



- A small, independent, and empowered Board can be more facile in developing and testing solutions than a large, established bureaucracy with its layers of approvals and authorizations.
- The Board would be an innovative and entrepreneurial approach to testing and learning about collaborative, interagency management systems and techniques. The results of these efforts would be invaluable to advancing knowledge about effective and efficient ways to develop and manage interagency organizations and across governmental levels.

To help assure broad perspectives and access to the most creative thinking about intra and inter-organizational collaboration, the Board should have an advisory group which would provide periodic analysis and advice to help assure the development of the most effective and efficient interagency and intergovernmental policies and procedures. This advisory group should include representatives from the public and private sectors. Public sector members should include representation from the federal Chief Human Capital Council and the Chief Information Technology Council. The private sector members should include representation from organizations that are horizontal and collaborative and from educational institutions. The charter of the advisory group would be to provide independent advice to the Board director on matters related to creating and maintaining horizontal, collaboration mechanisms to support the INSP system.

The President should establish through Executive Order, and Congress should institutionalize through legislation, a new, independent Board with a direct funding source, whose chief executive is appointed for a five- to seven-year term. The Board should be authorized to develop and pilot leadership, management, and procedural mechanisms appropriate to the interagency, intergovernmental and multi-sector (i.e. public, private, international) needs of the INSP system. The Board would be assisted by an independent advisory group which brings insights from the public and private sectors.

5.2.3 NATIONAL SECURITY PROFESSIONAL LEVELS

To implement a whole-of-government national security system as described above, PNSR proposes that National Security Professionals be qualified at various levels based on education, training, and experience qualifications. The use of levels is needed to recognize the multiple experiences in intra-agency, interagency, intergovernmental, international, and private organizations. The motive of better collaboration within the government is not limited to interagency. Each of these domains is different, with varied rules, laws, and mechanisms for collaboration. Hence, the national security system's leaders need experience across multiple domains. Finally, there is a need to provide many individuals cross-boundary opportunities, to ensure leaders have depth of experience in cross-boundary work, and to ensure the senior personnel in the system have demonstrated leadership in cross-boundary responsibilities in order to lead the system effectively.

PROPOSED LEVELS FOR NSPs

Level 1 “Familiarity”: This level requires completion of specific training designed to familiarize the individual with the elements of the national security system, methods for its



integration and means for individual collaboration across organizations. This training is to be brief, largely available on-line and available to all National Security Professionals. The organization that manages the INSP system would define the common core training but departments and agencies would administer the training, add their own requirements as they determine appropriate, and qualify individuals.

Level 2 “Experienced”: This level requires accomplishing specific training, educational requirements, and experience serving outside the individual’s primary organization at intra-agency, interagency, intergovernmental, international levels or with a qualifying private organization. The individual’s specific experience is reviewed for acceptability in its interaction, its level of responsibility and the individual’s manner of performance. While there is a common core of minimum requirements including six qualifying months of continuous experience, requirements could be higher for specific experiences and agencies. For example, the military’s traditional “joint” requirements for a minimum of 36 months (waived to 24 months in selected cases) could be accommodated in this level. Minimum standards and training are set by the organization managing the INSP system in coordination with the agencies and departments administering the program and qualifying individuals.

Level 3 “Mastery”: “Mastery” requires accomplishing additional core training, educational requirements and experience serving outside the individual’s primary organization with the intent that the individual would demonstrate competency at a higher level (generally GS-14 or equivalent or above), with a total cumulative qualifying experience of at least three years, including earlier experience for level 2. Some adjustments could be made in specific cases where the quality of individual experience is achieved in less time as validated by an appropriate agency determination or the Board that manages the INSP system. The military has already pioneered the establishment of a system for such determinations that could serve as a model. The goal is for individuals to have experience in more than one of the cross-boundary arenas. Approval of individuals with repetitive experience in one area could qualify, but with limitations on follow-on opportunities to serve in senior level leadership positions.

This level of the program is defined and managed in cooperation with the departments and agencies. Agency determinations for level 1 and 2 qualification are accepted but decisions on level 3 qualification occurs with agency participation. For more limited qualification of “mastery” at the interagency level (e.g., for the military’s joint qualification system) or within the intelligence community, existing procedures are sufficient without the action or participation of the organization that manages the INSP system.

Level 4 “Expert”: Finally, the “expert” level is the highest level of qualification (limited to GS-15 or equivalent and above) and intended for individuals who will lead interagency and integrated cross-boundary teams at the highest levels (SES or equivalent level). This level requires additional short course training, but is primarily based on experience beyond the “mastery” level. Individuals must have performed successfully at the GS-15 level or above for at least two years in an additional capacity beyond that to accomplish qualification for “mastery.” In addition, individuals have to have served in at least two of the types of integrated service. At this level, qualification also requires review of the individual’s performance and experience. Individuals at this level are expected to be sufficient for their assignment to any senior NSP



position for which the individual has technical competencies, irrespective of agency. The organization managing the INSP system manages this level of the system, establishes its detailed requirements, and qualifies individuals with the nomination and participation of agencies and departments.

Figure 10: Summary of Possible NSP Levels

	Level 1	Level 2	Level 3	Level 4
Competency level	Familiarity	Experienced	Mastery	Expert
Core Content	Department level	Centrally managed	Centrally managed	Centrally managed
Qualification	Department level	Department level	Generally centrally managed	Centrally managed
Personnel Tracking System	Department level	Department level	Department level (but visible to central management)	Centrally managed
Minimum rotation (qualifying experience)	0	6 months	3 years (cumulative)	2 additional years at GS15/SES equivalents
Minimum GS equivalent	GS-12	GS-12	GS-14	GS-15
Minimum cross-boundary experiences (Five types of <u>integrated service</u> : intra-agency, interagency, intergovernmental, international, private)	None	1 boundary	2 boundaries (can be achieved with one, with subsequent limitations)	2 boundaries

Appendix 7.6 includes an analysis of key issues regarding the proposed qualification system.

5.3 BUILDING BLOCKS FOR SUCCESS

5.3.1 KEY ELEMENTS FOR SUCCESS

CHAMPIONS

A successful transition to a new human capital system for National Security Professionals requires champions in the executive branch and the Congress. It is a matter of leadership, both in establishing a system and its necessary elements and in supporting its development. The other central element brought by champions is funding. This is not an expensive system, but it does require resources.



OTHER NECESSARY SYSTEM ELEMENTS

As described in Chapter 4, certain elements must be present in a successful new system. They include:

- The scope of the system – its many dimensions – must be taken into account in the design to result in an integrated result.
- Common terminology is fundamental to any system and is especially crucial for this integrated system that is based on people from different situations and backgrounds working collaboratively.
- Understanding of work patterns leads to the conclusion that the principle of “one size does not fit all” must underlie the design.
- Robust system information technology for managing personnel data and social networking must support the new system to assure efficiency and effectiveness.
- System accountability in the form of system performance assessment is essential to guide the evolution of the INSP system.
- Partnerships with employee unions and associations are important components of a successful integrated national security career development and management system.
- An effective incentive and recognition program will attract top-quality personnel to become NSPs.

5.3.2 ENABLING ATTRIBUTES

The basic system building blocks which are described above will be buttressed with the enabling attributes that were described more thoroughly in Chapter 4: entrepreneurial approaches, organizational incentives, communities of practices, and social networking. These techniques and approaches are essential to developing an INSP system that can and will perform in ways substantially different from the industrial-age vertical organizations that characterize the traditional departments and agencies of the federal government.

- **Entrepreneurial Approaches:** With assistance from agencies and stakeholder partners, the Board will develop and pilot one or several competitions to encourage innovative solutions to one or more national security issues. Potential topics will include professional development, human capital policies and procedures, national security policy and operational issues. The specific topics will be chosen in consultation with the IPC and national security agencies.
- **Innocentives:** With assistance from agencies and stakeholder partners, the Board will develop and pilot one or several experiments with innocentives. These will be similar in nature to the competitions that DARPA was authorized by Congress to offer to encourage individuals and organizations within and outside the INSP system to find creative solutions to difficult problems. National security organizations at the federal, state, and local levels will be encouraged to participate in both the identification of issues for solution and in the competition to be selected to solve the problems identified. With Congressional approval and funding, prizes will be offered as an incentive to join the competition.
- **Communities of Practices:** The INSP system already has several communities of practice. The Board will work with appropriate partners at the national, state, and local

level to develop a basic construct for INSP system communities of practice and to develop the technology and other support mechanisms which encourage the formation and utilization of communities of practice.

- **Social Networking:** Social networking is a relatively untested capability within the federal public service. The Board will work with agency partners and stakeholders to develop robust and appropriate ways to use the power of social networking to enable more effective and efficient collaboration across levels and sectors of the national security communities. Social networking is a capability that can enhance the working of communities of practice.

5.3.3 *SYSTEM IMPLEMENTATION STRATEGIES*

Because the INSP system represents a very different organizational construct – one that is horizontal, collaborative, and operating across organization and governmental boundaries – it requires new concepts and practices for policies, procedures, and program constructs. Designing and implementing these new ideas and ways of doing business requires a rigorous testing methodology to ascertain whether the concept and the theory actually will work in the real world of organizations that must accomplish strategic goals and objectives, often under short deadlines and crisis conditions. In recognition that this is a “new world,” the Board will conduct a wide variety of studies and pilots.

STUDIES

The studies will gather and analyze information on concepts and ideas that may have merit for the INSP system. Examples of study topics could include issues such as:

- Are there additional shared capabilities that are needed? If yes, what is needed and why? What competencies are appropriately agency specific? Occupation specific?
- What are the issues associated with the use of social networking that must be examined to assure that this collaborative discussion tool can be used appropriately and effectively in the context of INSP system needs? What laws, policies, procedures, or other guidance should be made available to agencies? What are the types of issues or problems that benefit, or do not benefit, from the use of social networking collaboration?
- What are the most effective collaboration techniques? What are the needs of the INSP system and of NSPs? What research and experience already exists that can inform the needs of the INSP system and NSPs? What issues represent breaking new ground? Where are the centers of expertise on these issues? Do different types of issues require different collaboration policies, procedures, and techniques? How can NSPs best learn collaboration theory and practice: education, training, experience gained through home agency or rotational work assignments?

PILOTS

The use of pilots to test and refine a variety of concepts and processes for the integrated interagency and intra- and intergovernmental structures, policies, and processes is **a critical success factor** for the INSP system. The lessons learned from successful and unsuccessful transformation efforts make clear that testing new concepts and processes to see how they work in the crucible of one or multiple organizations significantly increases the chances of identifying



what really does work, what requires further refinement, and what will not work at all. In addition, pilot programs also provide the opportunity for NSP employees at all levels – from the department or agency head to the newest employee – to gain greater understanding of the proposed changes. This approach also allows the Board and national security organizations to invite the input of stakeholders and other interested parties.

For example, PNSR recommends that the INSP system develop by moving through four stages along the way to achieve full INSP system development. Stage 1 represents the current state with a few enhancements, but proposed Stages 2, 3, and 4 include increasing levels of integration and centralized management. While these stages appear to be conceptually sound, they have yet to be tested to identify what needs to be adjusted so that the system outcomes will advance the cause of an INSP system. Pilots offer a way to test the stage concepts and refine them based on actual use in a test environment. At each step, the advice of agency leaders, employees, and stakeholders will be sought. The five step pilot cycle process includes:

- Step 1: Define and develop the concept
- Step 2: Design the pilot
- Step 3: Implement the pilot for an agreed period of time
- Step 4: Analyze the results against the stage goals and objectives based on the application of qualitative and quantitative metrics
- Step 5: Adjust the Stage concepts and processes based on the results of the pilot.

The INSP system Board, the affected agencies and other entities, their employees, and stakeholders will be invited to participate in the design, testing, and implementation of the pilots to help assure that every component is tested and adjusted, as depicted in the figure below.

Figure 11: Pilot Management



This collaborative and inclusive approach to developing the requirements and solutions will help ensure that the concepts and process that are described in Stages 2, 3 and 4 are sound. This iterative process will also allow for significant consultation and input from interested parties, and ensure that the implementation has a greater chance of success. The list below identifies the anticipated stage components that will be part of the pilot testing:

- Professional development
- Coordination
- Funding
- Inclusion of military/state/local/tribal entities
- Needed IT support systems



- Collaboration techniques and technologies
- Culture and branding
- Qualitative and quantitative metrics to measure progress
- Other appropriate issues

A notional timeline for the pilots of Stages 2, 3 and 4 is that the:

- Stage 2 pilot would be developed and tested during Stage 1
- Stage 3 pilots would be developed and tested during Stage 2
- Stage 4 pilots would be developed and tested during Stage 3

The iterative piloting and analysis of results will provide direct knowledge of how each Stage will function, as well as providing a cumulative body of knowledge over the course of the Stage 2, 3 and 4 pilots.

Several examples of potential pilots—detailed in Appendix 7.8.3—include:

- Pre-Graduate NSP Centers of Academic Excellence
- Post-Graduate NSP Fellowship
- A National Security Leadership Fellowship – Stewards of an INSP System
- Leadership in Networked Organizations
- Driving Innovation in National Security Reform
- Developing Interagency Teams
- Training, Education, and Simulations
- PMF National Security Track
- Field Pilot for NSP Rotational Assignments
- Social Networking

The use of studies and pilots to expand knowledge about horizontal, collaborative organization provides a measured approach that will help insure that, to the extent possible, decisions to proceed will be based on actual analysis and experience rather than solely on theoretical concepts. While there is no way to be 100% certain that a policy, process, and method will work as anticipated and as needed, the use of studies and pilots will substantially improve the knowledge base from which decisions are made, and reduce the chance of unintended consequences that can result in fatal error of system design and/or implementation. Furthermore, the methodology proposed, which is collaborative and inclusive, models the system behavior that is needed for the INSP system to be successful in addressing and resolving this country's national security challenges.

5.4 TRANSFORMATIVE STAGES

Broad change is necessary. The environment for national security renders agency-centric approaches inefficient and ineffective. To that end, PNSR offers a roadmap of progressive transformation stages that outlines the path along an advancing program of change to build an Integrated National Security Professional system.



The stages represent points along the path of an advancing program of change based on successful practices and lessons learned in past transformation efforts and with the NSP system established under Executive Order 13434. It starts with the current system and builds additional capabilities and requirements step by step. It is an evolution that PNSR recommends be accomplished in a five- to seven-year timeframe. With respect for the past, it looks to the future to build an integrated interagency national security system that will produce the kind of security the American people deserve.

The following describes the four stages, including the implications of each stage for professional development, coordination, incentives, funding, and inclusion of the military and state and local organizations. The section also offers the constraints, risks, and benefits of each step. The following figure depicts the four stages of the recommended pathway.

Figure 12: Pathway to an Integrated NSP System

STAGES	1		2		3		4
	Current NSP program		NSP Qualification Program		Integrated NSP System		Whole-of-Gov. INSP System
			Pilot Programs & Strategic Investment		Pilot Programs & Strategic Investment		Pilot Programs & Strategic Investment
ATTRIBUTES							
Range of Application	Federal government positions <ul style="list-style-type: none"> • Not formally including the military • Not formally including State/Local/Tribal 		Federal government positions <ul style="list-style-type: none"> • Military continues in parallel • Not formally including State/Local/Tribal 		Federal/State/Local government positions <ul style="list-style-type: none"> • Including the military • Including State/Local/Tribal • Incorporates “continuum of service” opportunities 		Federal/State/Local/Private Sector/International positions <ul style="list-style-type: none"> • Including the military • Including State/Local/Tribal • Including private sector and international components • Incorporates “continuum of service” opportunities
Overall System Attributes	<ul style="list-style-type: none"> • Decentralized NSP programs run at the agency level • New emphasis on training NSPs for key positions • Key interagency policy choices to be made in the interagency process (IPC, DC, PC) 		<ul style="list-style-type: none"> • Strong, decentralized NSP programs at the agency level AND a modest but identifiable INSP system at the interagency level • Begin to develop centralized management 		<ul style="list-style-type: none"> • Centralized INSP system with complementary and supporting NSP programs at the agency level. • Fully realized INSP System Management board 		<ul style="list-style-type: none"> • Strong centralized INSP system with integrated and subordinate NSP programs at the agency level. • An empowered INSP board
Implementation (Mission areas)	<ul style="list-style-type: none"> • Contributes to multiple domestic missions, e.g. domestic emergency response, counter-terrorism, and other National Security / Homeland Security tasks • Functions start with policy, strategy, and linking strategy with resources 		<ul style="list-style-type: none"> • Expands upon stage 1 to international response missions, e.g. across emergency response, counter-terrorism, post-disaster and conflict reconstruction • Functions expanded to interagency planning, execution, oversight, and evaluation 		<ul style="list-style-type: none"> • Contributes to the full range of national security missions across intergovernmental spectrum, expanding upon stages 1 and 2 to integrate state/local/tribal organizations in missions 		<ul style="list-style-type: none"> • Contributes to the full range of national security missions across intergovernmental spectrum, expanding upon stages 1 and 2 to integrate state/local/tribal as well as private sector and international organizations

STAGES	1 Current NSP program		2 NSP Qualification Program		3 Integrated NSP System		4 Whole-of-Gov. INSP System	
	Pilot Programs & Strategic Investment		Pilot Programs & Strategic Investment		Pilot Programs & Strategic Investment		Pilot Programs & Strategic Investment	
ATTRIBUTES								
Implementation (Human capital components)	Involves: • Position designations	Involves: • Position and person designations • Agency-run qualification program	Involves: • Position and person designations • Federal qualification program • Agency career development tracks	Involves: • Position and person designations • Intergovernmental qualification program • Federal system wide career development track ("continuum of service")				
Changes to Human Capital and/or Information System(s)	None	Modest	Significant	Large-scale change				
NSP Human Capital Responsibilities / Capabilities	• Support interaction among the agencies, such as coordination skills	• Define and coordinate interaction among the agencies, such as national level strategic skills	• Some mandates for NSPs in key agency and interagency positions	• Senior leadership in top positions in the interagency and agencies • Key interagency positions would have mandates for qualified NSPs and top agency positions would include some competitive advantages for qualified NSPs				
Legislation or Presidential Action Needed	Relatively minimal • Executive order to establish management board • Some mandates to support interagency initiatives	Modest • Firm mandates requiring support of interagency initiatives • Legislation establishing central management and funding	Substantial • Mandates for basic design and increased funding, oversight mechanisms to ensure detailed implementation • Appropriate organizations would have to be put in place for management of the system	Substantial • Extensive mandates for design, implementation and oversight and reporting requirements to ensure detailed implementation • Appropriate organizations would have to be put fully in place for management of the expanded system				



5.4.1 STAGE 1: CURRENT NATIONAL SECURITY PROFESSIONAL PROGRAM

This stage is based on the current National Strategy for the Development of Security Professionals. It is agency-centric in the way requirements are defined and executed, even though the NSPD Executive Steering Committee described its vision in terms of interagency performance as: “Help ensure current and future professionals in national security positions possess the knowledge, skills, abilities, attitudes, and experiences they need to work with their counterparts to plan and execute coordinated, effective interagency national security operations.”

The program is decentralized and lacks central standards for qualification of NSPs. It does not require NSPs to have experience or service outside their primary organization at the intra-agency, interagency, intergovernmental, or international levels. While each department’s NSP training programs includes a focus on interagency performance, this program mandates only “familiarity” with federal efforts and procedures to work across agencies and departments, not actual service in doing so. To date, departments have focused on designating NSP positions and providing incumbents specific training and have not chosen to designate or qualify individuals as the result of training, education, experience and demonstrated proficiency. The executive order envisioned that all federal professional services associated with national security would be included but action to date by departments and agencies has primarily addressed the civil service. Recommended improvements in this stage are specific ways the INSP system could be administered or augmented, including the removal of barriers such as security clearances and funding, the establishment of core curricula, and improved exchange mechanisms.

The timing and pace of transition from Stage 1 to other stages depends upon executive and legislative leadership and action.

Systemic Issues:

- There are no systemic issues associated with Stage 1.

Size, Scope, and Implementation of INSP System:

- Application is to federal government positions only, not formally including the military or state and local personnel. Curriculum is geared to both interagency and intra-agency information although interagency information requires some form of collaboration or central direction.
- The participants for enhanced training would be in Washington, D.C., and then expand by mission, with the inclusion of some regional and field operations based on the missions involved.
- Functions also have spiraled implementation, starting with policy, strategy and linking strategy with resources. Other functions are added later, including interagency planning, execution, oversight, and assessment of outcomes.

**Centralization of INSP System:**

- The overall system attribute is its decentralization at the department or agency level, except for key interagency policy choices that are made in the interagency process (e.g. the Interagency Policy Committee (IPC), Deputies Committee (DC), Principals Committee (PC)).

System Design and Content:

- The essential element of this system is agency NSPD programs with interagency related content overseen and run at the department or agency level. Centralized initiatives to enhance current agency efforts at the interagency level focus on filling specific interagency related positions, such as those at the National Security Staff, OMB, and interagency task forces. These initiatives focus on training, education, and experience.
- The essential design is position based, although agencies are expected to have appropriate programs of their own design to provide some familiarization of all personnel with interagency processes.
- Individual attributes focus primarily on those needed to support interaction among the agencies, such as coordination skills.

Career Development and Human Capital Issues:

- This stage does not envision a new career development model or qualifications methodology. It also does not envision priority being given for position selection to specific individuals. The stage includes only a minimum of changes to existing information systems.
- The central aspects of this stage that are envisioned to enhance the current program would initially focus on permanent personnel, although once a steady state of individuals is sufficient it could be expanded to some crisis-oriented special staffs, reserve personnel, and intra-agency personnel.
- This stage does not envision changes in existing personnel system policies and assignments, although it may make expanded use of temporary assignments, exchanges, and temporary fill of vacant positions to allow for more interagency experiential opportunities.
- This stage incrementally contributes to multiple missions starting with emergency response followed by counter-terrorism and post-conflict reconstruction, and then expands to other national security/homeland security tasks creating a spiraled implementation process.

Congressional Role:

- No significant new congressional oversight is expected. Normal oversight occurs through existing committees. Centralized funding is relatively minimal, although departments and agencies could be given some mandates to support interagency initiatives.



EVALUATION OF STAGE 1

Departments and agencies evaluate the success of this model using the guidelines of the Government Performance and Results Act (GPRA) to assess the effectiveness of NSP career development at a programmatic level. In accordance with the GPRA guidelines, agencies each develop a program, performance goals, plans, and analyses of performance for the outcomes of their program designed to develop NSP shared capabilities. The development of an agency's NSPs falls into the strategic goal or objective of the agency's national security missions, while the program entails the education, training, experiences, and other activities that are undertaken to accomplish the goals and objectives.

Agency Outcomes: At the agency level, the criteria speak to the success of the agencies in their national security missions, resulting from NSPs operating under shared capabilities. Criteria include:

- Effectively developing policy, strategy and linking strategy with resources in the areas of domestic emergency response, counter-terrorism, and other national security / homeland security tasks
- Successfully communicating and collaborating with other agencies on relevant activities
- Demonstrably garnering agency support of its NSP programs

PROFESSIONAL DEVELOPMENT

The current state of professional development as described in Chapter 3 remains relevant for the first interlocking stage. The shared capabilities have been validated as the essentials and the work of the National Security Education and Training Consortium (NSETC) and its Curriculum Working Group should continue with the aim to promote more coordination and cooperation. In addition, by developing a core curriculum for all departments and agencies to follow, adding their own agency-centric information as appropriate, the independent Board recommended in Section 5.2 above will coordinate the efforts of the agencies, facilitate the further development of the shared capabilities, and in consultation with agencies and other stakeholders provide additional guidance on the "end state" of the program.

Recommendations:

- Since the basic leadership skills needed by NSPs are intrinsic in their agency training, the INSP program should develop a way to evaluate actual skill levels rather than just the training levels. One possible method could be peer evaluations of joint exercises.
- National security training is also, for the most part, agency-centric. The INSP system needs to include some centralized training, at the very least, a basic orientation program that all agencies could use or adapt for their own use (e.g. FEMA Emergency Management Orientation).
- Thought should be given to the Intelligence Community (IC) and DoD/DoS models of "community." They share education, training, and rotation assignments. Websites have been designed for information sharing within given communities. NSPs could be designated in given communities and offered specific education/training for that community along with general knowledge of other communities.



COORDINATION

In Stage 1, to improve coordination it is important for the INSP system to identify the common threads that bind all agencies, establish shared interests from which to operate and begin to create a network of agency representatives working on a common goal. Most importantly, it will help to obtain senior leadership commitment, buy-in, and help to foster the sense of ownership critical for the success of the system. In addition, there must be clear definitions on what exactly the INSP system is, the roles of departments and agencies, and the expected outcomes. Even though departments and agencies have previously developed implementation plans outlining their strategies for national security professional development, there is still confusion on what exactly an INSP system would be and how it fits into the framework already designed for NSPs.

The establishment of an empowered independent Board identified earlier is key to moving beyond the status quo and establishing a true coordinating effort for the INSP system. This independent intergovernmental Board should be established during Stage 1 so that it can begin to deal with the essential coordination issues that are currently dealt with in an intra-agency or agency-centric context.

In Stage 1, it is critical that rotation policy be strengthened and security clearance procedures be addressed. In the last two years, OPM has developed a template for MOUs between agencies on interagency assignments. This template outlines the key topics to be covered in MOUs including funding, objectives of assignments and expected outcomes. This template currently encourages agencies to consider the various aspects and implications of rotational assignments to ensure that all parties fully understand the expectations. Finally, management information systems can improve coordination. But more than just traditional management information systems are needed. In the last few years, social networking has become an integral source of innovation, information sharing, knowledge management, and collaboration within government. This shift has been driven by the introduction of Web 2.0 and Enterprise 2.0 technologies, which address the growing imperative to support enhanced collaboration within and among organizations.¹¹¹

Existing Human Resource Information Systems (HRIS) should be very modestly expanded. Under Board guidance, the Title 5 departments and agencies should work to create an NSP data field in the Electronic Official Personnel Folders (eOPF) or similar less costly program. The Curriculum Working Group should work to continue coordination of training and education for interagency collaboration using department and agency Learning Management Systems (LMS). Congress should establish a general requirement for departments and agencies to prepare personnel for interagency activities, to provide legal backing for online courses. Given the redevelopment of the INSP system website, the INSP system should continue efforts to get it back online. The website should be ultimately designed to be a centralized tool. However, it is not necessary to have the website completed in this stage where the emphasis is still on departments and agencies.

¹¹¹ Larry Singer, "Web 2.0 and Social Networking Ideas for Government CIOs," *Government Technology* 10 March 2008, accessed October 2010 <http://www.govtech.com/policy-management>.

**Recommendations:**

- Establish the Board detailed in Section 5.2 as the key body to effect coordination of the INSP system.
- Establish a clear definition of an “INSP rotation” (or types of rotations) and track all such occurrences.
- Develop a pilot program to track skills and experience/education/training of NSP corps to identify suitable candidates for rotations (as well as more enduring reassignments).
- Establish an inventory of all positions that become vacant in which an NSP might profitably serve; determine the desired duration of each rotation to that position.
- Adopt the template developed by OPM and encourage its use as a model for interagency agreements on rotational assignments.
- Analyze changes for needed expedited security clearances and reciprocity of clearances to facilitate rotations and interagency transfers.
- Improve management information systems, including creating INSP data fields in eOPF and departmental HRIS, coordinating HRIS through the NSPD Content Management Working Group, and using federal and departmental LMS to support training and education of NSPs.
- Identify and leverage existing, and create new, communities of practice among practitioners in the national security environment to complement interagency assignments and experience. A key way of leveraging these communities is through online tools such as social networking sites.

INCENTIVES

As with professional development, incentives to participate are not an independent variable. They must be directly tied to the strategic objectives and outcomes that are to be accomplished. Incentives can be intrinsic or extrinsic. Properly used, either can be a powerful motivator to reinforce current behavior or to reinforce change. An effective incentive system for the INSP system must provide rewards and recognition to individuals and organizations that excel in the NSP shared capabilities. The system can be used to recognize individuals, groups, teams, or organizations that exemplify and demonstrate outstanding collaboration in the interagency environment and lead to specific outcomes.

Just as with professional development, there are basic principles regarding incentives that must be observed if the incentives are to be effective:

- The recipient must be able to see a direct relationship between the behavior/performance and the incentive received.
- Incentives must be timely for maximum motivation.
- Incentives and the requirements associated with them must be publically known, bestowed, and acknowledged.
- The incentives program must have a stated set of objectives to be obtained, and must have an agreed upon set of qualitative and quantitative metrics developed to be used to evaluate results.



- The results of the program assessment against qualitative and quantitative program metrics must be periodically integrated so that the programs are continuously improved to reflect current and future needs.

The more effective incentives tend to be “intrinsic” meaning they tend to be based on what individuals value most. Given that people have different value systems, it is difficult to design incentive programs that will have the same effect on large groups of individuals. The INSP work environment, which is heavily mission oriented and occupied by senior subject matter experts, lends itself to more intrinsic incentives such as employee engagement, passion for mission, education and professional development and service under strong, effective leadership. Rewards are only motivating when they are meaningful to the individual receiving them. There are often differing opinions as to what is meaningful and the most successful firms turn to studies and surveys to determine the types of rewards to offer. For additional information see Appendix 7.2.2.

Recommendations:

- Build the INSP Incentive System on the foundation of a pay system that is competitive with comparable positions and occupations in the private sector.
- Develop financial incentives for the INSP Incentive System, but more importantly ensure that there are non-financial incentives such as opportunities for improving skills, impact on promotion potential and increased participation in task direction.
- Motivate NSP personnel by:
 - Encouraging the creation of “communities of practice” of national security professionals, including the establishment of informal INSP working groups, online platforms that allow practitioners to share information, annual conferences for NSPs, or the creation of an INSP professional membership organization
 - Making participation in interagency efforts one of requirements for outstanding/exceptional performance
 - Providing cash and other monetary incentives for outstanding achievements in interagency collaboration
 - Providing educational and professional development incentives
 - Making participation in interagency efforts a factor that enhances one’s ability to be promoted
 - Strengthening employee engagement

FUNDING

Stage 1 describes a decentralized NSP program run at the agency level with a minimal level of Congressional involvement. Departments and agencies will need to reprioritize investments from other budget areas to meet the mandates for a realigned INSP system and to support interagency initiatives. Funding will need to cover the development, implementation, and maintenance of agency education and training – including materials, as well as costs for rotational assignments and monetary incentives. See the Figure 20: Cost Model for Pathway to an Integrated NSP System in Appendix 7.2.3 for estimated costs in Stage 1.



Agencies may choose to informally collaborate through MOUs in developing more complete INSP development programs across agencies. High-level interagency INSP policy may provide more direct guidance on supporting interagency initiatives.

During this stage, departments and agencies should have enough flexibility in their budgets to reprioritize funding for this program, assuming the agency perceives additional value of the INSP system to their mission. It is assumed that departments and agencies will allocate their budgets toward those activities and programs that maximize mission effectiveness. However, incurring costs for the development of a realigned NSP model are contrary to the current trend of decreased spending and program cuts. Though minimal in terms of long-term and comprehensive benefits including the welfare of the nation, this investment may present a significant obstacle to the political approval and feasibility of the program. At this stage, because departments and agencies are not provided additional funding for the program, it is likely that cost will continue to be a stated reason for non-compliance until the agency recognizes the value of this system.

Recommendation:

- Ensure departments and agencies give the establishment of the INSP system due regard, legislative language may be necessary to emphasize the mission-dependency of a dedicated NSP program.
- Provide guidance in addition to, or absent legislative language, from the executive branch to stress the mission and importance of reprioritized funding through letters to the head of the departments and agencies.
- Establish a baseline of funding for the Board that will oversee and manage the INSP system.

INCLUSION OF MILITARY

Given the action of the Congress in the 2007 John Warner National Defense Authorization Act to broaden the definition of “joint matters,” the importance of interagency activity by military officers (as well as intergovernmental, international and with private entities) now has legal recognition. However, even though E.O. 13434 does not exclude the military, the implementation plans to date do not include the military in NSP programs. DoD made a formal decision that the current joint program meets the requirements and intent of the executive order, with respect to the military – we agree with this conclusion. Within the intent and character of a Stage 1 approach to interagency national security professionalism, this is a workable approach that allows for emphasis on the military in interagency activities without formal inclusion in the INSP system. This approach sets aside the potential complexities of differing personnel systems from that of civilian personnel management.

Although this is a workable approach to recognize participation by military officers at the individual level in interagency and intergovernmental affairs, it does not necessarily put this participation on an equal level with traditional joint assignments in the views of the officers concerned or their services. (Promotion experience to date has been too limited to evaluate the effects on careers.) Other actions continue to be necessary to make interagency service attractive, such as a directive from the Chief of Staff of the Army that leadership of Provincial



Reconstruction Teams (PRTs) is to be considered the equivalent of traditional command assignments.

As operational experience in stability and counterinsurgency operations has become more common, the military has also adapted the curriculum of its joint educational facilities to incorporate more study and recognition of interagency action. The broader curriculum raises awareness but the content is not the equivalent in detail or extent, as joint education for unified action by the military services.

Three major barriers exist to wider interagency and intergovernmental service by military officers for accrual of qualified joint service:

- There are relatively few such assignments—even on a temporary basis—relative to the greater number of joint intra-agency assignments.
- The tight timelines of the military’s “up-or-out” career model is generally prohibitive of lengthy interagency assignments by military officers in addition to more traditional joint assignments. Few officers can fit substantial interagency experience within their careers without jeopardizing their promotion opportunities.
- The number of such assignments is apt to remain few without greater recognition of the military’s interdependence with other departments and agencies for mission success.

Recommendation:

- Accept the military’s current joint program as meeting the intent of the Executive Order 13434 and is more than sufficient to meet the goals of stage 1. Hence, no changes are required in this stage.
- Make an expanded effort to encourage interagency assignments by increasing their number, providing for further ease of recognition of interagency work and by encouraging more of the military’s best officers to participate in them.
- In keeping with the increased dependency of military operations on collaboration or integration with other departments, expand the curriculum devoted to interagency operations and provide additional means to codify an interagency body of knowledge for military-civilian interaction. This expansion of attention toward interagency matters could be done within existing joint doctrinal instruction and expanded to service based curricula.

INCLUSION OF STATE/LOCAL

PNSR understands that state and local organizations and personnel—non-federal stakeholders in national security—are not in the President’s “chain of command.” Thus, when PNSR uses the terms requirements and standards, it understands that they can only apply to Federal organizations and workforces. As such requirements and standards apply to the non-federal components and professional disciplines of the national security communities of practice, the more appropriate term is nationally recognized and accepted guidelines.

ROTATIONAL ASSIGNMENTS TO FEDERAL POSITIONS



Since 9/11, the homeland security culture at all governmental levels has generally advanced to accepting that rotational assignments add value and build trust through enhanced personal relationships. As one state-level law enforcement official stated, “People are no longer ‘punished’ when they return to their parent organizations.” Nevertheless, all INSP Intergovernmental Personnel Act (IPA) rotational assignments must have mutual benefit and meaning to both parties to the exchange. Rotations must be a win-win while at the same time in support of NSP development strategic objectives and outcomes.

For the most part, state and local organizations regard the most effective use of IPA assignments to federal entities to be to those at the regional level. Likewise, federal personnel would be best served to go to the regional level, states, UASIs and major metropolitan areas rather than rural jurisdictions. From the local perspective, only larger jurisdictions, such as jurisdictions in UASI regions, would derive benefit from IPA assignments to Washington, D.C.

Rotational assignments to and with rural jurisdictions should only occur in response to a compelling need, such as in the case of southwestern border jurisdictions having to deal with the activities of the Mexican drug cartels. IPAs that are county-to-county, city-to-city, county-to-state, city-to-state, etc., according to mutually-identified need and benefit, e.g., to develop or deepen Emergency Management Assistance Compact (EMAC) relationships will be more useful for rural jurisdictions. Such non-federal intergovernmental rotations could be either intrastate or interstate as identified by jurisdictions and the region(s) in question. Such rotations, however, are not without difficulties. While agencies may operate under similar sets policies and procedures, they are not exactly the same. As one state law enforcement official put it, “The software utilized by each of the agencies is different, and even the vehicles operated by municipal police departments have differences.”

Rural local officials see little benefit from a Washington, D.C. rotational assignment. A rotational assignment to a federal regional office could be more beneficial, but even then in the order of priorities, that assignment could have less value than an assignment to a state-level position. More useful assignments would be participation in an intrastate personnel pool for rural regional jurisdictions whereby assignments to state- or Federal regional-level positions would rotate among the participants, further to build intergovernmental personal relationships. Such an example is among rural sheriffs in some five jurisdictions in western North Dakota. The principle of assignments and experiences which have meaning is an important one when developing state and local rotational assignments and opportunities.

Recommendations:

- Identify or create positions in the federal government and in the federal regions for state, local, tribal, territorial, private sector, to serve as rotational assignments as part of a strategic and systemic process that supports workforce community objectives.
- Assure that IPA rotational assignments maximize the mutual benefit and meaning of the exchange.

State and local representatives feel strongly that rotational assignments in a professional development plan should only provide for short-term rotations of no more than six months. This



assures that personnel return to their parent agencies before they are deemed “not-to-have-been-missed.” Rotations must make provision for per diems and allowances.

However, in the case of UASIs and major metropolitan areas where state and Federal regional organizations are nearby, rotational assignments do not require a “family move” or hardship. Mid- and long-term rotational assignments are thus possible. Local representatives indicate that if the local region is in or near a UASI, a rotational assignment can return a value-add to the parent agency in personal relationships and understandings, enhancing personnel leadership development and furthering eligibility for promotion.

Service on a Joint Terrorism Taskforce (JTTF) presents an exceptional case. Because of its nature, JTTF personnel tend to work on cases which take time to develop and thus do not neatly fit into a criterion for short-term rotations. Some jurisdictions accept even a long-term engagement extending into a full career choice. For example, the New York City JTTF has at least one New York Police Department officer who has been assigned for 20 years.

Recommendation:

- Account for the need to vary length of time for a rotational assignment by state and local personnel and by geography.

IPA rotations provide a benefit to state and local jurisdictions as opportunities for developing leadership. They want rotations for personnel at the mid-level GS-11/13 equivalent to qualify for the INSP, i.e., those with ten years of career left. As one state-level official observed, “Anything later than that only trains people to be consultants.” The law enforcement community of state and major cities police regards IPA assignments for senior lieutenants and captains to federal positions as especially beneficial.

Recommendation:

- Begin IPA rotations at mid-level, GS-11/13 equivalent.

ROTATIONAL ASSIGNMENTS TO NATIONAL SECURITY POSITIONS

Non-federal law enforcement personnel who must interact with the IC require a separate national security professional development set of experiences distinct from those for the emergency management,¹¹² public health, etc. communities. The national security set of experiences would apply to personnel who must be cleared to handle classified information as a condition of their employment. This experience set would lead to command-level eligibility for GS-13 to SES-level service in a Joint Operations Center (JOC), as provided by the NRF. The other track set would broadly include first responders and first receivers (e.g., public health and health system professionals). This experience set would lead to command-level eligibility for GS-13 to SES-level service in a Joint Field Office (JFO), as provided by the NRF.

¹¹² The Study accepts that depending on context the terms national security and emergency management, for example, can have very precise meanings. In the context of career paths and professional development, national security personnel routinely require access and permissions, as distinct from other broadly-defined homeland security personnel who do not.



These sets would allow for cross-tracking assignments as may be required. For example, mid-grade state and local health department officials in a public health track might need to be cleared to serve in national security assignments in fusion centers. Access and permissions would go with the position and not the person. Once such health department personnel return to their parent agencies, their clearances would shift to inactive status.

As a whole-of-society construct, the INSP system is thus potentially inclusive of all levels of government as well as the private-sector and NGO communities. Career paths for state and local government, private sector, and NGO enterprise NSPs will follow these track sets. For both the national security tracks going up to the JOC level and the other set of tracks going up to the JFO level, when the NSP reaches GS-13/15 to SES-equivalent, both track sets would merge and provide for clearances to the TS-SCI level.

Recommendation:

- Where Federal positions for state, local, tribal, and territorial personnel are identified as those based on “need to know,” homeland security NSPs will be trained and cleared to the TS/SCI level. These identified non-federal TS/SCI NSPs will be trained in blocks of instruction that will give them a firm grounding in the IC and how it functions within established law, regulations, executive orders, and guidelines.

ROTATIONAL ASSIGNMENTS FOR THE PRIVATE SECTOR

DHS programs and protocols provide a foundation for a formalized system of rotational assignments for the private sector and critical infrastructure/key resources communities. DoD has its “Exceptionally Qualified Individual” program that enables private sector individuals to serve in special government employee (SGE) roles in many areas, particularly at the senior level. ODNI has established a state and local advisory committee with some full-time on-site representation. This group could be expanded to include appropriately cleared private sector and critical infrastructure/key resources community representatives. With regard to clearances, thousands of private sector representatives across the critical infrastructure/key resources sectors and technology provider communities have security clearances and should be able to participate in classified programs and rotational assignment positions in special government employee status.

Recommendation:

- Expand the state and local advisory committee to include appropriately cleared private sector and critical infrastructure/key resources community representatives.



CONSTRAINTS, RISKS, AND BENEFITS OF STAGE 1

Various constraints impact Stage 1. These include:

- **Organization Structure:** The management Board recommended to lead and guide the development of the INSP system must be established. Failure to establish the Board will result in the continuation of the issues and problems which led Congress to mandate this study.
- **Leadership:** The experience of the current NSP program demonstrates that continued attention and support from executive leadership is critical to the advancement of a system of this type. The lack of such leadership will greatly constrain realigned NSP programs at the department and agency level.
- **Political:** At this stage, departments and agencies remain in complete control of their programs, and there are only a few mandates required to assist the system. It is unlikely that there will be strong political constraints.
- **Cultural:** The constraint of cultural resistance and similar barriers discussed in other sections may also inhibit the development of a robust INSP system. This agency-centralized stage serves the agencies well but does not guarantee robust programs that are effective across the system. Intangible constraints are also likely to manifest throughout the implementation process. Many departments and agencies lack a fundamental understanding of the needs of the comprehensive national security system. The needs and operations of their own agency are more understandable and urgent from their perspective.
- **Definitional:** The application of the NSP designation is constrained by the varying nature of national security work. Many agencies struggle to understand how NSPs are different from their current national security personnel and the nature of INSP work. This observation is particularly evident among non-Title 50 agencies, but the amount of time a professional spends on national security issues also varies from continuous to episodic, making a clear line of demarcation less meaningful and effective. At this level, this will continue to be either a constraint or an excuse for inaction.
- **Capacity:** Many departments and agencies are already overburdened in carrying out their basic missions and duties. The capacity of agencies and individuals to implement and monitor a successful INSP system could be limited if no additional resources to establish the Board defined in Section 5.2 or external assistance is provided. Those agencies without a personnel float will be particularly affected by this constraint. Although Stage 1 requires relatively few changes to the current NSP system, it is entirely decentralized to the agencies and will depend upon their capacity to lead the effort.

In light of these constraints, there is a significant risk that the realigned system will suffer in implementation at the department and agency level, and particularly so if strong overall executive branch leadership is not consistently exerted. There is also the possibility that an INSP system that is developed without comprehensively addressing the environmental conditions will still mollify any sense of urgency with the reassurance that something is being done. Executive branch attention may soon turn elsewhere. If this minimal program is not adequate, time and additional evidence will need to be gathered before sufficient will to advance is accumulated. Establishing the Board can be a key step to mitigating the constraints and risks discussed above.



This stage also has benefits. It requires the fewest changes and entails no additional oversight capacity. Departments and agencies can continue to develop their programs, and the program outcomes can be observed and measured by the agencies and the independent Board established to move the INSP system to the next stage and ultimately to Stage 4.

5.4.2 STAGE 2: NATIONAL SECURITY PROFESSIONAL QUALIFICATION PROGRAM

This stage focuses on “experience” in the interagency space and builds upon agency NSP efforts with a formal set of minimum standards of training, education, and experiences required to obtain qualification as a NSP, and includes incentives (primarily competitive advantages) for individuals to assure that a cadre of NSPs fills a large percentage of designated top-level positions of authority over time. NSP standards, qualification, and designations are centralized. This stage involves extensive detail on how to best implement a formal INSP qualification system tied to people and positions. The expectation is that this stage will require some legislation and significant funding.

The requirement to move forward along the pathway is political will and action in the form of leadership, legislation, and funding.

Systemic Issues:

- There are no systemic issues involved with Stage 2.

Size, Scope, and Implementation of the NSP Qualification Program:

- The military’s current joint program already provides the equivalent (or more demanding content) of the Stage 2 program for interagency training, education and experience. Hence, the military program would continue in its current form in parallel with the NSP qualification program.
- The goal of coverage is interagency in curriculum, with intra-agency curricula largely left to agencies.
- The initial participants are in Washington, D.C., and then expand promptly based on the spiral implementation to regional and field activities.
- The expansion of implementation is primarily geographic rather than by mission or function.

Centralization of the NSP Qualification Program:

- The overall system attributes are strong, decentralized NSP programs at the agency level and a modest but identifiable INSP system at the interagency level providing for minimum standards and sufficient oversight to monitor agency efforts.
- The content of the NSP qualification program is developed and regulated at a centralized level with a minimum of new bureaucracy, under the authority of an independent Board.

Program Design and Content:

- The essential elements of this program are centrally directed NSP qualification minimum standards, alongside agency developed standards and content. With little exception, this stage is still an agency-based program that addresses intra-agency needs as well as



interagency minimum requirements. Until more centralized standards and programs can be defined for Stages 3 and 4, the departments and agencies dominate the design and execution of the INSP system. Centralized INSP initiatives to compliment qualification are focused on filling specific interagency related positions, such as those at the National Security Staff, OMB, and interagency task forces. Additional initiatives focus on training, education, and experience to support these assignments. While the first stage focuses only on a limited number of these positions, filled by a percentage of individuals who undergo the NSP training, this stage involves many more positions and people and a broader array of training, education and experience.

- The essential design of the NSP qualification program is both position and person based. Departments and agencies are expected to have appropriate NSP program requirements of their own design that include familiarizing all personnel with interagency processes. The number of individuals with NSP qualification will ultimately be based on agency needs, largely for intra-agency activity.
- Individual attributes to meet the centralized minimum standards for qualification focus primarily on those needed to define and coordinate interaction among the agencies, such as national level strategic skills.

Career Development and Human Capital Issues:

- This stage does not envision a new career development model but does envision a formal NSP qualification. It also envisions position selection priority being given to qualified individuals. This stage includes some changes to existing information systems to accomplish and track the qualifications and to align positions and personnel accordingly.
- The central aspects of this stage's initiatives to utilize qualified personnel focus on permanent personnel, but it would also be expanded deliberately to selected crisis-oriented special staff, reserve personnel, and intra-agency personnel.
- This stage envisions modest changes to existing human capital system policies and assignments, as well as making expanded use of temporary assignments, exchanges, and temporary fill of vacant positions to allow for more interagency experiential opportunities.
- Because this stage involves positions and people and a formal qualification program for NSPs, it is implemented in fewer increments than the first stage. It contributes to the full range of national security missions within the federal workforce and organization.

Congressional Role:

- Congressional involvement is modest for this stage, specifically to mandate the program and provide funding if the executive branch is reluctant to direct its accomplishment, and then to follow-up with oversight to ensure its implementation. Centralized funding is modest, although departments and agencies receive firm mandates requiring their support of interagency initiatives.

EVALUATION OF STAGE 2

The evaluation of the success of this stage is again determined primarily by agencies and the newly established Board through the GPRA. Any additional review that the INSP system can



conduct will also be useful but will not necessarily have any impact on agencies, which will continue to determine the nature of their individual programs. In particular, explicit identification of the NSP population, which does not currently exist, is critical to the development of valid and accurate data. A centralized INSP Board serves to significantly benefit the analysis of INSP system performance outcomes by providing the specific evaluation processes necessary to refine and adapt the program to changing national security needs. At the very least, interviews of NSPs and their supervisors, and observations of INSP efforts across agencies would provide a rich, additional data source.

Agency Outcomes: At the agency level, the criteria speak to the success of the departments and agencies in their national security missions, resulting from NSPs operating under shared capabilities. Criteria include:

- Effectively conducting intra-agency and interagency planning, execution, oversight and evaluation in addition to developing policy, strategy and linking strategy with resources from the previous level in developing international response missions ranging across emergency response, counter-terrorism, and post-conflict reconstruction
- Successfully communicating and collaborating with other agencies on relevant activities
- Demonstrably garnering agency support of NSP programs
- Meeting goals for number of individuals achieving qualifications

PROFESSIONAL DEVELOPMENT

Stage 2 involves the independent Board creating a formal set of minimum standards of training, education, and experiences based on the core curriculum but moving beyond the core to more substantial interagency skills. A qualification aspect is added, including education courses, training exercises, and interagency experience, thus creating a clear path for NSP-designated personnel to follow. Appropriate consideration would need to be given to the differing levels of involvement of the agencies. The Board would create additional standardized requirements to add to the already developed courses and programs in order for them to qualify for qualification. The interagency environment and its unique aspects would be key to qualification.

Recommendations:

- The Board, in consultation with the INSP system agencies and stakeholders, will develop a formal set of minimum standards, education, and experiences for use by INSP system departments and agencies and NSP employees.
- The Board, in consultation with the INSP system agencies and stakeholders, will develop the critical few qualitative and quantitative metrics that will be used to measure the success of the standards in assuring that the requirements for professional development are met.
- The Board will evaluate the success of these standards and metrics, and working with INSP system agencies and stakeholders, make any needed adjustments and modifications to either the standards or the evaluation metrics.



COORDINATION

Stage 2 will be identified with the full-functioning of the independent and empowered interagency Board identified in Section 5.2. This stage requires the INSP system to accommodate both position and person based systems. Both types already exist and those who come into the system on a temporary basis will be from both systems. NSPs may be position and/or person-based, but must adhere to the principle of maximum flexibility to accommodate both position and person-designations residing side by side. With regard to rotations there must be a clear and convincing explanation of the rationale, objectives, and roles and responsibilities of all agencies as well as the NSP corps itself. How would a rotation benefit the participating agencies in terms of achieving their overall missions as well as the individual in terms of developing new skills, contacts, and eligibility for advancement? The development of MOU's becomes more critical at this stage and, again, improvements to management information systems are needed.

The departments and agencies should make preliminary efforts to coordinate and develop commonality between their programs, first by grouping and identifying people by communities of practice. This would include expanding eOPF data fields for NSPs, and having more departments and agencies upload their personnel files to OPM systems. Also, guided by the Board, departments and agencies should enter into discussions on developing commonality between catalog systems such as Employee Personnel Plus (EP+) and ODNI's Intelligence Community Capabilities Catalogue (IC3), as well as creating a process for information sharing of catalog data. For example, the Board could request lists from the different catalogs—EP+ and IC3—of people who could assist in managing a natural disaster, so that there is a central group of NSPs that others could connect with for specific skills. In addition, there should be an INSP system website to serve as a web portal and resource center with constantly updated content for NSPs. The Content Management Working Group should govern the website. Departments and agencies should work to ensure commonality between LMSs and their approaches to NSP career development. Courses should be expanded to include the topic of national strategy. In order to ensure departments and agencies are meeting to coordinate all these systems, Congress should provide a mandate for Board coordination of activities in the INSP system.

Recommendations:

- Make rotational assignments a component of a formal agency-specific INSP developmental program.
- Empower the Board in charge of managing the INSP system to review all agency decisions to deny a clearance to an NSP who already holds a clearance from another agency.
- Provide a clear repository for data on the different rules and regulations of NSP civilians and military to create a one-stop database to enhance knowledge and familiarity. The database should also track the relevant skills of both civilian and military NSP members, including active and reserve personnel, to allow mission managers the opportunity to mix and match the best people.
- Provide leadership across the federal community to commission a study or develop a mechanism so that agencies can work together to develop a skills and competency



director for their organization(s) that takes advantage of the work and learning already done by the Intelligence Community pursuant to ICD 610.

- Work with OPM and OMB to develop any standardized MOU instruments that can be accommodated given current agency-level disparities in resources and assignment/promotion policies.
- Resuscitate and develop an INSP system web portal.
- Implement an initiative to achieve commonality among departmental HRIS.

INCENTIVES

The following discussion builds on the foundation discussed in Stage 1. Most current incentives and HR mechanisms are designed to provide recognition after the fact to an individual or group. Almost none exist for organizational recognition. The elimination of administrative barriers however, can serve as a strong organizational incentive as can the ability to gain additional funds for new mandates. Departments and agencies are currently required to meet new mandates “out of hide.” Another example of an administrative barrier is non reimbursement for an interagency assignment which could ultimately impact the quality of the individual that management agrees to detail. Managers dealing with backfilling positions, training new employees and fulfilling other administrative requirements during the temporary absence of their employee, are less likely to encourage participation in the program.

White House/cabinet head recognition of the INSP system and Board will serve as an organizational incentive. There are many aspects that must come together to ensure success of this career development program for NSPs. Sufficient staff and resources, recruiting individuals with the necessary competencies and skills, but, in the end, continued and constant independent agency leadership, with long term focused support from the President and Congress, is required to achieve the ultimate goals of this program.

- A Congressional Research Service study in 2008 on “Building an Interagency Cadre of National Security Professionals”, states: “Congress could help direct or shape a future interagency cadre career development program either through legislation, oversight or both.” The current NSPD program has no legislative mandate, leaving its continuation subject to the discretion of leadership in a new administration. Interviews conducted by this study with officials, and in a February 2008 Naval War College report document the thinking that “without the assurance that a program would continue into the future, individuals might be less likely to risk the investment of their resources.”¹¹³
- Some observers and practitioners suggest that the most important factor in ensuring full agency participation and commitment to interagency career development is presidential support — including regularly emphasizing the program as a priority, and providing ongoing oversight from the White House.¹¹⁴

¹¹³ Catherine Dale, *Building an Interagency Cadre of National Security Professionals: Proposals, Recent Experience, and Issues for Congress* (Order Code RL34565) Congressional Research Service (8 July 2008) accessed October 2010 <http://www.fas.org/spp/crs/natsec/RL34565.pdf>.

¹¹⁴ Catherine Dale, *Building an Interagency Cadre of National Security Professionals: Proposals, Recent Experience, and Issues for Congress* (Order Code RL34565) Congressional Research Service (8 July 2008) accessed October 2010 <http://www.fas.org/spp/crs/natsec/RL34565.pdf>.



Recommendations:

- The Board should conduct a study to determine the specific impact of the different incentives on both organizational and individual performance within the INSP system.
- The Board, in collaboration with OMB should develop an annual review of NSP program effectiveness by department and agency in order to identify and share best practices. Those organizations identified as winners in this process should receive funding relief and an appropriate token to display similar to the “Hammer Awards”.
- The White House should host an annual awards dinner in honor of the recipients of several prestigious NSP awards. These prestigious awards should recognize an employee who has had exemplary performance in specific national security areas, particularly a leadership award for the individual who has excelled in promoting employee engagement.
- The INSP system should develop a qualification process for NSPs and provide a retention allowance for credentialed NSPs.

FUNDING

The executive branch or Congress will need to fund the INSP system Board. In addition, given continued strong yet still decentralized NSP programs at the department and agency level and a modest but identifiable, centrally managed INSP system at the interagency level established through legislation, there will be a more significant need to increase funding coordination across agencies. Agencies will need to reallocate and reprioritize their budgets in order to support the requirements of a formal INSP system and to meet the directives of interagency initiatives. Funding will need to cover the development, implementation, and maintenance of any agency education and training materials and qualifications processes, as well as costs for interagency experiential opportunities, incentives, etc. See Figure 20: Cost Model for Pathway to an Integrated NSP System in Appendix 7.2.3 for estimated costs in Stage 2.

Departments and agencies, under the guidance of the newly created Board, may collaborate through MOUs in developing more robust NSP development programs. With the assistance of the Board, departments and agencies should coordinate as much as possible on the budget planning and execution process during this stage. Effective budget planning and execution processes will allow departments and agencies to make informed investment decision based on strategic priorities, articulate risk and impact of funding cuts, and evaluate investment performance. A separate funding line should be established for the Board.

Recommendation:

- Have the newly created Board begin to help coordinate department and agency funding by asking for a budget line item dedicated to supporting NSP programs that would be presented as an integrated INSP budget submission to OMB. This line item when incorporated into annual budget planning and execution processes can serve as a barometer for agency support of the program.
- Create a yearly round-table for agencies to compare NSP program funding notes and best practices.



INCLUSION OF MILITARY

The feasibility of integrating, coordinating, and supplementing the systems and requirements regarding experience and education for military officers with the second stage of an INSP system is in many respects similar to the first stage. As the military would not be formally included in the NSP qualification or designation program in this stage, the goals of improved interagency performance would largely be derived by continuing execution of the military's joint program under the 2007 law, as described in Stage 1.

What could be done on an additional basis in this stage would be to create mechanisms for more explicit recognition of interagency (as well as intergovernmental, international or with private entities) experience, and to ensure the staffing of these assignments is given a greater priority. The military could distinguish this service by use of special recognition or coding tied to qualification for "interagency service" as the result of educational, training and experience requirements. Such qualifications could be more limited than for joint service in the aggregate (e.g., one year interagency credit or more), leaving options open for individuals to have some joint intra-agency service in addition to their interagency service. By requiring key interagency assignments to be nominative or to have interagency credit as a prerequisite for promotion, it would be possible to encourage more experienced and qualified personnel to fill more responsible interagency positions. Both service and service member objections to lengthy interagency assignments would be a barrier to selection of the best officers for interagency work, but these concerns could be overcome. Taking this approach would allow for more integration of the military in Stages 3 and 4 by distinguishing and tracking experience that is interagency.

Another progressive approach to expanding interagency cooperation involving the military would be to encourage more exchange of military officers with civilians in positions where skills are largely similar, including engineers, foreign area officers, intelligence officers and civil affairs officers. This approach would assist in normalizing the participation of key officers with civil organizations and improve the performance of civilians who benefit from such exchanges. In addition to these individuals, there are many military staffs whose tasks would benefit from more civil participation, especially those with military missions that depend heavily on interagency interaction. Such assignments include the Joint Staff, combatant command staffs, joint task forces, acquisition work forces, and base operations support. An increased exchange of military and civilians in educational establishments could significantly accelerate the emergence of better interagency doctrine and planning.

Recommendation:

- Accept the military's current joint program meets the intent of stage 2. Hence, no changes are required in this stage.
- Develop distinct coding and credit for interagency (intergovernmental, international or with private entities) joint service that can be tracked for follow-up utilization in future assignments.
- Expand exchange opportunities and provide incentives for top quality officer participation.
- Take formal steps to ensure individuals in joint assignments beyond intra-agency DoD service get equivalent or better promotion opportunities.



INCLUSION OF STATE/LOCAL

Recommendation:

- Amend the Homeland Security Act of 2002 to establish a mission essential program line for strategic human capital investment in each department/agency having national security missions or functions that are either primary, i.e., established by law, regulation, executive orders and/or guidelines, or secondary/collateral to their primary functions.¹¹⁵ Each agency should have a program office, or officer, that implements the NSP program according to policy jointly developed by the ODNI, acting for the IC, and DHS/FEMA, acting for the homeland security community.
- The amendment must include a requirement that the strategic human capital investment program office, or officer, employ a homeland security NSP training, education and professional development Planning, Programs and Budget cycle that reflects and demonstrates resourcing of INSP system policy priorities.

ROTATIONAL ASSIGNMENTS

The *NSPD Implementation Strategy* speaks of creating “opportunities” for Intergovernmental Personnel Act (IPA) rotations. From that language has come “catalogs” of rotation opportunities without a specific professional development plan. The federal government needs to be more directive over organizations and personnel where the President is able to delegate presidential authority, i.e., in the Executive Branch, to effect INSP system implementation of structured and optional supplemental learning activities and rotational assignments.

Recommendation:

- Identify or create regional INSP system positions in Federal regions to provide rotational assignment opportunities outside of federal headquarters.

PROFESSIONAL DEVELOPMENT

Given the nature of a loosely-coupled homeland security INSP system versus a centralized system, the term “capabilities” versus “competencies” is necessary to avoid condition-of-hire/merit-based issues which would require formal validation. Strategic human capital investment program offices must work closely with other departments/agencies as well as with relevant state and local jurisdiction, private sector, and NGO human capital program offices to fulfill the end-state objectives of the INSP system in the development and execution of their plans.

¹¹⁵ In the case of Federal law enforcement agencies, these components have well-established primary functions like drugs, guns, alcohol and smuggling enforcement. However, in the post 9/11 climate, they now are attuned to looking beyond their primary missions into secondary/collateral intelligence functions and determining any connection to national security matters including terrorism and the activities of hostile foreign services. Normally, such information—if identified—is provided to FBI Joint Terrorism Task Forces (JTTFs) for operational exploitation in an interagency setting of Federal, state, local and tribal representatives.

**Recommendation:**

- These newly-created human capital investment offices should develop and execute their departments or agencies' training, education, and professional development plans for their federal homeland security NSP cadres, based upon policy guidance jointly developed by the ODNI, DHS Headquarters, and appropriate mission partners including intergovernmental, private-sector and NGO critical infrastructure/key resources and response/recovery (e.g. emergency management, public health, etc.) entities.

CONSTRAINTS, RISKS, AND BENEFITS OF STAGE 2

The constraints of Stage 2 include:

- **Organization Structure:** Establishing the Board and appointing a well qualified Director to lead the INSP system along the proposed pathway to developing a robust INSP system can substantially mitigate the constraints and risks described below, as well and substantially enhance the benefits.
- **Leadership:** Agency progress may continue to lag or proceed inconsistently, because this stage continues to depend on attention and guidance from the executive branch.
- **Political:** At this stage, firmer mandates may require additional political will and effort, but still do not pose a significant constraint.
- **Cultural:** At this stage, the mission is expanded but the continued agency-centralized program allows internal cultural constraints to affect the program
- **Definitional:** The addition of NSP qualification requirements at the interagency level provides a resource for agencies in developing the parameters of their internal agency programs. However, inconsistencies across agencies continue on NSP qualifications – such professionals will not be interchangeable based on this stage of implementation.
- **Capacity:** This stage requires a high degree of agency responsibility, but adds more significant changes and minimal assistance at the interagency level. Departments and agencies will not only need the capacity to lead this program but also to coordinate as needed with the interagency group. The mission area can also be expanded to international efforts, ranging from interagency planning to evaluation, which also places additional burdens on the agencies.

This stage is prone to similar risks from the previous stage. There is the additional concern that agency resistance may be greater if faced with more requirements and a weak interagency INSP Board. These possibilities pose a risk of failure because of lack of enforcement and non-compliance. Additionally, the broad effects of new training and education programs for personnel are inherently difficult to measure. Correctly monitoring individual, agency, and system impacts are challenging. It is particularly important to avoid misconstruing failures from resistance for failures of actual concepts. Obstacles and challenges may slow the progress of the NSP qualification effort, but this cannot be used as outright evidence regarding the success or failure of the system.

On the other hand, this program offers more to the development of NSPs but requires only modest, if any, legislative changes to do so. The added benefit of an empowered interagency Board will ensure some steady monitoring of these issues across agencies.



The requirement to move forward along the pathway is solidification of political will in the form of leadership, legislation, and funding.

5.4.3 STAGE 3: INTEGRATED NATIONAL SECURITY PROFESSIONAL SYSTEM

The third stage sees development of a truly Integrated National Security Professional system, integrating the government's efforts to improve cross-boundary performance throughout the federal government by adopting a more centralized program under the leadership and management of the INSP Board. Therefore, it is built with a centralized system perspective of system-wide requirements and mandates rather than as an additive to agencies' NSP programs. This stage involves the long-term, centrally tracked development of some NSPs along with some realignment of educational and personnel systems to develop senior NSPs with the necessary attributes and proficiency to serve in the most demanding and important cross-boundary responsibilities.

This stage is about integration. It extends the range of inclusion to all professionals in the federal government involved in interagency activities, including the military. It includes some options for inclusion of others involved in national security, such as intergovernmental officials and reserves. This stage also involves formal mandates to assure that qualified NSPs are represented or required in the most important top-level agency positions.

Because Stage 3 is about integration it requires the Board to collaborate broadly across the system with INSP system agencies, organizations and stakeholders to identify the most effective and efficient way to both develop and implement the centralized system requirements.

The requirement during this stage to move to the next is continuity of management, centralized funding, well supported pilot programs, substantial legislation, and continuing Executive and Legislative Branch support.

Systemic Issues:

- This stage builds on the establishment of NSP qualification in Stage 2.
- This stage starts from a detailed vision of what an interagency system seeks to accomplish based on a whole-of-government national security system.
- This system still involves extensive agency level activity but the strategic level of human capital is managed for interagency success by the Board at a centralized level.
- This stage requires systemic agency and stakeholder consultations.

Size, Scope, and Implementation of INSP Program:

- Initial scope of the INSP system outside the agency NSP programs is significant, consisting of interagency special training aimed at about 1,000 people and then expanding to 2,000 per year for about 6,000 steady state positions. (Numbers are approximate magnitudes, and would require more study to determine precisely.)
- Application is to federal government positions only, including the military, Foreign Service or intelligence professionals. Individuals are expected to participate in training, education, and experiential exchanges at a level based on their workforce's contribution



to interagency work. The goal of coverage is interagency in curriculum, with intra-agency curricula largely left to agencies, although the hierarchy of INSP system activities over NSP individual activities would be clear.

- In this stage, the INSP program has progressive requirements that distinguish interagency familiarity, experience, and mastery. Demonstrated mastery, validated at the interagency level, would ultimately be a prerequisite for senior interagency leadership and for many agency leadership positions which involve general knowledge and authority rather than narrow expertise.

Centralization of INSP Program:

- The overall system attributes are a central Board-managed set of INSP programs with complementary and supporting NSP programs at the agency level. The content of the INSP programs is developed and regulated at a centralized level with a minimum of new bureaucracy. Due to the inclusion of all elements of the federal workforce, central management is required. The content of agency NSP programs includes significant mandates of a common core addressing the interagency level, and some efforts devoted to developing a government-wide common lexicon.

System Design and Content:

- The essential element of this stage of the INSP system is a centrally directed set of NSP programs for a substantial cadre of personnel alongside agency NSP programs that include some interagency related content. The centralized NSP programs focus on filling specific interagency related positions at the experiential level but also include some key senior level agency positions. These initiatives focus on more than training, education, and experience. They also address work assignments, promotion and reward systems, and the development of agency and interagency cultures. This stage involves broad changes in all these areas.
- The essential design of these NSP programs is both position- and person-based. The INSP programs have at least two levels, for interagency experience and for interagency mastery. Unless a specific exception is made, key SES positions – and their equivalent in other federal workforces – have expectations for interagency mastery. Agencies are expected to have appropriate NSP programs of their own design that include familiarizing all personnel with interagency processes. These requirements impose some limitations on existing assignment patterns but this is an acceptable tradeoff.
- Individual attributes focus primarily on those needed for senior leadership in key positions in the interagency and agencies. As key interagency positions have mandates for NSPs and key agency positions include some competitive advantages for NSPs, NSP programs focus as much on senior federal leadership as skills that promote interagency action.

Career Development and Human Capital Issues:

- This stage envisions a new career development model for NSPs as well as formal NSP qualification and continuing education and envisions that agencies may also have a formal NSP qualification. It also envisions position selection priority being given to qualified individuals. This stage includes substantial changes to existing information



systems to accomplish and track the qualifications and to align positions and persons accordingly.

- The central aspects of this stage focus on permanent personnel, but it also expands deliberately to crisis-oriented special staff and some reserve personnel and intra-agency personnel.
- This stage envisions changes in existing human capital system policies and assignments, as well as making expanded use of temporary assignments, exchanges, and temporary fill of vacant positions to allow for more interagency experiential opportunities.
- This stage involves designations of positions, qualification of people, and formal career development tracks for a cadre of NSPs leading to senior leadership positions at the interagency level.
- It is implemented over time, but with fewer increments than the first or second stage. Instead, the gradual expansion in qualified NSPs in this stage is accompanied by gradually rising requirements for filling senior positions with qualified individuals. The program for NSPs is applicable across the full range of national security missions within the federal workforce and organization, with specific, selective opportunities for participation by others, such as international or intergovernmental organizations.

Congressional Role:

- Congressional involvement is required for this stage, for its basic design, mandate and funding, and then to follow-up with oversight to ensure its detailed implementation. Centralized funding is substantial and appropriate organizations have to be put in place for management of the system.

EVALUATION OF STAGE 3

The evaluation of the success of this stage is determined by the centralized INSP system in accordance with guidelines established in collaboration with the INSP Board. This body could provide evaluation guidance to departments and agencies, in addition to conducting its own independent or complementary assessments of the INSP system. At the same time, these analysis efforts will benefit from the OMB Interagency Working Group's development of a "government-wide guidance on program evaluation practices across the federal government," thus ensuring that INSP data can be compared across agencies.

Agency Outcomes:

At the agency level, the criteria speak to the success of the department or agency in their national security missions, resulting from NSPs operating under shared capabilities. Criteria include:

- Effectively contributing to full range of national security missions across intergovernmental spectrum/
- Successfully communicating and collaborating with other agencies on relevant activities.
- Demonstrably garnering agency support of INSP programs and on joint programs.
- Meeting goals for number of agency staff entering agency INSP career development tracks.

National Security System Outcomes: At this stage, the personnel responsibilities and overall system attributes allow the addition of national security outcomes. Criteria include:



- Cooperation and collaboration among agencies for joint projects and programs
- Agency compliance with the INSP system

PROFESSIONAL DEVELOPMENT

As individual NSPs are qualified, this stage begins to create career paths that include qualification regardless of agency affiliation. Some agencies have already started down this road with their SES-level training and career development. The INSP system changes from suggesting and coordinating education, training, and experience, to mandating requirements. Qualification moves beyond federal government to state, local and tribal entities with vehicles to distribute the education, training, and experience to them. International and intergovernmental concerns and environments are added to the qualification criteria.

Recommendations:

- The Board, in consultation with INSP system members and stakeholders, will develop a methodology for defining and designing the formal career development paths needed and available for various mission critical occupations within the INSP system
- The Board, in consultation with INSP system members and stakeholders will develop the central system and will develop its protocols for deciding what education, training, and professional development requirements are necessary based on the results of the career path development results.
- The Board, in consultation with INSP system members and stakeholders, will decide whether it is more cost effective to develop curriculum or whether provision of courses and other requirements can be met through working with existing agency education and training offering.

COORDINATION

In Stage 3, rotations and interagency transfers need to be increasingly standardized. Notwithstanding their value to individual departments or agencies, rotations within the home agency should not be considered a formal rotation within the INSP system and should not meet any rotation requirement for advancement that is established within the system framework. However, guidelines should be flexible enough to allow leeway for agencies to model rotational assignments (including determining length of duration and qualifications of NSPs assuming rotation) to suit their unique organizational needs and mission. As a general rule, the same policies and procedures should be applied to both civilian and military NSPs to facilitate their coordination. The Board charged with managing the INSP system should devote special attention to any deviations which would need to be justified. Pre-deployment training for deploying NSP personnel, whether civilian or military, should be mandatory, standardized, and impart skills useful for interagency work as well as related to the specific mission that the NSPs will join. MOU's should be used to better standardize the program. More sophisticated management information systems will need to be developed.

In this stage, while there are many features that could be added to a management information system, the Board will focus on developing workforce planning tools to meet the requirements of the expanding INSP system. These systems will have to be placed where they can grow and evolve.



The INSP system website should serve as the primary information portal for the INSP system.

The website should be unclassified and should feature social networking and a collaborative environment. A pilot to identify and test the requirements in consultation with users and stakeholders should be initiated.

The website should have three capabilities:

- Career development: training and education, career path tracking, qualification
- Personnel tracking: catalog of personnel information, including individual profiles on a social networking system
- Workforce planning: view of baseline information and established requirements and objectives

Legislation may be needed to address NSP personnel information management needs.

Recommendations:

- Rotational assignments and other exchanges for NSPs should be embedded in a formal developmental program such as the SES Candidate Development Program or the Presidential Management Fellowship.
- Such rotational assignments should be a requirement for career progression.
- The INSP program should encourage participating agencies to use personnel floats as a source for backfilling to address the issue of vacant positions while employees are on assignments.
- Skills/capabilities directories should be developed by departments and agencies and be regularly updated and shared with the Board and OPM.
- Agencies should agree on the components of INSP-specific career tracks and make INSP-designated interagency assignments.
- Agencies should work with OPM and OMB to develop any standardized MOU instruments that can be accommodated, given existing agency-level disparities in resources and assignment/promotion policies.
- An NSP HRIS should be created that includes the following features:
 - Career development: training and education, career pathing, qualification
 - Personnel tracking: catalog of personnel information, including individual profiles on a social networking system
 - Workforce planning: able to view baseline information and established requirements and objectives
 - Intergovernmental data inputting capabilities
- Identify the funding for an INSP system HRIS with possible options being agency funding, OMB directed funding, or a direct appropriation.

INCENTIVES

The discussion in Stages 1 and 2 for incentives are applicable to Stage 3 but expanded to include state, local and tribal.

**Recommendations:**

- Promotion or appointment to this new cadre of NSPs (special, exclusive membership)
- Different retirement arrangements
- Flexible work schedule
- Parity and equity in benefits and treatment of employees

FUNDING

This stage envisions a centralized INSP system with complementary and supporting NSP programs at the agency level. At this stage, either agencies will require increased funding through appropriations to support the mandates and requirements of an INSP system or the centrally managing organization will require significant appropriations and/or seed money to ensure the proper level of resources to adequately support and sustain the INSP system. The organization responsible for the centralized management of the INSP system will be largely responsible for the management of the funding. Funding will need to cover the development, implementation, and maintenance of any interagency education and training curricula and qualifications processes, as well as costs for experiential opportunities, incentives, human capital tracking systems, etc. See Figure 20: Cost Model for Pathway to an Integrated NSP System in Appendix 7.2.3 for estimated costs in Stage 3. MOUs for reimbursable tuition costs or a revolving fund mechanism may be used to ensure sustainment of the centrally managed INSP system. A centralized body that is appropriately funded will take some burden from the departments and agencies and their budgets. For analysis of revolving accounts and working capital funds, see Appendix 7.2.3.

Recommendation:

- Either increase department and agency funding for the development of the INSP system through appropriations and/or give the central management body an appropriate level of funding through appropriations.
- Have the Board ensure the appropriate level of agency funding by requiring a budget line item dedicated to supporting NSP programs. Make incorporation into annual programming and budgeting processes mandatory.
- Facilitate mandatory spending toward centralized INSP system initiatives through a revolving fund mechanism with funds controlled by the INSP Board. Seed money may be derived from agency contributions.
- Have the central management body conduct assessments of the INSP system funding effectiveness and readjust accordingly.

INCLUSION OF MILITARY

Acceptance of a vision of interagency performance that achieves strategic integration, complementary operations, and field interoperability would imply much greater ties between the military and other departments and agencies involved in national security. As a consequence, the development of human capital would benefit from much more integration as well to assure a steady flow of senior military leaders qualified to lead and participate in interagency activities, and to assure a greater familiarity of civilian national security professionals with military



operations. While some specific differences might remain due to the widely varying civilian and military human capital models, a unified system of interagency personnel development would be beneficial.

The military's joint system is already well developed to track and evaluate interagency experience and provides extensive interagency content in its educational curricula and training. In essence, the military joint program is already sufficient for stage 3 as a parallel program with the exception that it emphasizes intra-agency (joint) experience for the majority of participants. As Stage 3 is implemented the military's joint program should be augmented to ensure interagency experience is more closely tracked, more opportunities are provided for it, and that access is given for senior leaders to get interagency training and experience if they did not acquire it in the process of becoming Joint Qualified. Additionally, validated joint interagency experience would need to be a prerequisite for the most senior posts dealing with interagency matters, e.g., the combatant commanders.

In such a system, there would be substantially more positions on military staffs that could be filled or augmented by civilians. Many strategic level, regional, and joint task forces would effectively be part of interagency organizations, further expanding the opportunities for military officers and civilians to work together on a routine basis. Many of these organizations would shift from agency-centric activities to interagency activities, perhaps altering the capabilities appropriate to interagency activity to include more direction of mission-based rather than capability-based organizations. Most military officers would adapt easily to such a circumstance, since the leadership requirements would be similar to those already in practice throughout the military.

With the increased number of requirements for interagency joint positions and interagency organizations, there would be greater opportunities for reserve and National Guard officers as well as civilians to gain interagency joint credit. A qualification or designation program that is integrated with the requirements for civilians would allow for military officers to carry their qualification into civilian life after departure from the military as part of a "continuum of service" approach, substantially enhancing prospects for post-military employment, and incentives both for officers to seek such designations and to serve in other government capacities.

Concern may arise about the number of military officers serving in capacities outside the Department of Defense or in supervision of interagency organizations. This concern could be offset by legal rules similar to those presently governing assignment to the Joint Staff, limiting the duration of such assignments for military officers.

Legislation would be required to overcome difficulties underpinning such a system to ensure that it is managed at the national level (rather than at the agency level), with aligned concepts, education, training and experiential requirements, to allow for chains of command that mix military and civilian leadership more frequently, and to assure that civilian control of the military is sustained.

**Recommendation:**

- Accept that the current military joint program provides the basis and example for stage 3 in how it handles intra-agency, interagency, international and other experiences.
- Consider aligning the civilian and military interagency training, education, and experiential requirements in similar programs with a robust approach to shared training and exchange of duty positions.
- Build on joint military organizations to have effective civil-military strategic and regional organizations. Prescribe doctrine that allows for more field interoperability, supporting interagency teaming that is initiated by empowered field leaders.
- Establish and promote a common interagency or integrated culture that unifies national security professionals across the full range of interagency activity.

INCLUSION OF STATE/LOCAL**Recommendation:**

- Shift focus from the department/agency level to the interagency level if the decision is made to centralize INSP strategic human capital investment programs. This would also apply to Stage 4.

CONSTRAINTS, RISKS, AND BENEFITS OF STAGE 3

The constraints on Stage 3 are:

- **Leadership:** Strong legislation, some funding, and a strong centralized INSP Board will provide the leadership required to develop this stage. Stronger congressional and executive leadership will be required to gain approval for significant legislation, particularly in the face of possible agency resistance.
- **Political:** This stage requires significant legislation, and the political climate may be a significant constraint on leaders. Pressing domestic and foreign national priorities will likely attract the effort and political capital of executive and legislative branch leaders. It will be difficult to make the case for a bold INSP system in light of other needs.
- **Cultural:** At this level, different levels of government are included with the additional benefit of a strong centralized INSP system that has greater oversight and congressional mandate over agency programs.
- **Definitional:** This level begins to comprehensively address this constraint by creating a federal qualification. Agency coordination with a centralized INSP system will inform agency designations.
- **Capacity:** This stage cannot be accomplished by agencies alone as it provides a strong, centralized set of INSP programs that provide much needed assistance to agencies in developing and maintaining effective INSP programs under Board direction. Congress would also provide additional funding for the fully operating Board and the HRIS established for management of the INSP system. These attributes will be critical for the system to be able to address national security across issues and levels of government.

The careful cultivation of agency buy-in and cooperation is increasingly important across these stages, but it begins to have critical importance at this stage. Significant changes in traditionally



agency-internal issues and an expanding scope in both mission area and levels of government cannot be done through oversight and enforcement alone. Legislation and mechanisms must be careful to exclude loopholes that permit incomplete compliance with the system.

Interviews with agencies have made it evident that they are at different stages in national security professional development. Stage 3, which begins to strengthen the centralized set of NSP programs, takes a number of steps to improve consistency. By including all levels of government, it incorporates consistency among equally relevant contributors to domestic national security. Central management by the INSP Board and the addition of strong mandates required to make changes also ensure that this system is more institutionalized than previous models.

5.4.4 STAGE 4: WHOLE-OF-GOVERNMENT INTEGRATED NSP SYSTEM

The final stage envisions a broader transformation of the national security system that includes major changes in how national security work is accomplished and how authority and accountability is distributed in order to realize more efficient and effective action on a whole-of-government basis. Such a transformation focuses on transitioning the national security system from agency-centric activity and resourcing to holistic mission performance that results from much better cross-boundary teaming. Significant responsibilities and accountabilities for performance transition to integrated teams and task forces, with departments and agencies becoming providers of capabilities rather than mission managers where missions inherently require collaboration.

Stage 4 is distinguished from Stage 3 by the extent of this broader transformation and by major changes in personnel systems to support it, allowing for the full integration of an INSP system rather than its adaptation to fit the requirements and characteristics of existing civil, military, and other professional service systems.

Stage 4 is also distinguished from Stage 3 by the extent of integration that is possible in the INSP system for intergovernmental, international, and public/private collaboration as the result of a broader transformation of the national security system. Although Stage 3 also involves cross-boundary teaming and development of NSPs across these boundaries, a much more integrated system in Stage 4 is possible due to the transformation of rules, methods, and culture in the national security system.

The Board will need to articulate the specific scope of such a major transformation of the national security system and accompanying changes in the human capital systems. These changes exceed the mandate of this study but its general characteristics can be envisioned. Such a system is focused on national security missions rather than federal, interagency-centric, or agency-centric missions. Its organization is flatter, more open, involves fewer “stovepipes,” and fully employs new horizontal collaborative methods facilitated by new technologies. Strategic planning and measurement are focused on national security missions rather than dictated by individual and specific disciplines or functions. Governance methods are generally at the federal interagency level, but with significant collaboration and participation by INSP system organizations and stakeholders. Tradeoffs in resourcing and activity are between competing



national priorities. Provisions exist for much more “continuum of service” opportunities for National Security Professionals to work beyond federal organizations. The management of the INSP system is centralized at the federal level but is also augmented by engaging NSPs in co-managing their development as a “community of practice” that spans across boundaries of agency and federal service.

This stage does *NOT* attempt to design a new human capital system or a new authority system for the government, but anticipates a changed interagency environment as the result of the overall evolution of the INSP system.

Systemic Issues:

- This stage starts from a detailed vision of what an interagency system seeks to accomplish and is oriented toward mobilizing national security on a whole-of-government basis.
- This stage most likely extends from the third stage over time as changes in the supporting government human capital systems takes place. It also anticipates the restructuring of how the federal workforce is hired, promoted, and employed, with flatter organizations, more empowered interagency teams rather than coordinating committees and the performance and management of federal work along mission lines rather than those of departmental capabilities. This program anticipates a more open federal workforce that allows for and expects more flow of personnel to and from the private sector and other governmental levels.
- The key distinction of the fourth stage from the third stage is an anticipated redesign of the rest of the national security system to one that is much more interagency in character, including the patterns of authority and budgeting.

Size, Scope, and Implementation of INSP Programs:

- The initial scope of the INSP program is extensive, although it is more likely to be developed after implementing programs that resemble the other stages. The total number of participants in the INSP program is also substantial.
- Formal application is for federal government positions, including the military, Foreign Service or intelligence professionals. It also allows for “continuum of service” opportunities with intergovernmental positions and international organizations. The centerpiece of this stage is a set of elaborate human capital development systems that involve all aspiring leaders for senior positions. Repetitive interagency level experiences and validated mastery of interagency activity are required for senior positions at both the interagency and agency levels. The content of all general professional level training and education programs includes interagency curricula.
- The INSP system is overarching. Agency NSP programs are complementary and interlinked with the INSP system based on guidance directed by the Board from the interagency level.
- In this stage, the INSP system has progressive requirements that distinguish interagency familiarity, experience, and mastery. Demonstrated mastery (validated at the interagency level) is a prerequisite for senior interagency leadership and for most agency leadership positions.

**Centralization of NSP Programs:**

- The overall system attributes are a set of horizontally integrated INSP programs with integrated and subordinate NSP programs at the agency level. The content of the INSP programs is developed and regulated at a centralized level by the Board described in Section 5.2. The content of agency NSP programs includes significant direction of a common core addressing the interagency level, with extensive effort to develop a collaborative culture including government-wide common lexicons and other common systems.

System Design and Content:

- The essential element of this stage is a centrally directed INSP system which agency programs are redesigned to support. All human capital programs have to evolve to support new constructs for the operation of the national security system. Ultimately, this stage includes many initiatives beyond training, education, and experience, including work assignments, promotion and reward systems and the development of agency and interagency cultures. This stage involves broad changes in all these areas.
- The essential design of the INSP system is both position- and person-based. The NSP programs have at least two levels: one for interagency experience and another for interagency mastery. The norm is for key SES positions (and their equivalent in other federal workforces) to have validated interagency mastery. Agencies are expected to have appropriate supporting programs of generally common design to promote intra-agency, interagency and whole-of-government collaboration. These programs are quite different than those in place today and would have generally common features throughout the government.
- Individual attributes focus primarily on those needed for senior leadership in key positions in the interagency system and individual departments and agencies. As key interagency and agency positions have mandates for NSPs, the programs focus as much on senior federal leadership as on those skills that promote interagency action.

Career Development and Human Capital Issues:

- This stage envisions a new career development model for all federal employees with increasing interagency content as more senior levels are reached by individuals. It includes formal INSP qualification for each level of the program (familiarity, experiential and mastery). This stage includes substantial changes to existing information systems to accomplish and track the qualifications and to align positions and personnel accordingly.
- The interagency system is the top-level focus for all other federal human capital programs. It includes significant integration of other categories of personnel, including crisis-oriented special staff, reserve personnel, and intergovernmental personnel. The wide variety of the applicability requires substantial adaptation to these other programs for an effective “continuum of service” design.
- This stage envisions large scale changes in existing personnel system policies and assignments, including expanded use of “up or out” assignments, directed reassignments or changes of duty, temporary assignments, exchanges and temporary fill of vacant positions to allow for more experiential opportunities across the government.



- This stage involves designations of positions, qualification of people and formal career development tracks for a cadre of NSPs leading to senior leadership positions at the interagency and agency level that are filled by NSPs (by comparative advantages and requirements).
- It would be implemented over time, but with fewer increments than the first or second stage. Instead, the gradual expansion in qualified NSPs is accompanied by gradually rising requirements for filling senior positions with certified individuals. The program for NSPs is applicable across the full range of national security missions within the federal workforce and organization, with specific, selective opportunities for participation by others, such as international or intergovernmental organizations.

Congressional Role:

- Extensive Congressional involvement is required for this stage, for its basic design, mandate and funding, and then to follow-up with oversight to ensure its detailed implementation. Centralized funding is substantial, and appropriate organizations would have to be put in place for management of the expanded system. In essence, this stage anticipates a full redesign of how the federal government operates at the strategic and operational levels, and significant changes at field levels for more collaborative approaches to our national security system.

EVALUATION OF STAGE 4

Qualitative and quantitative criteria for assessing this level of the INSP system exist across five levels and are measured in the outputs of education, training, and experiences. These levels are based in the Kirkpatrick model, recognized as an international standard in the evaluation of training and its outcomes at various levels. In this INSP-adapted version, five levels of assessment are required to capture the relevance of training to individuals, the relevance of content applied by individuals to agencies, and the agencies' improved performance outputs in the national security system. There are four, comprehensive categories of criteria for this system:

Relevance: At the most immediate level, the shared capabilities can be assessed by INSP feedback of training, education, and experience programs. The utility and relevance of programs to the individual NSP and his or her line of work are critical to their successful acceptance of the role they will be required to play in a reorganized system. Criteria include:

- Provides a sense of the requirements of the strategic environment.
- Provides a sense of individual employee and agency contribution to comprehensive national security missions and issues.
- Explains the case for cooperating with other agencies to produce an integrated outcome.
- Explains guidelines for interagency cooperation in relevant work pattern.

Applicability and Changed Behavior: NSP knowledge acquired can be used to assess the effectiveness of the program in structuring the INSP system. This will demonstrate that the NSP has the knowledge of concepts and their application, and that corresponding behavior is evident in INSP performance. Applicability encompasses the extent to which NSPs can actually apply the concepts in the context of their work environment. Criteria include:



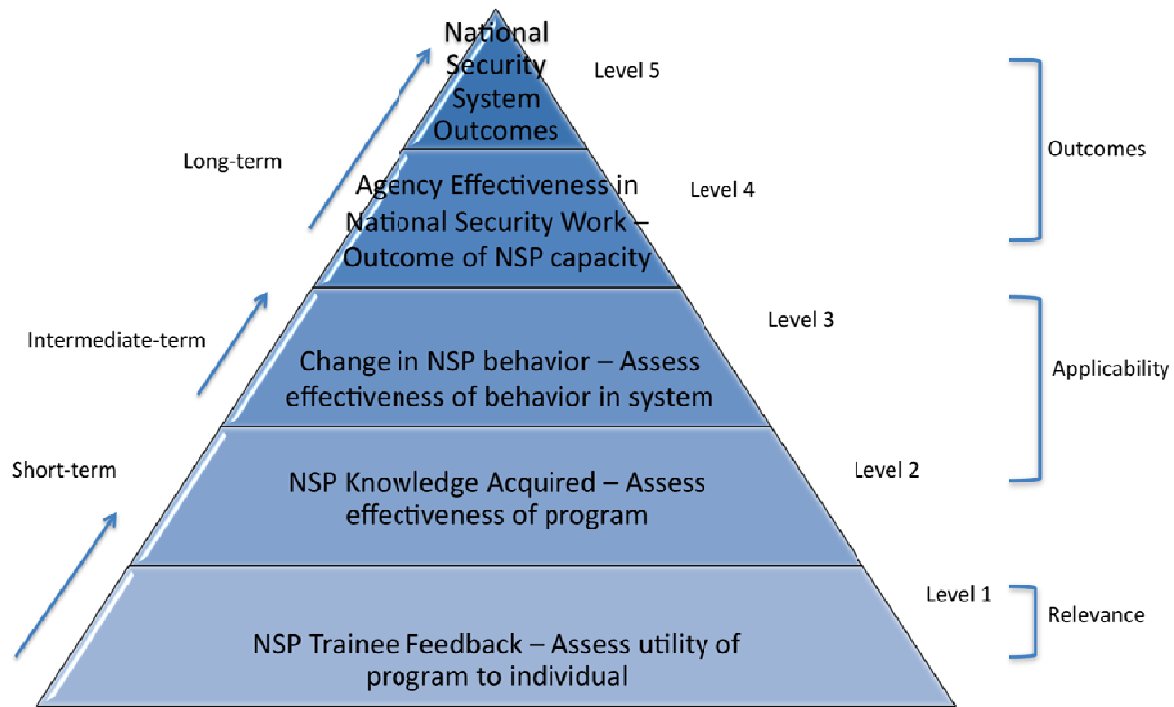
- Demonstration of understanding of NSP shared capabilities and applications in qualitative test results
- Demonstration of strategic, national-interest based thinking in agency work
- Evidence of integrated, collaborative INSP culture within and across agencies

Agency Outcomes: At the agency level, the criteria speak to the success of the agencies in their national security missions, resulting from NSPs operating under shared capabilities and can be assessed by new, centralized, and standardized mechanisms. Criteria include:

- Communication and collaboration between agencies on relevant activities
- Agency support of INSP programs and on joint programs
- Number of individuals with intergovernmental qualifications
- Number of individuals entering federal system-wide career development track

National Security System Outcomes: At the broadest level, the development of NSPs is intended to improve national security system-wide outcomes. By establishing links between the previous levels, outcomes for the national security system can be assessed. Criteria include:

- Cooperation and collaboration among agencies for joint projects and programs
- Agency compliance with the INSP system and government-wide changes

Figure 13: NSP Levels of Training and Education Evaluation***NSP Levels of Training and Education Evaluation***

Adapted from United States, US Office of Personnel Management, OPM Draft Strategic Plan 2010 – 2015 (Washington) 20.

PROFESSIONAL DEVELOPMENT

The basic skills, education, training, and experiences currently developed for NSPs would be codified into the skills, education, training, and experience across the government. INSP credentialing would be part of the criteria for senior leadership throughout the agencies.

Recommendations:

- The Board, in consultation with INSP system members and stakeholders will develop a professional development evaluation methodology that links the evaluation of both individual and organizational accomplishments in relation to agreed upon professional development goals and outcomes.
- The Board, in consultation with INSP system members and stakeholders, will periodically review the professional development policies and procedures to assure that they are still viable and accomplish the strategic objectives of the professional development requirements of the national security system.



COORDINATION

The Board will be a fully-resourced and functioning entity that oversees and manages the INSP system. Rotations and interagency, intergovernmental, and inter-sector transfers will be an integral part of this stage. There will need to be sessions that teach strategies to establish and best use networks and the other benefits of a rotation assignment in orientation classes within the INSP program. Agencies and employees will need to pursue interagency opportunities (e.g., consider requiring reciprocal exchanges, perhaps averaged out over a year, so no participating agency experiences a major net loss). The INSP budget should ensure that funding is provided for rotational assignments. Given the busy schedules but also elevated skills of NSPs, opportunities for distance collaboration technologies should be made widely available. These techniques should reinforce, not replace, funded on-site participation opportunities -- in much the same manner as simulations are used to augment actual flight hours for pilot training. Pre-deployment training for deployed NSP personnel, whether civilian or military, should be mandatory, standardized, and impart skills useful for interagency work as well as related to the specific mission that the NSPs will join.

The INSP system should include a Board enforcement mechanism to ensure that departments and agencies meet minimum standards when asking for and adjudicating new security clearances. For example, every agency and department might be obliged to document requests for new clearances that are not granted within 180 days.

The HR information system for this stage must include data from federal, state, local, tribal, non-government, and private sector organizations.

Recommendations:

- Mechanisms must be developed to monitor, evaluate, and report on the results achieved by various civil-military coordination arrangements within the INSP framework, to better capture lessons learned about which practices work best.
- OMB and OPM should issue directives to support sufficient agency expenditures to allow for personnel floats in INSP-designated positions. Congress should provide some additional resources for this purpose to the central management function by the Board.
- Congress should require that OPM, OMB, and the Board authority develop standardized MOU instruments for various INSP mission areas.
- Congress should amend the Intergovernmental Personnel Act (IPA) to better enable exchanges between the federal government and state/local/tribal/territorial entities.
- An NSP HRIS should be expanded to include data from private sector and NGOs.
- The INSP system website should be enhanced to include partners from the private sector, other governments, and international governmental organizations.

INCENTIVES

The discussion in Stages 1, 2, and 3 are applicable to Stage 4 but expanded to include private sector.

**Recommendations:**

- Competitive pay scale above General Schedule system
- Unsupervised time to develop ideas on a topic picked by employee from a National Security Issue List

FUNDING

This stage envisions a strong centralized INSP system with integrated and subordinate NSP programs at the agency level as part of a whole-of-government reform. Ideally this creates a streamlined coordination process which lowers the funding requirements due to a more efficient allocation of capital. See Figure 20: Cost Model for Pathway to an Integrated NSP System in Appendix 7.2.3 for estimated costs in Stage 4. However as with the previous stage, the Board designated for the oversight, design and implementation of an on-going INSP system will require extensive appropriations and/or seed money to ensure the proper level of resources to adequately support and sustain the INSP system. Reorganized congressional committees may require appropriations or redistribution of budgets in order to provide sufficient oversight.

This most comprehensive level will require significant upfront financial investment with ideally significant cost savings and returns on the backend, which may serve as a constraint to implementation. It is difficult to predict funding requirements and processes in such a dramatically reorganized government.

Recommendation:

- Continue to assure funding for the Board that is in line with its policy and program management mandates.
- Perform a whole of government study once government realignment has taken place to match appropriate mission critical skills with funding requirements.
- Look for way to combine government funding resources with private monies in a coordinated manner to tackle mutual national security issues.

INCLUSION OF MILITARY

A whole-of-government approach to human capital that addresses the full range of organizational and personnel systems to promote greater integration would not require extraordinary mechanisms for military personnel systems beyond those outlined in Stage 3. Traditional civilian GS system employees would have to accept more changes than would be necessary for military personnel to embrace a dynamic, responsive organization for human capital.

The full embrace of integrated interagency human capital would require the same cultural and organization requirements for open, cross-boundary teams that would be necessary for intergovernmental, international, and public/private teams that could leverage unified action. Training, educational and experiential requirements and qualifications or designations would be prerequisite but insufficient to this broader teaming. Cultural change that empowers accountable team performance from diverse individuals drawn from many disciplines and organizations would also be necessary.



Additional practical and legal questions would likely be raised about mixed civil-military teams and command systems that would have civilian officials potentially directing large numbers of military personnel, possibly to include the application of lethal force. While such arrangements would be beyond those actively considered today, organizations such as NSA and CIA already provide some precedent for such integration.

Another element of integration in such a system would be to unify the strategic level of education across the interagency system, combining current activities such as the National Defense University, service war colleges and the Foreign Service Institute as well as a consortium of colleges and universities. Such combinations into a national security educational establishment could significantly assist the promotion of true integrated and interagency culture and processes.

Recommendations:

- Integrating national strategic and regional organizations at the interagency level should necessitate an interagency-centric government rather than one that is agency-centric. This should be supported by mission-based budgets, and an interagency national security workforce that is qualified to do the hard tasks of integration, flatter, empowered leadership organizations, and the transition of agency roles from that of directing all missions to that of being force providers for integrated national security missions.
- Such a system would likely need some adjustment of the nation's government personnel systems to assure that participating individuals can be flexibly assigned and directed. It would also benefit from an enhanced ability for reassignment of funds and activities throughout the government to better fit tools to tasks.
- Such an approach opens up additional opportunities for effectiveness and efficiency, such as those that might be achieved from integration of the nation's federal health system, federal logistic system, intelligence system, and national security support agencies.

INCLUSION OF STATE/LOCAL

Recommendation:

- All of the comments and recommendations found in Stages 1-3 would apply to Stage 4.

CONSTRAINTS, RISKS, AND BENEFITS OF STAGE 4

There are several constraints associated with this stage:

- **Leadership:** As with the previous level, Stage 4 calls for the requisite leadership to develop the system accordingly. Again however, stronger congressional and executive leadership are required to gain approval for so comprehensive and significant a change and to pass the appropriate legislation.
- **Political:** This model faces the strongest political constraint. In addition to external circumstances and other issues, the model proposes a large-scale, re-envisioned human capital system requiring significant legislative changes.

- Cultural: At this level, the INSP system avoids the likelihood of least common denominator outcomes, because the centralized program ensures that the good of the nation and the effectiveness of the entire national security system is the highest priority.
- Definitional: At this level, a centralized interagency INSP system identifies and clarifies definitional issues. The intergovernmental qualification and federal system-wide career development track ensure consistency in all aspects across agencies.
- Capacity: This model adds participation from the private sector and international organizations, expanding the number of participants further but also providing significant additional support. Agencies are required to develop more elaborate programs to be integrated with a stronger centralized INSP program, which will lead and oversee these efforts.

Developing an unprecedented program, and the requisite infrastructure and evaluations inevitably entails risks in development, implementation, and outcomes. The significant coordination and detailed planning required to make this comprehensive program successful cannot be underestimated, and the increased burdens and considerations will increase the risk of failure. Agency buy-in will again be a significant component of success, and must be a high priority if the transformation is to succeed. The size and scope of the program will complicate evaluation.

However, this level addresses national security personnel issues most comprehensively. Building on the benefits of the previous stage, it ensures that the national security human capital system is managed and developed in the interests of the entire national security system and its effectiveness. It is the stage most certain to bend the traditional stovepipes and enhance loyalties to national security missions.

5.4.5 COST MODEL FOR PATHWAY TO A WHOLE-OF-GOVERNMENT INTEGRATED NSP SYSTEM

This analysis contained in this section looks at the following cost drivers and model assumptions found in the *Pathway to an Integrated NSP System*:

- Number of years
- Steady state size
- Training and education
- Human capital
- Pilots
- HR information systems

PNSR recognizes that there are additional factors that will contribute to the overall costs, but seeks to provide estimates here to give the reader a rough-order-of-magnitude understanding of associated costs. In developing a model for the overall system costs, one must consider that only a handful of factors which will significantly drive costs. To that effect, many assumptions have been made to simplify the model.



COST DRIVERS AND MODEL ASSUMPTIONS

Number of Years: The model anticipates an aggressive timeline of five years to achieve Stage 4. Each stage has been allotted 1.25 years, and consequently the costs for each stage therefore span 1.25.

Steady State Size: The model draws upon a notional—for example only—steady-state size for each stage. 1,000; 4,000; 6,000; and 10,000 progressively through the respective stages.

Training and Education: The training and education encompasses the initial set-up, infrastructure, and implementation costs, as well as on-going maintenance or tuition costs for the follow three types of training: web-based training courses, seminar/classroom-based training courses, and residency-based training programs. These training and education options are further described in Appendix 7.2.3. From an assumptions standpoint on training and education:

- Maximum costs are used
- When applicable, the costs are capped by maximum yearly throughput of students
- Costs for each stage include the on-going tuition cost of previous and new courses, and any development or infrastructure costs of new courses
- Infrastructure costs are factored within each stage's cost when appropriate, and do not account for the lead time which would be required in developing the courses
- As the INSP system matures and progresses through the stages, more courses will be developed and required of those trying to become an NSP
- Specific assumptions on throughput and costs for each type of course can be found in Appendix 7.2.3

Human Capital: Significant incremental personnel costs include incentives, float, and the Board – i.e., increased personnel capacity to enable agencies to continue day-to-day functions and missions while allowing their national security professionals to undertake interagency education, training, and assignment opportunities provided by the INSP system.

- **Incentives:** Based on our analysis, incentives should be no more than 2% of salaries. Given NSPs are around the GS-15 level, PNSR has assumed an incentives cost of 2% on an annual salary of \$125,000.
- **Float:** This may be the most difficult cost to estimate. Will the float requirements drive the possible pipeline, or vice versa? In this model, we have assumed budgets will meet float requirements. Assume over a 20-year career, individuals will be required to have 24-months of out-of-agency work, to simply 12-months spent on training/education and 12-months spent in rotational assignments. Given most rotational assignments will effectively be reciprocal or appropriately managed to avoid gaps, rotational assignments should not require floats. Given a steady state, this amounts to about 10% per annum in float FTEs to cover those leaving for education and training. Further adjusting for throughput minimums on training/education, we should assume 2% float per annum. Lastly, assuming the annual GS-15 salary of \$125,000 and an additional \$90,000 in costs such as benefits and security clearances, the total cost is \$215,000 per float.
- **Board:** The assumption is that any potential NSP will already be incorporated into departments' or agencies' current budgets. Thus, the incremental costs stem from the



additional FTEs that will be required to work on the Board. PNSR anticipates 20-30 individuals for the Board, of which 10-15 are permanent positions. The rest of the individuals will be filled by rotational positions in which the costs have already been factored into other segments of the model. Furthermore, assume that the Board will require a gradual increase in FTEs through each stage to accommodate the increasing administrative responsibilities of planning, tracking, coordinating activities, etc. Other functions may include branding, recruiting, and supporting the advisory group. For salary costs including benefits assume an average of \$85,000. As for estimates on space, PNSR has assumed an annual cost of \$375,000 based on an estimate of cost per square foot per FTE

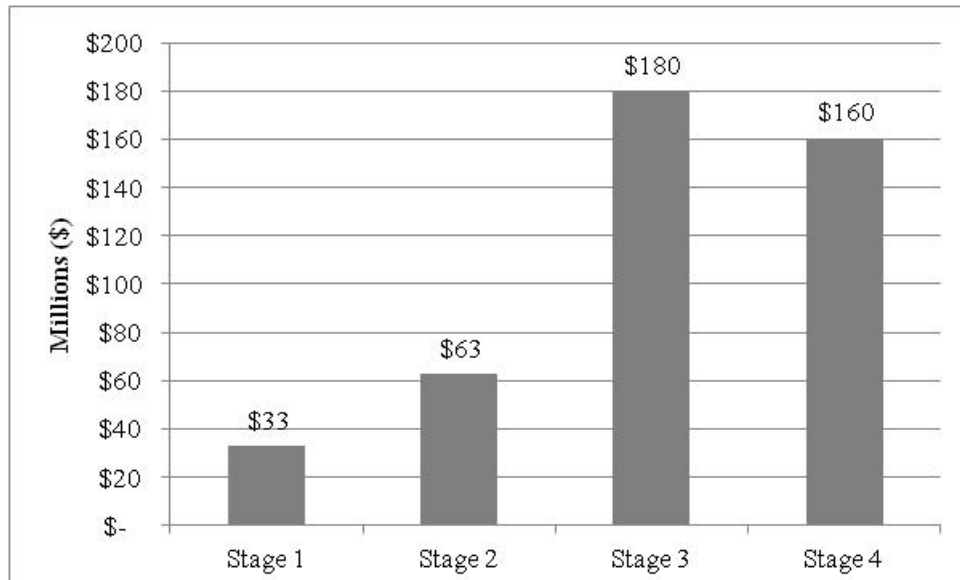
Pilots: The cost of pilots will largely be determined by number of participants and extent of the pilot. Concept development and refinements costs would be absorbed by the FTEs within the Board. Additionally, salaries for pilot participants are already incorporated into agency budgets and floats for rotational assignments. Thus, any incremental costs stemming from pilots are a result of direct pilot activities which will be assumed to be a yearly cost of \$1.5 M per pilot. Assume 1 pilot in Stage 1 and 2 pilots each in Stage 2 and Stage 3.

HR Information Systems: Based on coordination analysis, PNSR determined that an expanding INSP system would also require complementing improvements to a Human Resources Information System. Looking at industry benchmarks of IT system implementation costs and on-going maintenance costs, a series of costs were proposed for increasing capabilities of the Human Resources Information Systems, with full capability achieved in Stage 3 that includes an integrated tracking system, as well as social networking functionality. Each stage also assumes a \$500,000 on-going maintenance cost.

TOTAL COSTS

The projected costs of the 5-year four-stage pathway toward a wholly integrated NSP system are \$33 M for Stage 1, \$63 M for Stage 2, \$180 M for Stage 3, and \$160 M for Stage 4. The total cost of the 5-year program is approximately \$435 M.

Figure 14: Cost for the Pathway to an Integrated NSP System



Recommendation:

- Future studies should focus on a more robust cost model for an overall system.

5.5 PROGRAM EVALUATION GRID FOR THE FOUR STAGES

The Program Evaluation Grid (PEG) Framework for the four stages to an integrated system is based on the PEG for Current Efforts and is displayed in Appendix 7.7.3.

5.6 PILOTS

Pilot programs are a proven approach to testing the intended and unintended consequences of changes to an organization's policies, programs, and procedures. Pilots, properly designed, allow organizations and their employees to learn within a controlled environment what works and what does not. Adjustments can then be made so that the strategic and operational goals and objectives of the change can be accomplished effectively and efficiently.

Pilot projects allow for 'light-weight innovation' in which 'too big to fail' does not inhibit creativity. The lessons learned from a failed pilot project may contain the seeds for a successful program. By allowing pilot projects to 'fail small and fail fast,' the learning curve for what works or what does not can be significantly reduced. The ability of challenges to foster innovation lies partly in the fact that diverse individuals from across organizational boundaries are able to participate in the conceptualization and design of the program.

In addition to pilot projects, agencies have the ability, working with OPM, to conduct personnel demonstration projects as "a means to propose, develop, test, and evaluate interventions – changes in personnel management policies or procedures – for their human resources



management systems.”¹¹⁶ From agency interviews conducted July-October 2010, “personnel demonstration projects have become valuable tools, providing the federal government extensive experience in improving key systems critical to the strategic management of human capital.”¹¹⁷

The critical success factors for a viable pilot program include:

- A succinct definition of a problem or an issue or set of problems and issues to be tested
- The development of a hypothesis for the likely outcome
- Qualitative and quantitative metrics to evaluate the outcome(s)
- A tested hypothesis and evaluation of the outcome
- Adjustments to the problem solution based on the evaluation results

Each of the four stages includes the expectation that implementation will involve some pilot programs to test ideas on a small scale and to allow for gradual imposition of any directive requirements. This section discusses pilot programs that include concepts of coordination, professional development, incentives, financing, military and intergovernmental inclusion. The array of pilot programs would be different for each stage. Pilot programs are different from gradual or spiral implementation, as pilot programs involve formal tests of alternative concepts rather than final program designs.

Several examples of potential INSP system pilot projects can be found in Appendix 7.8.3.

¹¹⁶ United States, Office of Personnel Management, *A Status Report on Personnel Demonstration Projects in the Federal Government* (December 2006).

¹¹⁷ United States, Office of Personnel Management, *A Status Report on Personnel Demonstration Projects in the Federal Government* (December 2006).





6. CONCLUSIONS AND RECOMMENDATIONS

6.1 CONCLUSIONS

Being prepared to meet the full range of complex 21st century national security challenges requires an INSP system that allows public organizations at the federal, state, local, tribal, and other levels of government to attract and retain the best people our nation has to offer. Well-qualified National Security Professionals are foundational to success in achieving America's national security goals and objectives.

Business as usual will not work in carrying out the President's National Security Strategy to employ U.S. instruments of power in integrated, effective, whole-of-government approaches. The goal is nothing less than the security and prosperity of the United States and its citizens. Having national security professionals who can operate collaboratively and effectively is a national goal, a recognized necessity, and a stated priority.

To achieve this goal will require:

- **Individuals** who are educated, trained, and incentivized to collaborate in permanent, temporary, and emergency assignments, (i.e., put national perspectives ahead of individual agency equities).
- **Organizations** that are prepared to train, support, and reward individuals to deploy and serve in interagency and intergovernmental positions (i.e., organizations that put mission accomplishment in pursuit of national interests ahead of organizational equities).
- **An integrated human capital system** for National Security Professionals that is flexible, dynamic, and inclusive and is managed in the interagency space between the Executive Office of the President and the individual departments and agencies.

Since issuance of Executive Order 13434 in May 2007, some progress has been made in promoting the education, training, and experience of professionals in national security positions in executive departments and agencies. Current efforts to designate and develop National Security Professionals (NSPs), while well-intentioned, are sub-optimal because they are agency-centric and focused on the development of agency capabilities rather than the full integration of multi-agency capabilities (elements of U.S. national power) through an optimal focus on broader national security missions. These individual efforts are not sufficiently centralized or directed as a system to achieve the necessary results, either in terms of national security human capital or national security outcomes.

Other specialized programs are attempting to build interagency capacity, some with success but with most encountering the same problems that plague implementation of the executive order. These challenges include lack of centralized authority, clarity of roles and responsibilities, communication, funding, and congressional oversight. Additional work remains to prepare fully



the U.S. national security system and its workforce to confront the threats – and opportunities – of the strategic environment today and tomorrow.

Further development of and strategic investment in a National Security Professionals human capital system is urgently needed, with greater integration across its components, including the U.S. military, state, and local personnel, and the private sector.

Toward development of such a system, PNSR recommends a whole-of-government Integrated National Security Professional system with four sequential transformation stages to reach it. The stages are the path along an advancing program of change based on successful practices and lessons learned in past transformation efforts and with the NSP system established under Executive Order 13434. The transformation starts with the current system and builds additional capabilities and requirements step by step. It is an evolution that PNSR recommends be accomplished in a five- to seven-year timeframe. With respect for the past, transformation to an INSP system looks to the future to build an integrated system that will produce now and in the future the kind of security the American people demand and deserve.

The lessons learned from successful and failed governmental transformation projects in other domains are powerful and instructive. To ignore those lessons is to imperil change. Political and career leadership must be involved and must articulate a clear vision and reason for change. The most successful transformations are those that can articulate a direct relationship between the change being made and the organization and the individual's ability to achieve the agency mission more effectively and more efficiently.

This is a new time, requiring new ideas, new minds, and experiences that can both confront and embrace new technology and systems that drive the change and the environment. It is critical that the new system recognize the culture, capabilities, and needs of the next generation – and more broadly of a country moving from an industrial era, and post-Cold War ways to a more horizontally integrated world where collaboration across traditional boundaries will be the hallmark of successful policies and successful countries. Terrorist organizations and non-traditional warfare have already made this transition. It is now time that the United States government at all levels also undertake that same transformation.

Employees at all levels must be engaged in the transformation effort at the problem identification, problem solution, piloting, and implementation stages. Change is facilitated with entrepreneurial incentives for organizations and people, communities of practice, networked organizations, and social networks because these entities enhance both vertical and horizontal collaboration.

An Interagency National Security Professionals system will improve collaboration across the full range of national security missions and processes. It will enable a more integrated approach in key areas such as civil-military operations abroad, intelligence and law enforcement community efforts at home and abroad, and multi-agency disaster response. An integrated approach – across interagency, intergovernmental, and sometimes across public and private sectors and the international community – will also be required to effectively confront many other challenges to

our viability and vitality such as financial, food, health, energy, and infrastructure aspects of our nation's security.

6.2 OVERARCHING RECOMMENDATIONS WITH ADDITIONAL GUIDANCE FOR SUCCESS

1) *The United States should urgently build an Integrated National Security Professional system to develop and manage a cadre of professionals highly capable of working effectively across agency and governmental boundaries on complex day-to-day and crisis challenges. The INSP system – built on the current program established in 2007 by Executive Order 13434 – should be an overlay on existing systems rather than a whole new human capital system and should include the following key features:*

- **A federal human capital program** that provides the foundation for the emerging profession of National Security Professionals (NSPs).
- **A corps of designated NSPs** from throughout federal departments and agencies and state, local, and tribal organizations, who work collaboratively across organizational boundaries – such as intra-agency, interagency, intergovernmental, international or public/private – during steady state assignment, on a special task force or team, or in crisis response in a whole-of-government system.
- **Centralized management** of key aspects of the system, including career development and tracking of NSPs.
- **Designation of specific positions** for service by NSPs involving responsibilities that are inherently collaborative across organizational boundaries with incumbents serving outside their primary department, agency, or major organization, during steady-state assignment, special task force or team, or in crisis response.
- **Recognition of various “patterns of work” in the national security community and “one size may not fit all”** in the development of elements of a NSP career development system.
- **Accommodation of both person-based and position-based approaches.**
- **Progressive development and qualification** of NSPs through a series of levels representing achievement of proficiency in collaborative teaming across organizational boundaries as the result of education, training, experience, and demonstrated performance, with requirements for qualification at various levels.
- **Formal program for integrated training and education**, largely run by individual departments and agencies but with some centralized mandates and courses.
- **Self-selection** to pursue NSP qualification, bolstered by incentives and recruitment programs.
- **Entry and training laterally** or at early career stage
- **Central funding** for key aspects of the program such as the development, implementation, and maintenance of any interagency education and training curricula and qualification processes, as well as costs for experiential opportunities, incentives, human capital tracking systems, and central management functions.
- **Central evaluation** and oversight of the system.



- 2) ***The INSP system must be institutionalized, linking responsibility and authority and having continuity from administration to administration. Central management is key to this institutionalization.***
- Central management of the INSP system should be in the hands of a new congressionally created independent Board whose chief executive is presidentially nominated and Senate confirmed for a five- or seven-year term and who would report to the President. The Board would first be created through executive order.
 - The Board staff would be half permanent and half on rotational assignment.
 - The Board must have its own budget and the authority to develop and pilot leadership, management, and procedural mechanisms appropriate to the interagency, intergovernmental and multi-sector – including public, private, and international – needs of the INSP system.
- 3) **The INSP system must be attractive enough to create demand for self selection. The system must include the incentives to attract the newest generation of potential government employees.**
- Financial and non-financial incentives for both individuals and organizations are indispensable.
 - There should be a NSP/INSP system brand, perhaps with a logo to build esprit and attract newcomers.
 - The system and its processes should appeal to the next generation by starting early to build collaborative culture and cadre.
 - The system should be built through the stages both top down and bottom up, for example, encouraging communities of practice.
- 4) ***The INSP system should be developed over a five- to seven-year period through a pathway of four evolutionary stages. PNSR is describing a vision of “change,” but the speed of accomplishment will depend on action at each stage.***
- The management Board will conduct studies and pilot programs at each stage to insure that decisions to proceed will be based on actual analysis and experience on how best to implement the new horizontal, collaborative organization.

Specific recommendations for each sequential stage are assembled in Appendix A.

6.3 NEXT STEPS

Recommended next steps are:

- The White House must lead the effort to strengthen the current program and begin to build the centralized components of the INSP system. The White House champion also must work with Congress to pass necessary legislation.
- The President should sign an executive order establishing an independent Board to manage the INSP system and nominate the first chief executive of the Board.
- Congress should confirm the chief executive immediately and pass legislation establishing the system, its management (the Board), and its budget within two years.



- The Office of Management and Budget (OMB) should issue guidance to departments and agencies to fund more training and education for their NSPs.
- The Board should be directed and funded to undertake a series of pilots to test the components of each of the stages of INSP system development along the pathway to a fully-integrated INSP system.
- The Board should review current interagency education and training efforts to determine curriculum content, requirements, and sequencing for integrated training and education of NSPs to achieve critical capabilities.
- The Interagency Policy Committee (IPC) on National Security Professionals should continue to elicit feedback on development of a system for NSPs and ensure that views of the participating organizations – as well as state, local, tribal – voices are heard on aspects of the new INSP system.
- Further study should be undertaken on implementing the INSP system to:
 - Recommend specific steps (each with responsibility assigned) to establish and pass through each sequential phase outlined in this study.
 - Prepare budget recommendations on structure and levels of funding.
 - Suggest how to include state and local personnel, taking into account nationally recognized guidelines.
 - Identify the NSP workforce required
 - Conduct further analysis to map in greater detail the patterns of work for NSPs to better determine their development requirements.
 - Identify existing national security functional communities practice, assess their status, and develop concepts for community involvement in NSP development including identifying capabilities, validating learning objectives, designing career paths, and maintaining professional standards.
 - Further study mission-critical competencies in interagency organizations to better understand the specific types of skills and experiences NSPs will need to work in these settings, and examine how these specific competencies differ across different models of coordination

Without individuals and systems able to produce integrated national security products and perspectives that are better aligned with the strategic environment, future national security failures are inevitable. Complex national security threats and opportunities that demand whole of government approaches are increasing. Our human capital must be prepared to meet the demands and requirements of this new national security environment. Just as we train and equip our military forces to conduct a broad range of joint military operations and write joint military doctrine, we as a nation must enact and invest strategically in an Integrated National Security Professional system in which we educate, train, and incentivize such approaches. The risks of not fully preparing those who bear the burdens of ensuring our national security are simply too great.





7. APPENDICES

7.1 APPENDIX A: RECOMMENDATIONS FOR SEQUENTIAL STAGES

Professional Development

Stage 1

- Since the basic leadership skills needed by NSPs are intrinsic in their agency training, the INSP program should develop a way to evaluate actual skill levels rather than just the training levels. One possible method could be peer evaluations of joint exercises.
- National security training is also, for the most part, agency-centric. The INSP system needs to include some centralized training, at the very least, a basic orientation program that all agencies could use or adapt for their own use (e.g. FEMA Emergency Management Orientation).
- Thought should be given to the Intelligence Community (IC) and DoD/DoS models of “community.” They share education, training, and rotation assignments. Websites have been designed for information sharing within given communities. NSPs could be designated in given communities and offered specific education/training for that community along with general knowledge of other communities.

Stage 2

- The Board, in consultation with the INSP system agencies and stakeholders, will develop a formal set of minimum standards, education, and experiences for use by INSP system departments and agencies and NSP employees.
- The Board, in consultation with the INSP system agencies and stakeholders, will develop the critical few qualitative and quantitative metrics that will be used to measure the success of the standards in assuring that the requirements for professional development are met.
- The Board will evaluate the success of these standards and metrics, and working with INSP system agencies and stakeholders, make any needed adjustments and modifications to either the standards or the evaluation metrics.

Stage 3

- The Board, in consultation with INSP system members and stakeholders, will develop a methodology for defining and designing the formal career development paths needed and available for various mission critical occupations within the INSP system.
- The Board, in consultation with INSP system members and stakeholders will develop the central system and will develop its protocols for deciding what education, training, and



professional development requirements are necessary based on the results of the career path development results.

- The Board, in consultation with INSP system members and stakeholders, will decide whether it is more cost effective to develop curriculum or whether provision of courses and other requirements can be met through working with existing agency education and training offering.

Stage 4

- The Board, in consultation with INSP system members and stakeholders will develop a professional development evaluation methodology that links the evaluation of both individual and organizational accomplishments in relation to agreed upon professional development goals and outcomes.
- The Board, in consultation with INSP system members and stakeholders, will periodically review the professional development policies and procedures to assure that they are still viable and accomplish the strategic objectives of the professional development requirements of the national security system.

Coordination

Stage 1

- Establish the Board detailed in Section 5.2 as the key body to effect coordination of the INSP system.
- Establish a clear definition of an “INSP rotation” (or types of rotations) and track all such occurrences.
- Develop a pilot program to track skills and experience/education/training of NSP corps to identify suitable candidates for rotations (as well as more enduring reassignments).
- Establish an inventory of all positions that become vacant in which an NSP might profitably serve; determine the desired duration of each rotation to that position.
- Adopt the template developed by OPM and encourage its use as a model for interagency agreements on rotational assignments.
- Analyze changes for needed expedited security clearances and reciprocity of clearances to facilitate rotations and interagency transfers.
- Improve management information systems, including creating INSP data fields in eOPF and departmental HRIS, coordinating HRIS through the NSPD Content Management Working Group, and using federal and departmental LMS to support training and education of NSPs.
- Identify and leverage existing, and create new, communities of practice among practitioners in the national security environment to complement interagency assignments and experience. A key way of leveraging these communities is through online tools such as social networking sites.

Stage 2

- Make rotational assignments a component of a formal agency-specific INSP developmental program.



- Empower the Board in charge of managing the INSP system to review all agency decisions to deny a clearance to an NSP who already holds a clearance from another agency.
- Provide a clear repository for data on the different rules and regulations of NSP civilians and military to create a one-stop database to enhance knowledge and familiarity. The database should also track the relevant skills of both civilian and military NSP members, including active and reserve personnel, to allow mission managers the opportunity to mix and match the best people.
- Provide leadership across the federal community to commission a study or develop a mechanism so that agencies can work together to develop a skills and competency director for their organization(s) that takes advantage of the work and learning already done by the Intelligence Community pursuant to ICD 610.
- Work with OPM and OMB to develop any standardized MOU instruments that can be accommodated given current agency-level disparities in resources and assignment/promotion policies.
- Resuscitate and develop an INSP system web portal.
- Implement an initiative to achieve commonality among departmental HRIS.

Stage 3

- Rotational assignments and other exchanges for NSPs should be embedded in a formal developmental program such as the SES Candidate Development Program or the Presidential Management Fellowship.
- Such rotational assignments should be a requirement for career progression.
- The INSP program should encourage participating agencies to use personnel floats as a source for backfilling to address the issue of vacant positions while employees are on assignments.
- Skills/capabilities directories should be developed by departments and agencies and be regularly updated and shared with the Board and OPM.
- Agencies should agree on the components of INSP-specific career tracks and make INSP-designated interagency assignments.
- Agencies should work with OPM and OMB to develop any standardized MOU instruments that can be accommodated, given existing agency-level disparities in resources and assignment/promotion policies.
- An NSP HRIS should be created that includes the following features:
 - Career development: training and education, career pathing, qualification
 - Personnel tracking: catalog of personnel information, including individual profiles on a social networking system
 - Workforce planning: able to view baseline information and established requirements and objectives
 - Intergovernmental data inputting capabilities
- Identify the funding for an INSP system HRIS with possible options being agency funding, OMB directed funding, or a direct appropriation.



Stage 4

- Mechanisms must be developed to monitor, evaluate, and report on the results achieved by various civil-military coordination arrangements within the INSP framework, to better capture lessons learned about which practices work best.
- OMB and OPM should issue directives to support sufficient agency expenditures to allow for personnel floats in INSP-designated positions. Congress should provide some additional resources for this purpose to the central management function by the Board.
- Congress should require that OPM, OMB, and the Board authority develop standardized MOU instruments for various INSP mission areas.
- Congress should amend the Intergovernmental Personnel Act (IPA) to better enable exchanges between the federal government and state/local/tribal/territorial entities.
- An NSP HRIS should be expanded to include data from private sector and NGOs.
- The INSP system website should be enhanced to include partners from the private sector, other governments, and international governmental organizations.

Incentives

Stage 1

- The recipient must be able to see a direct relationship between the behavior/performance and the incentive received.
- Incentives must be timely for maximum motivation.
- Incentives and the requirements associated with them must be publically known, bestowed, and acknowledged.
- The incentives program must have a stated set of objectives to be obtained, and must have an agreed upon set of qualitative and quantitative metrics developed to be used to evaluate results.
- The results of the program assessment against qualitative and quantitative program metrics must be periodically integrated so that the programs are continuously improved to reflect current and future needs.

Stage 2

- The Board should conduct a study to determine the specific impact of the different incentives on both organizational and individual performance within the INSP system.
- The Board, in collaboration with OMB should develop an annual review of NSP program effectiveness by department and agency in order to identify and share best practices. Those organizations identified as winners in this process should receive funding relief and an appropriate token to display similar to the “Hammer Awards.”
- The White House should host an annual awards dinner in honor of the recipients of several prestigious NSP awards. These prestigious awards should recognize an employee who has had exemplary performance in specific national security areas, particularly a leadership award for the individual who has excelled in promoting employee engagement.
- The INSP system should develop a qualification process for NSPs and provide a retention allowance for credentialed NSPs.



Stage 3

- Promotion or appointment to this new cadre of NSPs (special, exclusive membership)
- Different retirement arrangements
- Flexible work schedule
- Parity and equity in benefits and treatment of employees

Stage 4

- Competitive pay scale above General Schedule system
- Unsupervised time to develop ideas on a topic picked by employee from a National Security Issue List

Funding

Stage 1

- Ensure departments and agencies give the establishment of the INSP system due regard, legislative language may be necessary to emphasize the mission-dependency of a dedicated NSP program.
- Provide guidance in addition to, or absent legislative language, from the executive branch to stress the mission and importance of reprioritized funding through letters to the head of the departments and agencies.
- Establish a baseline of funding for the Board that will oversee and manage the INSP system.

Stage 2

- Have the newly created Board begin to help coordinate department and agency funding by asking for a budget line item dedicated to supporting NSP programs that would be presented as an integrated INSP budget submission to OMB. This line item when incorporated into annual budget planning and execution processes can serve as a barometer for agency support of the program.
- Create a yearly round-table for agencies to compare NSP program funding notes and best practices.

Stage 3

- Either increase department and agency funding for the development of the INSP system through appropriations and/or give the central management body an appropriate level of funding through appropriations.
- Have the Board ensure the appropriate level of agency funding by requiring a budget line item dedicated to supporting NSP programs. Make incorporation into annual programming and budgeting processes mandatory.
- Facilitate mandatory spending toward centralized INSP system initiatives through a revolving fund mechanism with funds controlled by the INSP Board. Seed money may be derived from agency contributions.



- Have the central management body conduct assessments of the INSP system funding effectiveness and readjust accordingly.

Stage 4

- Continue to assure funding for the Board that is in line with its policy and program management mandates.
- Perform a whole of government study once government realignment has taken place to match appropriate mission critical skills with funding requirements.
- Look for way to combine government funding resources with private monies in a coordinated manner to tackle mutual national security issues.

Inclusion of Military

Stage 1

- Accept the military's current joint program as meeting the intent of the Executive Order 13434 and is more than sufficient to meet the goals of stage 1. Hence, no changes are required in this stage.
- Make an expanded effort to encourage interagency assignments by increasing their number, providing for further ease of recognition of interagency work and by encouraging more of the military's best officers to participate in them.
- In keeping with the increased dependency of military operations on collaboration or integration with other departments, expand the curriculum devoted to interagency operations and provide additional means to codify an interagency body of knowledge for military-civilian interaction. This expansion of attention toward interagency matters could be done within existing joint doctrinal instruction and expanded to service based curricula.

Stage 2

- Accept the military's current joint program meets the intent of stage 2. Hence, no changes are required in this stage.
- Develop distinct coding and credit for interagency (intergovernmental, international or with private entities) joint service that can be tracked for follow-up utilization in future assignments.
- Expand exchange opportunities and provide incentives for top quality officer participation.
- Take formal steps to ensure individuals in joint assignments beyond intra-agency DoD service get equivalent or better promotion opportunities.

Stage 3

- Accept that the current military joint program provides the basis and example for stage 3 in how it handles intra-agency, interagency, international and other experiences.
- Consider aligning the civilian and military interagency training, education, and experiential requirements in similar programs with a robust approach to shared training and exchange of duty positions.

- Build on joint military organizations to have effective civil-military strategic and regional organizations. Prescribe doctrine that allows for more field interoperability, supporting interagency teaming that is initiated by empowered field leaders.
- Establish and promote a common interagency or integrated culture that unifies national security professionals across the full range of interagency activity.

Stage 4

- Integrating national strategic and regional organizations at the interagency level should necessitate an interagency-centric government rather than one that is agency-centric. This should be supported by mission-based budgets, and an interagency national security workforce that is qualified to do the hard tasks of integration, flatter, empowered leadership organizations, and the transition of agency roles from that of directing all missions to that of being force providers for integrated national security missions.
- Such a system would likely need some adjustment of the nation's government personnel systems to assure that participating individuals can be flexibly assigned and directed. It would also benefit from an enhanced ability for reassignment of funds and activities throughout the government to better fit tools to tasks.
- Such an approach opens up additional opportunities for effectiveness and efficiency, such as those that might be achieved from integration of the nation's federal health system, federal logistic system, intelligence system, and national security support agencies.

State and Local Inclusion

Stage 1

- Identify or create positions in the federal government and in the federal regions for state, local, tribal, territorial, private sector, to serve as rotational assignments as part of a strategic and systemic process that supports workforce community objectives.
- Assure that IPA rotational assignments maximize the mutual benefit and meaning of the exchange.
- Account for the need to vary length of time for a rotational assignment by state and local personnel and by geography.
- Begin IPA rotations at mid-level, GS-11/13 equivalent.
- Where Federal positions for state, local, tribal, and territorial personnel are identified as those based on "need to know," homeland security NSPs will be trained and cleared to the TS/SCI level. These identified non-federal TS/SCI NSPs will be trained in blocks of instruction that will give them a firm grounding in the IC and how it functions within established law, regulations, executive orders, and guidelines.
- Expand the state and local advisory committee to include appropriately cleared private sector and critical infrastructure/key resources community representatives.

Stage 2

- Amend the Homeland Security Act of 2002 to establish a mission essential program line for strategic human capital investment in each department/agency having national security missions or functions that are either primary, i.e., established by law, regulation,



executive orders and/or guidelines, or secondary/collateral to their primary functions.¹¹⁸ Each agency should have a program office, or officer, that implements the NSP program according to policy jointly developed by the ODNI, acting for the IC, and DHS/FEMA, acting for the homeland security community.

- The amendment must include a requirement that the strategic human capital investment program office, or officer, employ a homeland security NSP training, education and professional development Planning, Programs and Budget cycle that reflects and demonstrates resourcing of INSP system policy priorities.
- Identify or create regional INSP system positions in Federal regions to provide rotational assignment opportunities outside of federal headquarters.

Stage 3

- Shift focus from the department/agency level to the interagency level if the decision is made to centralize INSP strategic human capital investment programs. This would also apply to Stage 4.

Stage 4

- All of the comments and recommendations found in Stages 1-3 would apply to Stage 4.

Pilot Programs

- The management Board should conduct studies and pilot programs at each stage to insure that decisions to proceed will be based on actual analysis and experience on how best to implement the new horizontal, collaborative organization. Examples of potential studies and pilots are described in Section 5.3.3 and Appendix 7.8.3.

¹¹⁸ In the case of Federal law enforcement agencies, these components have well-established primary functions like drugs, guns, alcohol and smuggling enforcement. However, in the post 9/11 climate, they now are attuned to looking beyond their primary missions into secondary/collateral intelligence functions and determining any connection to national security matters including terrorism and the activities of hostile foreign services. Normally, such information—if identified—is provided to FBI Joint Terrorism Task Forces (JTTFs) for operational exploitation in an interagency setting of Federal, state, local and tribal representatives.



7.2 APPENDIX B: CURRENT EFFORTS

7.2.1 ADDITIONAL INFORMATION ON INFORMATION SYSTEMS

HRIS & EHRI

The departments and agencies first considered using a Human Resource Information System (HRIS) for managing and tracking NSPs in 2008, when they wrote their NSPD implementation plans. Although these plans were never formally approved, they provided the best starting point for assessing how HRIS could be used to support the NSPD program.¹¹⁹ The HRIS landscape in the national security arena was divided by large and isolated agency systems, in contrast to the rest of the federal government that had mostly consolidated HRIS under OPM and shared service centers (for basic operations like payroll) spread through a few departments.¹²⁰ The Department of State, the military and intelligence components of the Department of Defense, and large parts of the intelligence community operated on separate systems.

Enterprise Human Resource Integration (EHRI) is a central repository of career and human resource information on federal personnel hosted by OPM. EHRI is a system that aggregates human resource information collected from Official Personnel Folders (OPF) – files that document every official variable of a federal worker’s career – submitted by departments and agencies. The overarching purpose of Enterprise Human Resources Integration (EHRI) is to provide analysis and reports based on aggregated data of federal employees, not for focusing on specific initiatives like NSPD.¹²¹

A key initiative of EHRI was to digitize all OPFs to become Electronic Official Personnel Folders (eOPFs) to eliminate inefficiencies of paper records, to make it easier to access data, and to better prepare for continuity of operations. In the initial NSPD planning documents, the departments and agencies stated their intention to explore the possibility of using eOPFs for tracking NSPs. The Electronic Official Personnel Folder (eOPF) system could be used by creating a field for NSPs. The eOPF system contains official records, including pay and promotions. However, it would not offer the richness and context of the individual that would allow agencies to find detailed characteristics of NSPs. Overall, the departments and agencies made some progress with LMS and the NSPD website, but did not explore the use of OPM systems.

¹¹⁹ Using a HRIS for NSPD in most cases will require a “Requirements Identification and Validation” effort to ensure capability to track and manage NSPs.

¹²⁰ There are five shared service centers, consolidated transactional HRIS, that OPM was able to get the consensus on from much of the federal government: the National Finance Center in the Department of Agriculture, the Civilian Personnel Management Service in the Department of Defense, the National Business Center in the Department of the Interior, Health and Human Services, and the HR Connect in the Department of Treasury. Other agencies would pay these shared service centers. The impetus behind this initiative was to reduce the amount of work done on basic human resources in order to get departments and agencies more focused on strategic human capital issues. From agency interviews July-October 2010; Office of Personnel Management, *Migration Planning Guidance (MPG)*, <http://www.opm.gov/egov/documents/mpg/overview.asp>.

¹²¹ From agency interviews July-October 2010.



Under current policy of reporting requirements for major national security agencies where most of these departments would withhold critical data for tracking individuals, including the Department of State, the intelligence community, and the Department of Defense, EHRI would not be able to serve as the kind of management tool required to provide a strong spur to the NSP initiative.¹²²

DISCLOSURE OF PERSONNEL INFORMATION

As discussion of developing HRISs to manage NSPs has emerged, one major issue that has inhibited further strides has been reluctance by several departments and agencies, especially in the law enforcement and intelligence community, to disclose information about their NSPs (e.g. social security numbers, addresses).¹²³ Some of the personnel working in these departments and agencies may have covert backgrounds or have worked undercover. They have made enemies with or may be individuals of interest to criminals, enemies of the United States, and foreign intelligence agencies, and could be targeted if their personal information or records were leaked. In addition, there has been an expectation that the official records of NSPs should be private.

An HRIS that tracks NSPs may not be effective if records are withheld. At a minimum, an HRIS could track all NSPs under Title 5 through OPM systems, but this would leave out the law enforcement, intelligence, and diplomatic communities – all critical to national security. Administratively, those with access to an HRIS with official or classified records may require security clearances, in which case a large portion of users, especially partner organizations, may not be able to benefit. Or, a parallel system that does not rely on official records could be created in which the departments and agencies, or even the individuals, have control over the information. A social networking system, for example, could be used. However, this may make it difficult to integrate NSPD programs with official qualification or designation systems.

The Department of State's Office of the Coordinator for Reconstruction and Stabilization (S/CRS) had to address this issue in cataloging individuals for its Civilian Response Corps, but was able to address it easily through legal justification.¹²⁴ Another example is Employee Personnel Plus (EP+) in the Department of State.¹²⁵ The approach taken by the Department of State was to make participation in the catalog voluntary. Eventually, it became the norm for State Department personnel to provide information to the catalog. In a 2005 Strategic Management Update of Human Capital by OPM, the report stated, "The EP+ system was deployed for the first time in response to the South Asian tsunami. Within minutes, the State Department was able to identify every employee who had served in the area, by country, by language, by competency. The State Department was able to immediately produce a roster of potential responders broken down several ways, including linking languages, competencies, and regional experience."¹²⁶

¹²² From agency interviews July-October 2010;

¹²³ From agency interviews July-October 2010.

¹²⁴ From agency interviews July-October 2010.

¹²⁵ From agency interviews July-October 2010.

¹²⁶ Office of Personnel Management, *Strategic Management of Human Capital Second Quarter FY 2005 Update*, 25 April 2005, <http://apps.opm.gov/humancapital/stories/2005/Quarter2.cfm>.



USING HRIS FOR NSPD

To date, interagency discussion about HRIS support of the NSPD program has been minimal and disconnected, largely due to the broader strategic pause and the centralization of the initiative around the departments and agencies. At this point, the main challenge of using an HRIS to track and manage NSPs across agencies is finding a viable starting point. HRISs should support the NSPD program only where it adds value.

HRISs can be used for the full range of human resource programs – transactional activities such as payroll, employee status changes, and benefits; traditional activities such as planning, recruiting, selection, training, and performance management; and transformational activities such as cultural change, restructuring, and innovation.¹²⁷ In addition, HRISs can serve various users: managers, analysts, technicians, clerical employees, employee self-service, job seekers, and partner organizations.¹²⁸ Overall, HRISs should support human resource activities to make them more efficient.

IMPACT OF THE PRESIDENTIAL TRANSITION

The most significant event to occur in the area of HRIS for the NSPD program was the loss of funding for the NSPD website at the end of FY2009, although courses remain on the FEMA learning website and Joint Knowledge Online. The story of this reversal and its aftermath is instructive of the HRIS challenges faced by the NSPD program: the sensitivity of the departments and agencies, the difficulties of funding, the small offices spread across the government advancing the NSPD program with only tenuous support, and the important role of the Executive Office of the President.

The NSPD website and Go Learn courses were created during the Bush Administration.¹²⁹ They were hosted and funded by OPM. OMB exercised oversight over the program management. The Naval Postgraduate School (NPS) created the orientation course for NSPs to take through Go Learn. This arrangement created early difficulties for the NSPD program. It set up dependency on OPM and OMB. The program was run on a tight schedule overseen by the Deputy Director of OMB for Management. The orientation course was rushed. As a result, though the orientation course was completed, many have bemoaned the quality of the orientation course.¹³⁰

As the new administration arrived, the NSPD program took a “strategic pause” in the absence of guidance. During this pause, OPM and OMB, having come under budget constraints, decided not to fund the NSPD website and Go Learn courses in the FY2010 budget. OPM had offered to match OMB on funding NSPD online programs, but OMB declined. No agency offered to provide funding for the website. In addition, meetings between departments and agencies on the website ended after January 2009.¹³¹

¹²⁷ Michael J. Kavanagh and Mohan Thite, *Human Resource Information Systems: Basics, Applications, and Future Directions* (Los Angeles, CA: Sage, 2009) 11-12.

¹²⁸ Michael J. Kavanagh and Mohan Thite, *Human Resource Information Systems: Basics, Applications, and Future Directions* (Los Angeles, CA: Sage, 2009) 48.

¹²⁹ From agency interviews July-October 2010.

¹³⁰ From agency interviews July-October 2010.

¹³¹ From agency interviews July-October 2010.



NSPD-IO had to find partners willing to continue the NSPD program's web presence. An office of two people in the Department of Education volunteered to host the website on its internal internet, as it took up little space. Departments and agencies kept the courses they developed for their own Learning Management System (LMS). Additionally, NSPD-IO was also able to partner with the College of International Security Affairs at the National Defense University to create a new orientation, which is still in development. Only in recent months has NSPD-IO been able to find a host for the website.¹³²

In the meantime, without any cues from the administration on the NSPD program, the departments and agencies did not make the efforts described in the NSPD implementation plans to examine the feasibility of using OPM systems for tracking and managing NSPs. Some departments and agencies had adapted their internal systems to track their own NSPs, but no one had the ability to look across government.

FINDING A STARTING POINT

The NSPD program sits in a landscape of systems spread across the government, with a new NSPD website that may be hosted by the Department of Energy, Title 5 personnel files in OPM, departments and agencies hosting their own set of courses, and separate personnel catalogs in the intelligence community and Department of State. This raises the question of whether the NSPD program should work toward consolidation, in order to streamline and simplify systems, or if that is too cumbersome given that many systems are deeply rooted in departmental activities on a much larger scale than the NSPD program can handle.

Finding: Regardless, as the NSPD program becomes realized reality, systems will have to evolve with it. Rather than evolving by slowly standardizing and merging systems, the NSPD program could take the lead by creating an independent set of systems. For example, it could create a social networking feature on its website. Department and agency systems would gradually catch up to the NSPD program, coordinating and combining their systems at a more deliberate pace.

Finding: Unless there is imminent legislation, funding, or energetic involvement by the administration in the NSPD program, the current state of affairs points to using a minimum set of systems: the NSPD website, and departmental and agency Learning Management System (LMS), relying on agencies to provide personnel information in response to issues like a natural disaster or an emerging terrorist threat. One small step that can be taken is to create NSP fields in the eOPF system. Later, the NSPD program could attempt to integrate catalog systems across agencies, beginning with developing commonality between the Intelligence Community Capabilities Catalogue (IC3) and the intelligence community's Personnel Data Repository (PDR) with EP+. Consideration should be given to using the Department of Homeland Security Lessons Learned and Information Sharing Portal (www.llis.gov) to mitigate the diversion of information and lessons learned.

¹³² From agency interviews July-October 2010.



However, as the NSPD program gains significant momentum, systems must do more to bring greater results. The NSPD program could work toward combining some systems, as the initiative would draw from many similar systems spread across the federal government with similar functions. To move toward combining systems, the NSPD program could group its systems around communities of practice. With personnel catalogues, for example, diplomacy and development would have a central catalog in EP+, the intelligence community in IC3 and PDR, and Title 5 departments and agencies in eOPF. Then the departments and agencies could work toward achieving commonality between these catalogs and eventually have them merge. Another example could be that the NSPD program develops a common approach to LMS courses in different communities of practice. The NSPD program could gradually work toward consolidating courses in a single system. This approach would subject departments and agencies to implement policy at a deep level as these systems are connected to official records and are used for official personnel actions. However, this would likely be an unwieldy effort, taking many years as numerous officials across the federal government debate rather esoteric and deep technical questions.

Finding: One promising approach may be for the NSPD program to create independent systems that are not beholden to departmental boundaries. These systems would provide a boundary-less space for people to find their place in the national security system, rather than being limited by institutional stovepipes. These systems would emphasize bottom-up and “pull” approaches through the use of social networking, collaborative environments, web 2.0, etc. Top officials (from whom NSPs take their cues) would have to use such systems in order to bring greater participation to and encourage activity on these systems. Catalogs, training, education, and career development, and workforce planning could all be added as well, provided the systems were equipped with the proper features and analytic tools. However, the ability for such systems, given their independence, to drive official departmental policies regarding NSPs would be shallow, as it would be difficult to integrate such systems with department and agency official personnel actions. Compared to the unwieldy task of standardizing or merging systems across departments, this independent systems and “pull” approach would be relatively smooth. By providing a space for a strong national security community to flourish, this approach could help generate conducive environments in the departments and agencies for the NSPD program. By generating bottom-up support, the NSPD program will be in a better position to affect broader policy changes.

NSPD WEBSITE

Currently, there is no NSPD website. However, a new website is in development, which will be hosted by the Emergency Operations Training Academy of the Department of Energy’s National Nuclear Security Administration.¹³³ The new website will act as a portal to department and agency NSP programs. For example, the website will link to courses hosted by department and agency Learning Management Systems. It will also be a regularly updated resource.

As the INSP system gains momentum, the NSPD website may require more features to support emerging needs. This could include the addition of Human Resource Information System (HRIS) functions, such as tracking and cataloging; training, education, and career development; as well

¹³³ From agency interviews July-October 2010.



as workforce planning and change management tools. The website could include social networking for NSPs, so they can have their profiles for presenting their backgrounds, skills, and interests, and to exchange ideas. As a portal to other department and agency websites, the NSPD website would begin as a setting for training, education, and career development. As it evolves, it could keep track of completion of these programs, and allow individuals to rate them as well. Like the Chief Information Officer Council's Information Technology (IT) Roadmap Career Planning Tool, it could present career options, paths, and development opportunities for NSPs.¹³⁴ Like the Project Announcement Visibility Effort, used by NASA and the Environmental Protection Agency, a bulletin could be created to post opportunities for NSPs to occupy interagency assignments.¹³⁵ Finally, the website could host collaboration spaces for NSPs to develop plans for the NSPD program. However, if the website were to include these features, it may have to be moved to another host that could support a larger online effort.

SOCIAL NETWORKING BARRIERS AND PITFALLS

While social networking sites can have a transformative effect on organizational culture, like all culture change, it faces barriers and pitfalls. Stakeholders' major concerns include data security, inappropriate behavior, time wasting, and dissent.¹³⁶ Despite the challenges that the federal government faces with these emerging technologies, some agencies are finding ways to overcome these challenges.¹³⁷

- **Data security:** Stakeholders may be concerned about the leaking of private or classified information. This can be addressed by installing the required security features in the system, and by allowing managers and users to control information disclosure settings.
- **Inappropriate behavior:** Experience in the private sector has shown that social networking sites have no detrimental effect on the ethical behavior on employees. In some ways, social networking has brought more transparency, which has improved ethical behavior. "Starbucks Corporation reports that in the more than two years after launching their site... they have experienced only three instances of inappropriate use within a 160,000 person community – and these were the result of poor employee judgment, not nefarious motives."¹³⁸ Compared to behavior found in e-mails and press leaks, content on social networking sites has been benign.

¹³⁴ See: *IT Roadmap Initiative*, USA Learning, accessed October 2010

<http://itroadmap.usalearning.gov/doc/AboutUs.aspx>.

¹³⁵ United States, Office of Personnel Management, *Strategic Management of Human Capital Second Quarter FY 2005 Update* (25 April 2005) accessed October 2010 <http://apps.opm.gov/humancapital/stories/2005/Quarter2.cfm>. Also see: <https://smith.hq.nasa.gov/pave/login.cfm> and <http://www.hq.nasa.gov/office/codec/cc/Pages/pave.htm>.

¹³⁶ Evan Metter, Vlad Gyster and Rob Lamson, "Enterprise 2.0 and HR: Realizing the Potential," *IHRIM Journal* Vol. XII, No 5, 2008, accessed October 2010 http://www.towersperrin.com/tp/getwebcachedoc?country=usa&webc=USA/2009/200901/IHJour_XII_No5_p03_08.pdf.

¹³⁷ Henry Kenyon, "Government waking up to social media, survey finds," *Government Computer News* 24 September 2010, accessed October 2010 <http://gcn.com/Articles/2010/09/24/Study-Outlines-Government-Social-Media-Use.aspx?Page=3>.

¹³⁸ Evan Metter, Vlad Gyster and Rob Lamson, "Enterprise 2.0 and HR: Realizing the Potential," *IHRIM Journal* Vol. XII, No 5, 2008, accessed October 2010 http://www.towersperrin.com/tp/getwebcachedoc?country=usa&webc=USA/2009/200901/IHJour_XII_No5_p03_08.pdf.

- **Time wasting:** The responsibility lies on managers to ensure their employees are not wasting time, whether it is on a company social networking site or on the internet in general. A company social networking site would at least provide the employee with a channel to browse work-related information.
- **Dissent:** While managers may be concerned with dissent fomenting on a social networking site, contemporary organizations view this as a source of strength that presents opportunities for management to keep its eyes open to pitfalls in business strategy and allows it to engage its employees through important discussions about contentious issues.

CENTRALIZED VS. FEDERALIZED HRIS

The NSPD program could choose a centralized or federalized approach. A centralized approach would ensure integrated management of NSPs across departments and agencies, while a federalized approach would allow departments and agencies to adapt their Human Resource Information Systems (HRIS) to the NSPD program in their own way. The ODNI Intelligence Community Capabilities Catalog (IC3) and Intelligence Community Personnel Data Repository (PDR), and the Chief Information Officer (CIO) Council's IT Planning Roadmap offer examples of a federated and centralized model respectively to develop an HRIS for the NSPD program.

ODNI took a federated approach to its initiatives. In its early years, ODNI created the Analytic Resource Catalog (ACR), now known as the IC3. IC3 provided profiles of intelligence analysts from across the intelligence community indicating their skills, areas of expertise, languages, and other capabilities, which were entered by the analysts in a database so they could be called on if their capabilities were ever needed.¹³⁹ ODNI also created the PDR, a database that extracted human resource information from agency HRISs. These initiatives included an evaluation of possible future contingencies from which ODNI could establish where gaps existed between the current baseline of analysts and requirements for the future. The HRIS could support ODNI in bringing the workforce to the requirements identified.

It was difficult to have all the intelligence agencies turn everything over to one central HRIS. Some agencies used different versions of the same software, while others used different software, which was often dated. ODNI first prodded the agencies with similar software to upgrade to the same version, and then urged the other agencies to switch their legacy HRIS. Then ODNI worked to achieve commonality to build IC3.¹⁴⁰ Now six of the largest intelligence agencies have started an initiative to deploy a single common HRIS platform.¹⁴¹ However, there may still have been many issues going forward as the intelligence agencies are wary of ODNI and as Directors of National Intelligence have “come and gone” making slight impacts.¹⁴²

¹³⁹ United States, Office of the Director of National Intelligence, *Intelligence Community Directive Number 610, Competency Directories for the Intelligence Community Workforce* (1 September 2008) accessed October 2010 <http://www.fas.org/irp/dni/icd/icd-610.pdf>.

¹⁴⁰ From agency interviews July-October 2010.

¹⁴¹ United States, Office of the Director of National Intelligence, *The US Intelligence Community and the President's National Security Professional Development Initiative Implementation Plan* (October 2008).

¹⁴² From agency interviews July-October 2010.



A centralized example, the CIO Council has a career development HRIS called the IT Roadmap Planning Tool. This HRIS is hosted by OPM and is paid for by participating agencies. It is an online career development HRIS in which any federal IT personnel can view their career path options and work to where they want to go. The CIO Council is chaired by OMB, which used its role in the budget process as well as its proximity to the President to compel agencies to agree to the initiative.¹⁴³

ODNI and the CIO Council offer models for HRIS to support the NSPD program. These examples offer a federated and centralized approach, showing how each could be implemented. The ODNI example addresses issues of workforce planning and integrating information across divided departments and agencies. The CIO Council example gives one of the closest examples of an HRIS in the government focused on career development for personnel in multiple departments and agencies, as well as a possible way to fund an HRIS. However, if the CIO Council example were to be adapted to NSPs, close attention would have to be paid to communities of practice in order to make the CIO Council example work for the kinds of users anticipated for NSPs – in fields such as reconstruction and stabilization, cybersecurity, weapons of mass destruction, and energy security.

7.2.2 ADDITIONAL INFORMATION ON INCENTIVES

Incentives come in different forms, with various levels of effectiveness. In formulating incentives for NSPs, organizational, branding, and cultural issues all have to be considered.

FEDERAL GOVERNMENT INCENTIVES

Federal agencies have used a variety of incentives. OPM compiles incentive use and the most recent data is shown in the figure below.

¹⁴³ From agency interviews July-October 2010.

**Figure 15: Federal Use of Incentives for FY 2008¹⁴⁴**

INDIVIDUAL CASH - RATING BASED	
Total Number of Awards	886,539
Total \$ Paid	\$1,087,286,248
Spending as % of Total Salaries	0.87%
Rate/100 Employees	47.9
Average Award Amount	\$1,226

INDIVIDUAL CASH - NOT RATING BASED	
Total Number of Awards	447,059
Total \$ Paid	\$356,451,645
Spending as % of Total Salaries	0.29%
Rate/100 Employees	24.2
Average Award Amount	\$797

INDIVIDUAL TIME-OFF	
Total Number of Awards	291,130
Number of Hours Awarded	4,936,270
Rate/100 Employees	15.7
Average Hours	17.0

GROUP TIME-OFF	
Total Number of Awards	72,379
Number of Hours Awarded	664,089
Rate/100 Employees	3.9
Average Hours	9.2

INDIVIDUAL SUGGESTION/INVENTION	
Total Number of Awards	3,713
Total \$ Paid	\$1,803,088
Spending as % of Total Salaries	<0.01%
Rate/100 Employees	0.2
Average Award Amount	\$486

GROUP SUGGESTION/INVENTION	
Total Number of Awards	691
Total \$ Paid	\$274,341
Spending as % of Total Salaries	<0.01%
Rate/100 Employees	<0.1
Average Award Amount	\$397

GROUP CASH	
Total Number of Awards	168,358
Total \$ Paid	\$102,491,626
Spending as % of Total Salaries	0.08%
Rate/100 Employees	9.1
Average Award Amount	\$609

QUALITY STEP INCREASES	
Total Number of Awards	43,195
Rate/100 Employees	3.6

FOREIGN LANGUAGE	
Total Number of Awards	1,149
Total \$ Paid	\$3,177,356
Spending as % of Total Salaries	<0.01%
Rate/100 Employees	0.1
Average Award Amount	\$2,765

REFERRAL BONUSES	
Total Number of Awards	1,679
Total \$ Paid	\$895,774
Spending as % of Total Salaries	<0.01%
Rate/100 Employees	0.1
Average Award Amount	\$534

TRAVEL SAVINGS INCENTIVES	
Total Number of Awards	1,433
Total \$ Paid	\$1,016,967
Spending as % of Total Salaries	<0.01%
Rate/100 Employees	0.1
Average Award Amount	\$710

¹⁴⁴ United States, Office of Personnel Management, *Federal Awards Statistics for Fiscal Year 2008* (2008): 2.



FEDERAL INCENTIVES AND HR MECHANISMS USED AS INCENTIVES

Figure 16: Federal Incentives and HR Mechanisms

Incentives/HR Mechanism	Description
AWARDS:	
Cash Award-Rating Based	Rating based awards recognize the performance of individual employees, based on a rating of record of fully successful or higher. ¹⁴⁵
Cash Award-Not Rating Based	Given to individuals who have made contributions that exceeded normal job requirements or who have performed a special act or service in the public interest ¹⁴⁶
Individual & Group Time-Off Awards	Recognizes individual or group achievement with time off from work without loss of pay or charge to leave. Recognizes same types of achievement as cash awards. ¹⁴⁷
Individual & Group Suggestion/Invention Awards	Recognizes suggestion or invention by an individual or group that is adopted by an agency that improves operations and services to the public and contribute directly to the economy or efficiency of Government operations. ¹⁴⁸
Group Cash Award	Recognizes specific accomplishments by groups of employees who have exceeded normal job requirements. These awards are based on group contributions that do not represent suggestions or inventions. ¹⁴⁹
Quality Step Increases	Recognizes exceptional sustained performance by general Schedule employees with an additional within-grade salary increase (about 3% of basic pay.) A QSI increases the employee's rate of basic pay permanently. To be eligible, an employee must receive an Outstanding rating of record, or the highest rating level available within the agency system. ¹⁵⁰
Foreign Language	Awards recognize certain law enforcement officers whose job responsibilities involve a substantial use of foreign language skills on the job. These awards are authorized only for law enforcement officers as defined by statute. ¹⁵¹
Referral Bonus	Recognizes employees who help an agency recruit new talent by referring someone for an advertised vacancy. These awards are paid after the referred applicant is hired by the agency and performs successfully in the job. ¹⁵²
Honorary awards	Provides a recognition item to recognize an individual or group

¹⁴⁵ United States, Office of Personnel Management, *Federal Awards Statistics for Fiscal Year 2008* (2008): 14.

¹⁴⁶ United States, Office of Personnel Management, *Federal Awards Statistics for Fiscal Year 2008* (2008): 14.

¹⁴⁷ United States, Office of Personnel Management, *Federal Awards Statistics for Fiscal Year 2008* (2008): 14.

¹⁴⁸ United States, Office of Personnel Management, *Federal Awards Statistics for Fiscal Year 2008* (2008): 14.

¹⁴⁹ United States, Office of Personnel Management, *Federal Awards Statistics for Fiscal Year 2008* (2008): 14.

¹⁵⁰ United States, Office of Personnel Management, *Federal Awards Statistics for Fiscal Year 2008* (2008): 14.

¹⁵¹ United States, Office of Personnel Management, *Federal Awards Statistics for Fiscal Year 2008* (2008): 14.

¹⁵² United States, Office of Personnel Management, *Federal Awards Statistics for Fiscal Year 2008* (2008): 14.



Incentives/HR Mechanism	Description
	performance or contribution. Recognition items often take the form of a plaque or certificate.
Special Pay:	
Holiday Pay	Holiday premium pay is equal to an employee's rate of basic pay. Employees who are required to work on a holiday receive their rate of basic pay, plus holiday premium pay, for each hour of holiday work.
Overtime/Compensatory Time-Off	Generally, premium pay or time off for hours worked over 8 hours a day or 40 hours a week depending on employee coverage under Title V, FLSA, etc.
Sunday Pay	25% of basic pay including locality pay
Standby Pay	An agency may pay standby duty pay, instead of the premium pay for regularly scheduled overtime, night, holiday, and Sunday work, to an employee in a position requiring him or her regularly to remain at, or within the confines of, his or her station longer than 40 hours per week, a substantial part of which consists of remaining in a standby status rather than performing work. Standby duty pay can be up to 25 percent of the employee's rate of basic pay that does not exceed the rate of pay for GS-10, step 1 (including any applicable locality pay). ¹⁵³
Hardship Pay	Differential varies by post, Afghanistan and Iraq are currently at 35%
Hazardous Duty Pay	Hazardous duty pay is additional pay for the performance of hazardous duty or duty involving physical hardship.
Locality Pay	As a general rule, federal employees' pay consists of two primary parts – "base pay" and "locality pay." While base pay is the same for each grade and step across the country, locality pay varies by geographic location. ¹⁵⁴
Law enforcement availability pay	Availability pay is a type of premium pay that is paid to Federal law enforcement officers who are criminal investigators. Availability pay is generally an entitlement that an agency must provide if the required conditions are met, and is 25% of base pay. ¹⁵⁵
FSO Language Incentive pay	Based on certain language designated positions in the Foreign Service a FSO may receive additional pay based on language capability/proficiency.
Various Military incentive pay for location,	Military services have a variety of special/ incentive pay authorities to encourage members to enlist, reenlist, accept

¹⁵³ 2010 Federal Benefits Handbook (Kansas City, MO: Federal Handbooks, 2010): 22, accessed October 2010 <http://www.federalhandbooks.com/fedbooks/Personnel.pdf>.

¹⁵⁴ 2010 Federal Benefits Handbook (Kansas City, MO: Federal Handbooks, 2010): 22, accessed October 2010 <http://www.federalhandbooks.com/fedbooks/Personnel.pdf>.

¹⁵⁵ 2010 Federal Benefits Handbook (Kansas City, MO: Federal Handbooks, 2010): 22, accessed October 2010 <http://www.federalhandbooks.com/fedbooks/Personnel.pdf>.



Incentives/HR Mechanism	Description
duty assignment, skills, enlistment, or reenlistment.	assignments, enter certain career fields, and acquire additional skill sets.
HR Mechanisms	
Education/professional development	Training, conferences, courses, mentoring, coaching and on-the-job experiences that enhances employee's skills that are provided or sponsored by agency.
Student loan repayment	In certain critical occupations agencies assist employees in repaying student loans.
Recruitment/retention allowances	Allowances paid to new employees for joining and to current employees for staying.
Employee engagement and passion for mission	Engagement refers to a high level of motivation to perform well at work combined with passion for the work. ¹⁵⁶
Effective leadership	Working with strong and respected leaders in the workplace.
Flexible work schedule & workplace.	Allows employee some ability to determine all or portion of their work schedule and workplace.
Performance Evaluation	System that recognizes and distinguishes employee levels of performance.
Special Retirement System	Certain services, for example military, law enforcement, have special, more attractive retirement systems.
Career ladder promotion/Promotion potential	Encourages employees to perform well in order to receive career ladder promotion.
Special certification	A program that requires certain academic/experiential exercises that lead to a certification of expertise that is accepted by an appropriate community of practice.
Special membership	Membership in an elite corps such SES, SFS, SIS or special forces.
Special privileges/preferences	The granting of exceptions to normal agency policies in return for serving on special assignments.
R&R and Home leave	Additional leave granted for service overseas.
Housing	Housing or subsidy provided by agency.
Reemployment rights	Guaranteed return to an equivalent position after qualifying service such as military or limited foreign service position.

PROMOTION AND PARITY OF INCENTIVES INCLUDING CAREER PROGRESSION

The national security shared capabilities map to SES fundamental competencies and thereby are incorporated in promotion criteria in agencies, as such.

¹⁵⁶ U.S. Merit Systems Protection Board, *Managing for Engagement, Communication, Connection and Courage* July 2009: 2, accessed October 2010 http://www.doi.gov/hrm/MSPB_Response.pdf.

Figure 17: Shared Capabilities and SES Fundamental Competencies¹⁵⁷

Shared Capabilities	Skills/Capabilities	SES Fundamental Competencies	
Strategic Thinking	<ul style="list-style-type: none"> • National security strategy understanding • Envision future states • Strategic planning skills 	Strategic Thinking Entrepreneurship	ECQ1 ECQ3
Critical and Creative Thinking	<ul style="list-style-type: none"> • Research and analytical skills • Ability to assess and challenge assumptions • Ability to offer creative solutions 	Creativity & Innovation Decisiveness Problem solving	ECQ1 ECQ3 ECQ3
Leading and Working with Interagency Teams	<ul style="list-style-type: none"> • Inspire unity of purpose and confidence of team • Effectively direct others' skills and knowledge • Mentoring/developing staff • Problem solving as a team • Conflict resolution 	Vision Conflict Management Developing Others Team Building	ECQ1 ECQ2 ECQ2 ECQ2
Collaborating	<ul style="list-style-type: none"> • Networking skills • Promote collaborative environment • Knowledge management and sharing 	Partnering	ECQ5
Planning, Managing and Conducting Interagency Operations	<ul style="list-style-type: none"> • Strategic planning skills • Program management • Budget skills • Performance management • Political savvy • Policy development 	Financial Management HC Management	ECQ4 EC!4
Maintaining Global and Cultural Acuity	<ul style="list-style-type: none"> • Foreign culture understanding • Foreign language proficiency • National security understanding • Familiarity with other agency structures, processes and cultures • Global/regional/country trends 	External awareness Political Savvy	ECQ1 ECQ5
Mediating and Negotiating	<ul style="list-style-type: none"> • Dispute resolution • Negotiation techniques 	Influencing/Negotiating	ECQ5

¹⁵⁷ PNSR analysis of Shared Capabilities and SES Fundamental Competencies.



Shared Capabilities	Skills/Capabilities	SES Fundamental Competencies	
Communicating	<ul style="list-style-type: none"> • Written and verbal skills • Managing diverse groups • Active listening • Understanding audiences 	Leveraging Diversity	ECQ2

Only a few agencies have specified additional NSP training or professional development opportunities as criteria for promotion.

Since the NSPD program to date is agency-centric, each agency controls the incentives and career progression of their employees. The current MOU's are usually written to maintain this status quo. The Intelligence Community and DoD have worked together in various ways including educational opportunities and rotational assignments, to allow employees from both organizations to use those experiences to progress their careers.

In order to create parity across all agencies for both incentives and career progression, additional authority is needed in the form of a directive or executive order. The authority could reside with OPM or a central NSPD entity depending on the NSP model chosen.

ORGANIZATIONAL INCENTIVES

Well before the launch of the NSPD program, DoD, based on lessons learned from recent operational experiences, had begun exploring ways to expand interagency education and training. The 2006 *Quadrennial Defense Review* (QDR) Report, borrowing terminology from the 1947 Gerow study (see above), called for the transformation of the National Defense University (NDU), located at Ft. McNair in Washington, D.C., into a “true National Security University.” As the QDR Report described it: “... this new institution will be tailored to support the educational needs of the broader U.S. national security profession. Participation from interagency partners will be increased and the curriculum will be reshaped in ways that are consistent with a unified U.S. government approach to national security missions, and greater interagency participation will be encouraged.”¹⁵⁸ This thinking encouraged the use of an independent, already established agency to relieve organizational administrative barriers and therefore support greater interagency participation.

Congress may wish to consider what resources would be required to support any new or updated interagency cadre program. The current NSPD program has been supported, to date, “out of hide” — that is, through agency pre-prioritization, without any additional funding. Additional resources could conceivably be required to support new or expanded education and training programs, including faculty and staff, facilities, curriculum-development, and/or tuition at non-government institutions. Resources could also be required to support a centralized “integration function” secretariat that coordinates and integrates program efforts. The single greatest cost could be the funding required to create a personnel “float” in civilian agencies, to backfill positions while personnel participate in education programs, training, or rotational tours in other

¹⁵⁸ United States, Department of Defense, *Quadrennial Defense Review Report* (6 February 2006) 79.



agencies. Many observers have suggested that without such a float, the ability of civilian agencies to participate in an interagency cadre program would be quite limited.¹⁵⁹

LEADERSHIP AND EMPLOYEE ENGAGEMENT

Strong leadership combined with effective communication skills regarding vision, mission, and actions are strong organizational incentives that drive organizations in desired directions. The hallmark of successful achievement of any initiative is the support and guidance of committed leaders complimented by engaged employees.

Research by the Merit Systems Protection Board (MSPB) indicates that employee engagement is higher in agencies in which senior leaders build trust with employees by aligning their words and actions, communicating openly and frequently with employees, and treating employees as valued business partners. Supervisors in high engagement agencies define clear performance expectations, develop strong working relationships with employees, provide employees with useful feedback, and recognize their contributions. In short, the effort leaders invest in managing their workforce pays off in substantially higher levels of employee engagement and performance.¹⁶⁰

The comparisons in MSPB's report *Managing for Engagement* of agencies with the highest and lowest percentages of engaged employees show that leaders in the four high-engagement agencies do a much better job of communicating and connecting with their nonsupervisory employees. In turn, employees in the high-engagement agencies reported much higher levels of respect and trust in their leaders than did employees in the low-engagement agencies.¹⁶¹

Research by Gallup and others shows that employee engagement is a leading indicator of performance. Engaged employees are more productive, customer-focused, safer and more likely to withstand temptations to leave. Gallup identified twelve core elements that link employee engagement to organizational outcomes.

- I know what is expected of me at work.
- I have the materials and equipment I need to do my work right.
- At work, I have the opportunity to do what I do best every day.
- In the last seven days, I have received recognition or praise for doing good work.
- My supervisor, or someone at work, seems to care about me as a person.
- There is someone at work who encourages my development.
- At work, my opinions seem to count.
- The mission or purpose of my organization makes me feel my job is important.
- My associates or fellow employees are committed to doing quality work.
- I have a best friend at work.

¹⁵⁹ Catherine Dale, *Building an Interagency Cadre of National Security Professionals: Proposals, Recent Experience, and Issues for Congress* (Order Code RL34565) Congressional Research Service (8 July 2008) accessed October 2010 <http://www.fas.org/sgp/crs/natsec/RL34565.pdf>.

¹⁶⁰ U.S. Merit Systems Protection Board, *Managing for Engagement, Communication, Connection and Courage* July 2009, accessed October 2010 http://www.doi.gov/hrm/MSPB_Response.pdf.

¹⁶¹ U.S. Merit Systems Protection Board, *Managing for Engagement, Communication, Connection and Courage* July 2009, accessed October 2010 http://www.doi.gov/hrm/MSPB_Response.pdf.



- In the last six months, someone at work has talked to me about my progress.
- This last year, I have had opportunities at work to learn and grow.

By benchmarking these twelve indicators, an organization can significantly improve their productivity.

All of these studies provide insights into what motivates employees. Although money rewards in the form of fair compensation is important, intrinsic rewards satisfy the emotional drivers and can be very powerful. On analysis, a few consistent trends emerge.

- A sense of belonging (tribalism) plays an important role in motivation.
- Employees pay attention to what their colleagues are doing
- Employees want to contribute ideas and have their opinions heard.
- Employees want to feel that their work contributes to the organization

Fairness in processes and rewards is important.

LEGAL, REGULATORY, PRACTICAL OR CULTURAL ISSUES

The current legal and regulatory authorities delegate agency heads a great deal of authority in developing awards programs for their agency. These same delegations can be used to create a variety of financial and non-financial NSP awards. In addition to agency awards one or more awards could be created that would be awarded through a process similar to the Senior Executive Service Presidential Rank Award process. An interagency group (e.g. IPC) could establish the award criteria and OPM or another agency could administer the nomination and selection process. The selection process could utilize senior national security subject matter experts to serve on a “blue ribbon” selection panel. These “National Awards” could be used to recognize federal, military, state, local, and private sector NSPs. The awards could be honorary if there is insufficient funding for financial recognition.

Individual agency “cultures” regarding the use of awards and incentives create inconsistencies in application in the current decentralized award system. In addition, NSP employees in agencies that do not have a national security component in their home agency mission may not do as well as their counterparts from national security agencies. A “National Award” program would mitigate this issue to a degree.

Finally, the quality in leadership is a critical factor in how well an agency will implement a NSP Incentive System. The staff’s research indicates intrinsic incentives that promote employee engagement are likely to have the greatest impact on a NSP workforce. An agency with strong leadership that promote employee involvement, communicates performance expectations, discusses organizational mission and vision, recognizes and distinguishes levels of employee performance will be the most successful.

BRANDING

Branding is typically thought of as a marketing strategy confined to products but it can also be used to bring communities together for other reasons. Patrick Dixon, chairman of Global Change, a trends analysis company and author of Building a Better Business suggests that

successful brands create tribes and all successful companies nurture them [...] Tribal leadership is [...] able to move an entire organization in the same direction, which is very different from merely running a team.

Moving an organization in the same direction is a feat to which all organizations aspire. Peter Fisk, in his book *Marketing Genius*,¹⁶² lists four ways brands help people:

- Do what they do better: prove their functionality or support them in some way.
- Be how they want to be perceived: provides a strong identity that is recognized and admired.
- Belong to a community: provides improved or perceived connection.
- Become more than they are: ads self esteem or confidence.

He suggests that employees are an integral part of the branding process and the more they experience the benefits of the brand the more likely they are to respond to, want to and are able to be motivated.

Finally, he outlines five steps to activating a brand:

- 1) Start with the customer promise – what will you deliver?
- 2) What do employees want? – understand their needs and motivation.
- 3) Make the brand relevant to the employees to engage them.
- 4) Make the brand tangible to employees – create employee experiences that fit the brand.
- 5) Connect employees to the customers – identify where and how employees can enhance the customer experience.

Bringing the value of many studies together, Patrick Hanlon, founder of Thinktopia, an idea-engineering firm, distills the branding process down to a code with seven elements. These seven pieces of the code allows you to create a relevant, vibrant community.

- 1) **The creation story:** How did you get started? EBay began in a spare bedroom. Both Apple and Hewlett-Packard began in a garage. The creation story tells who you are and where you are going.
- 2) **Creed:** What are you about? What do you believe? Examples include “Coke is it.” “Peace on Earth”, “Ultimate Driving Machine”. The creed is three to five words about your philosophy.
- 3) **Icons:** Establish a visual tag that helps members of the community to identify one another. Logos are the most popular icons, but icons can be anything that identifies a specific community of people. During the past pandemic bird flu scare, dead ducks and chickens became the icons of the pandemic. On a more positive note, the Statue of Liberty or the Big Apple both bring New Yorkers together as a community.
- 4) **Ritual:** Webs of activities that bind communities together create venues where members can share ideas, continue education, or simply share experiences. Conventions and seminars are typical activities, but even the Super Bowl is a ritual of fans coming together yearly to bond.
- 5) **Sacred words:** All communities have specialized vocabularies that identify their community. Doctors, lawyers, computer geeks, all have a language unto themselves.

¹⁶² Fisk, Peter, *Marketing Genius*, Capstone, 2006.



- 6) **Nonbelievers:** Successful brands identify people who do not want to belong to their communities and use that knowledge to expand their offerings to include those nonbelievers into a sub-community - think Diet Coke vs. Coke, or to point out the strengths of the brand - think Avis vs. Hertz.
- 7) **Leader:** Leaders are people who get the job done. They can be well known innovators like Bill Gates or Oprah Winfrey, or project leaders and team leaders in an organization.

Creating tribes or communities allow the members to identify with one another and create services or ideas that are larger than the individual. Tribes explain the “silo” mentality, but they can also be used to transcend those silos. Individuals can belong to more than one tribe or community with each having its unique identifiers. In the business sense, communities create situations that allow employees to feel a sense of belonging, and help them achieve recognition, growth, and job enrichment. Brands are the face of the community to the rest of the world.

7.2.3 ADDITIONAL INFORMATION ON FUNDING

COST FACTORS OF A POTENTIAL SYSTEM

There are a number of factors involved in how much a potential INSP system will cost once fully designed:

Figure 18: Cost Factors of a Potential INSP System

Factors	Description
Number of people involved	The cost variance will be large depending on the number of people involved in the program. Some economies of scale will be achievable.
Type of training and education	The frequency of the training, whether it is web-based, seminar/classroom-based, or residency based.
Length of the training	Depending on if the program lasts one year, two years, or five years will dramatically impact the amount of money needed. While program budgets will be reviewed annually, longer-term costs should be considered for a full INSP system.
Pipeline for recruiting	This includes variables like the amount of turnover and attrition in the system. The mechanisms for recruiting into the pipeline will also be a determinant for costs involved.
Participant’s salaries	Depending on whether the participant’s home agency pays their salary, or if the salary is paid from an interagency fund, or a combination of the two, salaries are a large part of the cost equation. Financial incentives can also add costs.
Rotational programs	Like participant’s salaries, costs of rotational programs will be likely be resolved through MOUs.
Personnel “float”	The cost related to creating a personnel “float” in civilian agencies, to backfill positions while personnel participate in education programs, training, or rotational tours in other agencies. Many observers have suggested that without such a float, the ability of civilian agencies to participate in an interagency cadre program would be quite limited.

For items such as pipeline for recruiting, participant’s salaries, rotational programs, and personnel “float,” the costs are largely incremental or already embedded within current funding objectives. Future studies should examine these costs more closely. The bulk of the costs for a potential INSP system will stem from the design, implementation, and continued support of different types of training and education programs. The table below lists some cost estimates for Training and Education programs for an Interagency National Security Professional.

Figure 19: Cost Estimates¹⁶³ for Training and Education Programs for an NSP

Description of Program	Throughput (per yr)	Costs
<p><i>Web-based Training Course:</i> Level of expertise achieved is foundational and situational awareness regarding how the employee fits into national security efforts. Program length ranges from 1-12 hours</p>	<p>1,000-5,000</p>	<ul style="list-style-type: none"> • Initial set-up costs range depending on how interactive the software is, \$300,000-\$600,000 • Ongoing costs per employee per year range from \$1-\$10 for maintenance and server space needed • Total 5-year program costs assuming maximum throughput, \$325,000-\$850,000
<p><i>Seminar/Classroom-based Training Course:</i> Classroom training program with a mixture of lectures and activities, with collaborative in-person experiences facilitated by experts. Level of expertise achieved is intermediate. Program length ranges is from one-day seminar to a week of classroom instruction.</p>	<p>100-1,000</p>	<ul style="list-style-type: none"> • Initial set-up costs are \$10,000-\$50,000 • Ongoing costs per employee depending on the number of days, \$1,000-\$4,000 per employee • Total 5-year program costs assuming maximum throughput, \$5,000,000-\$20,000,000
<p><i>Residency-based Training Course:</i> An NDU-like residency-based, accredited degree program with a mixture of lectures, activities, and simulation activities and facilitated by professors, visiting experts, and current NSPs. Level of expertise achieved is in-depth knowledge, qualification to serve in top interagency positions, and ability to serve in national security missions</p>	<p>200-400</p>	<ul style="list-style-type: none"> • Initial set-up costs, assuming classroom infrastructure is mostly in place, \$10,000,000-\$40,000,000 • Ongoing costs per employee depending on the number of days, \$70,000-\$80,000 per employee • Total 5-year program costs assuming maximum

¹⁶³ Note-these costs are approximate and are based on industry averages and data collected from government agencies and training experts.



across intergovernmental spectrum. Program length is 10-months.		throughput, \$140,000,000 - \$160,000,000
--	--	--

MECHANISMS FOR TRANSFERRING AND ACCOUNTING FOR MULTI-AGENCY FUNDING

There are a number of complexities related to the transferring and accounting for multi-agency funding efforts to an INSP system. Potential mechanisms include: Working Capital Fund, increased appropriations, and a Performance Management Fund.

Working Capital Fund (WCF): A type of revolving fund that has specific criteria. A revolving fund allows for increased flexibility in that it does not need to recover 100 percent of its costs each year and can be subsidized by another entity or responsible agency, including increased appropriations. A WCF on the other hand must pass on the full costs to the customers. A WCF can be more appropriate if dealing with a large number of diverse customers (minimum transactions in the thousands per day).

The four criteria that must be met to set up a WCF are:

- 1) Identify the appropriate output the home agency will sell
- 2) Establishment of a cost accounting system to appropriately measure and pass along costs to customers
- 3) Identify the appropriate number of customers
- 4) Evaluate the supply and demand of the outputs; the demand should be appropriately smooth in order for a WCF to operate appropriately. Lumpy supply and demand does not lend itself to a WCF.¹⁶⁴

PNSR analysis shows that between the two options a revolving fund would be a more appropriate vehicle for an interagency system because it allows for increased flexibility over a Working Capital Fund. PNSR does not believe the high level of transactions needed to make a WCF efficient is present and the demand is not smooth enough. According to an agency interview in July-October 2010, a WCF is extremely difficult and complicated to unwind once the process has been set up.

Increased Appropriations: Another potential vehicle to fund the INSP system is increased appropriations from Congress. This can be in place of other funding mechanisms or can compliment them by giving seed money to start a revolving fund for example.

Performance Management Fund: One vehicle that was examined as a potential option for funding an interagency system was the Performance Management Fund, which was created by Congress in 2003 to reward high performers but remains unfunded. Based on PNSR analysis of the language of the law in Title 5, Chapter 54, regarding the Human Capital Performance Fund, this is not a suitable vehicle for funding the INSP system due to issues raised in Section 5404, which states that money from the fund cannot be used for purposes other than those stated in the legislation.

¹⁶⁴ United States, Department of Defense, *DOD Financial Management Regulation* (Washington, D.C.: DOD, 2010) Volume 2B, Chapter 9, accessed August 2010 http://comptroller.defense.gov/fmr/02b/02b_09.pdf.





Figure 20: Cost Model for Pathway to an Integrated NSP System

	Initial Unit Infrastructure Costs	On-going Unit Cost	Stage 1		Stage 2		Stage 3		Stage 4	
			Units	Total Cost	Units	Total Cost	Units	Total Cost	Units	Total Cost
Number of years	-	-	1.25	-	1.25	-	1.25	-	1.25	-
Steady state #	-	-	2,000	-	4,000	-	6,000	-	10,000	-
Training and Education										
<i>Web-based Training Course</i>	\$600,000	\$10	3	\$1,875,000	7	\$2,750,000	10	\$2,550,000	12	\$2,700,000
<i>Seminar/Classroom-based Training Course</i>	\$50,000	\$4,000	1	\$5,050,000	3	\$15,100,000	5	\$25,100,000	6	\$30,050,000
<i>Residency-based Training Program</i>	\$40,000,000	\$80,000	-	\$0	-	\$0	1	\$80,000,000	1	\$40,000,000
Human Capital										
<i>Incentives</i>	-	\$125,000	2%	\$6,250,000	2%	\$12,500,000	2%	\$18,750,000	2%	\$31,250,000
<i>Float</i>	-	\$215,000	2%	\$10,750,000	2%	\$21,500,000	2%	\$32,250,000	2%	\$53,750,000
<i>Board</i>	\$375,000	\$85,000	10	\$1,437,500	12	\$1,650,000	14	\$1,862,500	15	\$1,968,750
Pilots	-	\$1,500,000	1	\$1,875,000	2	\$3,750,000	2	\$3,750,000	-	\$0
HR Information Systems	-	\$500,000	1	\$5,500,000	1	\$5,500,000	1	\$15,500,000	1	\$500,000
Total Stage Cost:			\$32,737,500		\$62,750,000		\$179,762,500		\$160,218,750	



7.2.4 ADDITIONAL INFORMATION ON THE INCLUSION OF STATE AND LOCAL COMPONENTS

THE “INTERGOVERNMENTAL” AS IMPLICIT IN THE INTERAGENCY NSP SYSTEM

Paragraph (b) (4) of Section 1054 (Military and State and Local Government Personnel) includes among the matters to be examined the “potential means of, and benefits and drawbacks of, including State and local government organizations and personnel in the system.”

The Department of Defense’s Statement of Work (SOW) for this study references the need to develop and manage a system for career development and management to support efforts to improve the quality of agency interactions and increase interoperability, “especially in times of national crisis from natural disasters or national security threats [emphasis added].” The SOW’s explicit inclusion of the term “natural disasters” supports the U.S. Government’s recognition that interagency NSPs will plan for and execute critical missions and functions that are beyond traditional, narrowly defined national security. These missions and functions are in such realms as homeland security, emergency management, public health, critical infrastructure protection, etc. This recognition seems to have informed the SOW guidance for this Study Section, what it calls Study Section 6 – Military and State and Local Government Personnel. The SOW reads, “This Study should address viewpoints on whether it is necessary to go below the state level for NSPD [National Security Professional Development] purposes.”

Chapter 3 of this report outlines how the 2006 White House *Federal Response to Hurricane Katrina: Lessons Learned* report called for a professional development and education program for homeland security personnel and the resulting executive order.

Given the complexities of the 21st century strategic environment, NSP service beyond the stovepipe and into the interagency, intergovernmental “white space” is becoming increasingly the routine rather than the exception. This truth drives the need for enhanced and extended NSP workforce development. The 1054 Study notes that neither Section 1054 nor the SOW uses the terms “intergovernment” or “intergovernmental” when they speak of the “interagency” environment, views, coordination, etc. Nevertheless, as quoted above, both the White House Katrina report and the executive order specifically conjoin the terms interagency and intergovernmental, for example, with respect to assignments.

This study notes also that the July 2007 *National Strategy for the Development of National Security Professionals* states the following with regard to development:

*The national security professional will need access to education, training, and opportunities to work in coordination with other Federal departments and agencies, State, local, territorial and tribal governments, the private sector, non-governmental organizations, foreign governments, and international organizations....*¹⁶⁵

The Study also cites the 13 November 2008 “Memorandum for Chief Human Capital Officers” from the Acting Director of the Office of Personnel Management (OPM) on the “Recommended

¹⁶⁵ United States, White House, *National Strategy for the Development of Security Professionals* (Washington, DC: White House, 2007) 2.



National Security Professional Qualification for NSP SES.” The technical qualification for all NSP-designated SES positions is “demonstrated ability to lead interagency, interdepartmental, intergovernmental activities, or comparable cross-organizational activities.” This demonstration would be “on a temporary or permanent assignment, on a multi-agency task force, in an interagency liaison capacity and/or as a volunteer.” The organizations can include state and local government entities, non-profit or non-governmental organizations, private organizations, and/or academic institutions.

A memo from FEMA follows from the NSPD Implementation Plan’s identification of the critical importance of establishing an NSP “national security certification” and “a least administratively burdensome method” for database tracking of NSPs.¹⁶⁶

The forgoing thus supports the conclusion that the term “interagency” implicitly includes the intergovernmental dimension. As for the SOW’s requirement to address the necessity of “going below the state level for NSPD purposes,” the forgoing also supports the conclusion that local government organizations and personnel are in the INSP system.

THE HOMELAND SECURITY INSP “ENTERPRISE”: SCOPING THE SYSTEM BEYOND THE STATE LEVEL

As cited above, statements in the NSP Strategy and the OPM and FEMA memos on NSPs that reference the private sector and NGO communities further indicate that conceptually the INSP system is more than “whole-of-government.” It is “whole-of-society,” “whole-of-nation.” When and where appropriate, private sector and NGO personnel are or may be performing critical homeland security functions, e.g., in steady-state, with regard to national critical infrastructure/key resources (CI/KR), and/or in crisis-state, in a catastrophic event or situation, most especially if that event or situation should rise to a level of threatening continuity of operations, continuity of government or enduring constitutional government.

DHS defines and frames homeland security as “a widely distributed and diverse—but unmistakable—national enterprise.”¹⁶⁷ The Department’s use of the term “enterprise” refers to “the collective efforts and shared responsibilities of Federal, State, local, tribal, territorial, nongovernmental, and private-sector partners—as well as individuals, families, and communities—to maintain critical homeland security capabilities.”¹⁶⁸

Hence, when the Federal government, DHS, as its executive agent, and their homeland security mission partners analyze options for including *all* non-federal stakeholder organizations and personnel in an INSP system, they must arrive at consensus solutions and not dismiss the problems by putting them into the “too-hard box.”

¹⁶⁶ United States, National Security Professional Development Executive Steering Committee (ESC), *National Security Professional Development Implementation Plan* (1 August 2008) 16-17.

¹⁶⁷ United States, Department of Homeland Security, *Quadrennial Homeland Security Review Report: A Framework for a Secure Homeland (QHSR)* (February 2010) 12.

¹⁶⁸ United States, Department of Homeland Security, *Quadrennial Homeland Security Review Report: A Framework for a Secure Homeland (QHSR)* (February 2010).



For these reasons, the Study argues that elements of the INSP system are better characterized as an “enterprise” and not as a “system.” Non-federal NSPs would constitute credentialed and certified “enterprise cadres” that may—but not in every case—move in and out of the INSP system.

NIMS AND THE NRF AS THE BASIS FOR THE STRUCTURE/MANAGEMENT OF THE HOMELAND SECURITY INSP ENTERPRISE CADRE

The February 2010 *Quadrennial Homeland Security Review* (QHSR) speaks of “enterprise-wide approaches to enhancing homeland security professional development.”¹⁶⁹ The QHSR uses the term enterprise for good reason. As stated above, from the non-federal perspective, no Federal department, agency or interagency entity can be “in charge” of the INSP “enterprise.” DHS Headquarters is more sensitive to the limitations of federalism than other Federal departments and agencies. Its documents frequently use the terms “foster,” “facilitate,” “coordinate,” etc. With respect to NSPs, DHS Headquarters thus speaks of “fostering” a collaborative intergovernmental INSP workforce enterprise, which can link into a Federal-centric INSP system. It is, therefore, helpful to pay attention to the QHSR’s identification of a “homeland security community of interest” as an “enterprise cadre” within and beyond the INSP system. This homeland security community of practice includes both national security and emergency management, public health, public safety, etc.—each with their own professional cultures—that include private sector and NGO organizations and personnel. INSP professional development must therefore recognize and distinguish the *homeland security INSP cadre* as a community of practice both within and beyond the INSP system.

As discussed in Chapter 3 of this report, the current foundational interagency and intergovernmental unity-of-effort framework structures and processes upon which the homeland security enterprise have been based include the National Incident Management System (NIMS), National Response Framework (NRF), National Infrastructure Protection Plan (NIPP), Information Sharing Enterprise (ISE) and the various scenario and domain specific plans. The NRF “is a guide to how the Nation conducts all-hazards response. The NIMS document says, “The NRF is a guide to how the nation conducts all-hazards incident management.”¹⁷⁰ NIMS provides “a consistent nationwide template;” it “is not an operational incident management or resource allocation plan. NIMS represents a core set of doctrine, concepts, principles, terminology and organizational processes that enables effective, efficient and collaborative incident management.”¹⁷¹ NIMS “provides a systematic, proactive approach guiding departments and agencies at all levels of government, the private sector and nongovernmental organizations to work seamlessly to prepare for, prevent, respond to, recover from and mitigate the effects of incidents, regardless of cause, size, location or complexity, in order to reduce the loss of life, property and harm to the environment.”¹⁷² “HSPD-5 [Homeland Security Presidential Directive

¹⁶⁹ United States, Department of Homeland Security, *Quadrennial Homeland Security Review Report: A Framework for a Secure Homeland (QHSR)* (February 2010) 72.

¹⁷⁰ United States, Department of Homeland Security, *National Incident Management System* (Washington, DC: GPO 2008) 3, accessed October 2010 http://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf.

¹⁷¹ United States, Department of Homeland Security, *National Incident Management System* (Washington, DC: GPO 2008) 3, accessed October 2010 http://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf.

¹⁷² United States, Department of Homeland Security, *National Incident Management System* (Washington, DC: GPO 2008) 1, accessed October 2010 http://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf.



5, *Management of Domestic Incidents*] requires all Federal departments and agencies to adopt NIMS and use it in their individual incident management programs and activities, as well as in support of all actions taken to assist State, tribal and local governments. The directive requires Federal departments and agencies to make adoption of NIMS by State, tribal and local organizations a condition for Federal preparedness assistance (through grants, contracts and other activities).¹⁷³

The decision to begin execution of the NSPD Implementation Plan using the DHS Transition Incident Management Training with FEMA’s three-hour NRF training module and other such tools to train the Federal SES level during the 2008 presidential transition illustrates the foundational—though short of comprehensive—importance of the NRF and by extension NIMS for homeland security enterprise cadre NSPs. With regard to identifying for INSP professional development personnel serving at the local level, it must be acknowledged that not all jurisdictions or communities of practice will have to capacity or want to participate equally. As stated above, a rural jurisdiction with a small population and no meaningful CI/KR assets will not see an NSP cost-benefit as will a UASI jurisdiction.

To account for the varied assessments by local jurisdictions on the capacity, need and level of their participation in NSP professional development, the homeland security INSP system may have to function with a decentralized structure with bottom-up processes, more appropriately facilitated at the regional level.

The non-federal INSP system will not necessarily consist of a permanent cadre of homeland security NSPs. More workable might be a designation, e.g., analogous to a fire fighter’s Red Card.¹⁷⁴ Professional qualification may need to entail some sort of renewal regime, e.g., as with the widely familiar certification for cardio-pulmonary resuscitation (CPR). For example, those law enforcement, emergency management, public health, etc. personnel who reassign from an NSP to a non-NSP position, e.g., in an organization having only secondary/collateral homeland security missions or functions, might not retain their NSP designation.

State and local jurisdictions tend to see NSPs in terms of positions rather than personnel. As such, the intergovernmental dimension of the INSP system would be a hybrid—person- and position-based. NSP professional development must account for different certification, credentialing, professional qualification and/or accreditation regimes by state and by discipline. As such, the Federal government will not be able to “mandate” NSP professional requirements.

The homeland security INSP system will have to include a means for establishing, where necessary, professional boards to benchmark the setting of professional standards for NSP qualifications.

¹⁷³ United States, Department of Homeland Security, *National Incident Management System* (Washington, DC: GPO 2008) 3, accessed October 2010 http://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf.

¹⁷⁴ Before a wildland firefighter can assume duty, he/she must earn a Red Card, issued by the National Wildfire Coordinating Group. Red Cards offer information about the firefighter and his/her level of training.



FACTORING INTELLIGENCE INTO THE HOMELAND SECURITY INSP ENTERPRISE

Nine/Eleven was the “trigger” for the Homeland Security Act of 2002 that established DHS and the Intelligence Reform and Terrorism Prevention Act (IRTPA) of 2004 that reconfigured the intelligence community. The Hurricane Katrina preparedness and response was the trigger for the Post-Katrina Emergency Management Reform Act of 2006 and Executive Order 13434 with its charge to develop an NSP system. The thrust of post-Katrina homeland security reconfigurations was the elevation of emergency management priorities relative to the post-9/11 emphasis on national security and specifically counter-terrorism. Many parallel career-path tracks lead to development of an NSP, including those, on the one hand, for emergency management, public health, etc. and on the other, law enforcement, intelligence and the military, to name a few. Where emergency management, etc. and national security professional development may be seen as parallel tracks, at some point in a person’s career they conjoin as homeland security where the individual will be required to have access to classified information and knowledge of the IC and its processes.

Addressing the question of intelligence and reorganization was a main focus of the National Commission on Terrorist Attacks Upon the United States. Created by Congress in late-2002, the 9/11 Commission reported in July 2004 with a core recommendation to establish a director of national intelligence (DNI) to coordinate sharing. Congress had begun offering legislative proposals to reorganize the intelligence community in June 2002. IRTPA was the final version, which established the DNI, the Office of the Director of National Intelligence (ODNI) and the National Counterterrorism Center (NCTC). IRTPA also provided for implementation of an Information Sharing Environment (ISE) Plan across Federal, state and local jurisdictions. The Department of Justice’s (DOJ’s) Law Enforcement Information Sharing Program, for example, is its strategy to implement ISE information sharing to those-level law enforcement partners. IRTPA also addressed the need to provide improved education for the IC and its mission partners. Among the Federal Bureau of Investigation’s (FBI’s) training initiatives for state and local law enforcement are the offerings at the Combating Terrorism Center (CTC) at the U.S. Military Academy.

PROFESSIONAL DEVELOPMENT

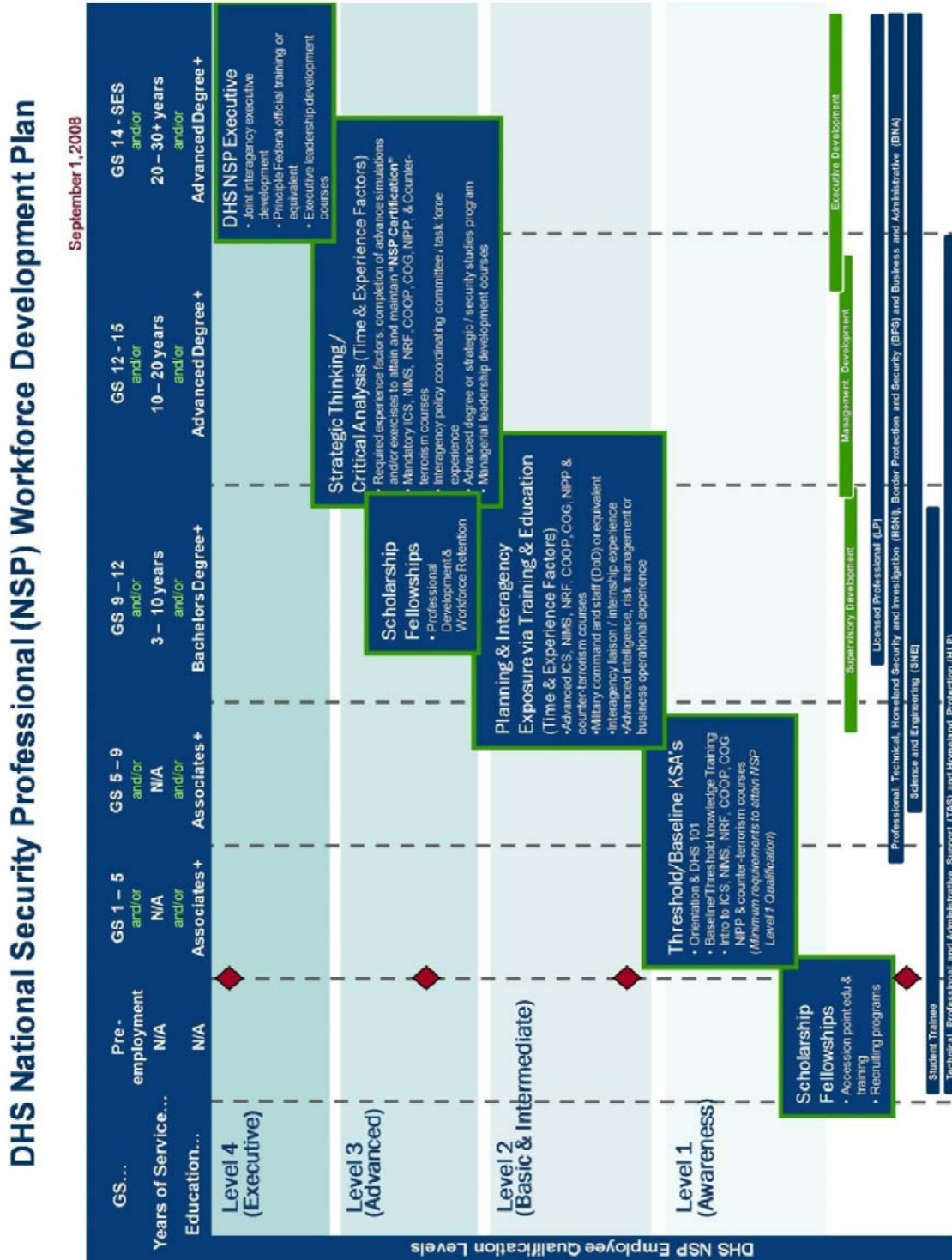
As noted in this report, the three pillars of career development are education, training, and experience. DHS is following a four-level model for professional qualification. In their 30 August 2010 presentation to the Executive Order 13434 Interagency Policy Committee (IPC), DHS officials referenced the DHS NSP Workforce Development Plan of 1 September 2008. The Plan has a matrix of four levels:

- Level 1 (Awareness)—GS-1/9
 - Threshold/baseline knowledge, skills and abilities (KSA)
- Level 2 (Basic & Intermediate)—GS-9/12
 - 3-10 years experience for planning and interagency exposure via training and education
- Level 3 (Advanced)—GS-12/15
 - 10-20 years experience for strategic thinking and critical analysis to attain and maintain “NSP Qualification.”



- Level 4 (Executive)—GS-14/SES
 - 20-30+ years of experience for DHS NSP Executive, e.g., principal Federal official (PFO).

Figure 21: DHS NSP Workforce Development Plan





Similar to the Defense Acquisition University example, among the lead agencies and institutions which could serve homeland security INSP professional education are the Emergency Management Institute, the Federal Law Enforcement Training Center, the Naval Postgraduate School's (NPS's) Center for Homeland Defense and Security (CHDS), the U.S. Coast Guard Academy, the National Defense University (NDU) and the National Domestic Preparedness Consortium (NDPC)¹⁷⁵, the FBI National Academy and National Executive Institute (NEI), the West Point CTC, ODNI's National Intelligence University/Centers of Academic Excellence (CAE) Program and the Memorial Institute for the Prevention of Terrorism. This list is by no means exhaustive and is only meant for illustrative purposes.

This study notes the significant value afforded by various alumni bodies in maintaining and deepening personal relationships formed during instruction and for fostering a collaborative INSP culture. Particularly noteworthy are the alumni associations for the National Executive Institute and the Center for Homeland Defense and Security.

THE HOMELAND DEFENSE AND SECURITY CENTER (CHDS) MODEL AND A REGIONAL APPROACH TO REGIONAL HOMELAND SECURITY INSP EDUCATION

Pre-9/11, an August 2001 study conducted by the Justice Department's Office of Domestic Preparedness "determined that key gaps existed in training programs associated with the more complex upper-level leadership challenges requiring critical thinking and problem-solving approaches; filling these gaps would require an educational, vice training, approach."¹⁷⁶ Until that time, state and local training programs in domestic preparedness (the precursor term for homeland security) were at the operational "boots on the ground" levels.¹⁷⁷ After 9/11 in April

¹⁷⁵ NDPC has seven members, including the Center for Domestic Preparedness (CDP) in Anniston, Alabama, the New Mexico Institute of Mining and Technology (New Mexico Tech), Louisiana State University's Academy of Counter-Terrorist Education (National Center for Biomedical Research and Training), Texas A&M University National Emergency Response and Rescue Training Center (TEEX), the Department of Energy's Nevada Test Site (NTS), the Transportation Technology Center, Inc. (TTCI) and the National Disaster Preparedness Training Center at the University of Hawaii (NDPTC).

¹⁷⁶ Cheryl J. Polson, John M. Persyn, & O. Shawn Cupp, "Partnership in Progress: A Model for Development of a Homeland Security Graduate Degree Program," *Homeland Security Affairs* Vol. VI, No. 2, 5 May 2010, accessed October 2010 www.hsaj.org/pages/volume6/issue2/pdfs/6.2.3.pdf.

¹⁷⁷ In 1996, Congress authorized the Nunn-Lugar-Domenici Domestic Preparedness Program as part of the Defense Reauthorization Act. This domestic preparedness program focused on enhancing the ability of local and state governments to respond to a weapon of mass destruction (WMD) incident, with a particular emphasis on terrorism. Elements of the program consisted of advanced training, equipment and exercises for local first responders. While FEMA was the lead agency for "consequence management" in response to acts of terrorism, Nunn-Lugar did not assign that agency as the lead agency for managing the program. Instead, Congress gave the DoD that task. Nunn-Lugar was the immediate legacy program of the homeland security preparedness programs of today. While the lead went to DoD, other Federal agencies also played a role in the new domestic preparedness program. This included FEMA, Federal Bureau of Investigation (FBI), Department of Health and Human Services (HHS), Department of Energy (DOE) and Environmental Protection Agency (EPA). At the time, FEMA chaired the Senior Interagency Coordination Group on Terrorism, which was established to facilitate better Federal interagency coordination on policy issues and program activities focusing on WMD response. Eventually in the late 1990's, DOJ through the Assistant Attorney General for the Office of Justice Programs would manage the preparedness program through the Office for State and Local Domestic Preparedness Support, which later became the Office for Domestic Preparedness. The National Domestic Preparedness Office (NDPO), housed in the FBI, inherited oversight of the Nunn-Lugar-Domenici "train-the-trainer" programs for states and localities. At that time, FEMA declined the opportunity to assume the national-preparedness mission.



2002, Congress, DoJ, and DoD established the Center for Homeland Defense and Security (CHDS) at the Naval Postgraduate School (NPS) in Monterey, CA. Justice's Office of Justice Programs/Office for Domestic Preparedness was the initial sponsor of the Center.¹⁷⁸ Since FY08, however, funding has come from FEMA.

First among its mandates was the education and preparation of "a national cadre of local, state, tribal, and federal leaders to collaborate across professional disciplines and levels of government to secure the nation's homeland by developing new policies, strategies, and organizational arrangements to prevent and respond to future attacks."¹⁷⁹ Among its key offerings are the Master's Degree program, Mobile Education Team (MET) outreach to governors and urban areas, Executive Leaders Program (ELP), secure Web-based Alumni Network, and CHDS Alumni Association. For several years, CHDS has offered an East Coast extension for the Master's Degree Program at the National Capital Region (NCR) campus in Shepherdstown, West Virginia.

The CHDS homeland security leadership development curriculum is evidence-based, an education approach that relies on the "use of empirical evidence to make informed decisions about policies, practices, and programs."¹⁸⁰ The Master's Degree Program is an 18-month program of six two-week, in-residence sessions. The program has eleven courses, two research-methods courses and a thesis. Accreditation for CHDS and the NCR extension comes from the Western Association of Schools and Colleges. Two cohorts per year attend CHDS; NCR hosts one per year. Each campus takes 32 students per cohort. At CHDS, 26 are from state and local organizations; six are from Federal organizations. At NCR, 20 students are from DHS; six are from other departments and agencies; another six are from state and local organizations. DHS fully funds student fees and expenses.

The outreach MET program delivers policy and strategic-level educational seminars to governors and their cabinets, as well as to community leaders and their homeland security teams in large urban areas. In addition, "topical" METs can focus on a single issue or for delivery to a non-jurisdictional entity like a national association. The Homeland Security ELP provides senior homeland security leaders with a better understanding of the local, state, federal and private sector issues and opportunities associated with securing the nation against threats and responding to acts of terrorism. ELP is a nine-month certificate program of four one-week modules.

CHDS created the University and Agency Partnership Initiative (UAPI) to improve national access to homeland security education. As of 2009, UAPI included 155 university and agency members who receive assistance for developing homeland security curricula further to

¹⁷⁸ Center for Homeland Defense and Security, *Education: The Key to Homeland Security Leadership, 2002-2008 Report* (Monterey, CA: U.S. Naval Postgraduate School, Center for Homeland Defense and Security, 2009) 7.

¹⁷⁹ Center for Homeland Defense and Security, *Education: The Key to Homeland Security Leadership, 2002-2008 Report* (Monterey, CA: U.S. Naval Postgraduate School, Center for Homeland Defense and Security, 2009) 5.

¹⁸⁰ Center for Homeland Defense and Security, *Education: The Key to Homeland Security Leadership, 2002-2008 Report* (Monterey, CA: U.S. Naval Postgraduate School, Center for Homeland Defense and Security, 2009) 7, fn. 2.



establishing the academic discipline. Elsewhere that year, CDHS listed 271 homeland security-related degree and certificate programs as partner institutions.¹⁸¹

Ongoing assessments and external evaluations are designed and conducted by an outside evaluator, who also does a post-degree evaluation of students two or more years past graduation. The evaluation process includes a conceptual pretest, administered when a student enters CHDS, on-going course evaluations while he/she is enrolled, an end-of-program evaluation, and post-degree evaluation. An additional impact evaluation for Master's Degree graduates was conducted in 2007 by Pace University's Criminal Justice and Security Chairman to determine alumni satisfaction. The results of the Ryan evaluation are on the CHDS Web Site at www.chds.us. As an indicator of the impact of the thesis program, the CHDS 2002-2008 report lists some, which have had notable impact and their impacts, as well as a comprehensive list of attendees and their thesis titles.¹⁸²

The foregoing suggests that the CHDS model is a useful representative model for homeland security education.

A May 2010 *Homeland Security Affairs* article points to CDHS capacity limitations. "Despite the success of the CHDS programs, they still only serve a small segment of the homeland security profession. Because of congressional prohibitions, the CHDS (master's degree) program is not available to private-sector attendees—an education gap that must be served by other institutions."¹⁸³ The authors make the case for a regionally focused approach. They cite two particular educational institutions, Kansas State University and the U.S. Army Command and General Staff College (CGSC) that "have sought to fill a niche need for homeland security graduate education in order to better serve homeland security professionals regionally."¹⁸⁴ Other institutions noted are Penn State's Master of Homeland Security in Public Health Preparedness, Long Island University's Homeland Security Management Institute, San Diego State University's Graduate Program in Homeland Security, Tulane University's Master of Professional Studies Homeland Security Program and Cal Poly's partnership with the California Emergency Management Agency for the Master's of Professional Studies Program in Disaster Management and Homeland Security.

The U.S. Northern Command (NORTHCOM) J7's Homeland Security/Defense Education Consortium (HSDEC) has attempted to find common ground and propose standardized educational outcomes. The HSDEC-sponsored 2007 Homeland Security Education Survey Project found "little standardization existed from one program to the next in course design,

¹⁸¹ Cheryl J. Polson, John M. Persyn, & O. Shawn Cupp, "Partnership in Progress: A Model for Development of a Homeland Security Graduate Degree Program," *Homeland Security Affairs* Vol. VI, No. 2, 5 May 2010, accessed October 2010 www.hsaj.org/pages/volume6/issue2/pdfs/6.2.3.pdf, 1.

¹⁸² Center for Homeland Defense and Security, *Education: The Key to Homeland Security Leadership, 2002-2008 Report* (Monterey, CA: U.S. Naval Postgraduate School, Center for Homeland Defense and Security, 2009) 38-40.

¹⁸³ Cheryl J. Polson, John M. Persyn, & O. Shawn Cupp, "Partnership in Progress: A Model for Development of a Homeland Security Graduate Degree Program," *Homeland Security Affairs* Vol. VI, No. 2, 5 May 2010, accessed October 2010 www.hsaj.org/pages/volume6/issue2/pdfs/6.2.3.pdf, 5.

¹⁸⁴ Cheryl J. Polson, John M. Persyn, & O. Shawn Cupp, "Partnership in Progress: A Model for Development of a Homeland Security Graduate Degree Program," *Homeland Security Affairs* Vol. VI, No. 2, 5 May 2010, accessed October 2010 www.hsaj.org/pages/volume6/issue2/pdfs/6.2.3.pdf, 4.



content, or delivery system...Further exacerbating the problem of standardization, no uniform program requirements or overarching program outcomes have been established to serve as guidelines for curriculum development.”¹⁸⁵

While this observation may have intended to be a criticism, one should not rush to embrace a federally driven process toward defining standards, requirements, and outcomes for the homeland security educational enterprise, or indeed homeland security professional development generally. The authors note that “definitions of homeland security often align with jurisdictional perspectives,” and further quote a CHDS official:

*In my experience, the emergency management “community of interest” and the fire services tend to constellate around the **All Hazards** definition, law enforcement tends to cohere around **Homeland Security as Preventing Terrorism**, people who work for a federal agency tend toward **Terrorism and Major Catastrophes**, and the Department of Defense sees homeland security as what civilians do. [Emphasis in original]¹⁸⁶*

The authors finish the point by citing a CHDS official on an institution-specific approach to development of homeland security graduate educational programs: “The programs and curricula we develop will take many shapes and certainly the quality and applicability to certain sectors of the workforce will vary.”¹⁸⁷ Returning to driving education toward the evidence-based verities, they speak of the HSDEC consensus that stresses the importance of including practical applications and exercises. Kansas State and the CGSC, they write, began their designs on “the needs of the regional homeland security professionals and the correlation of those expressed needs with the established HSDEC and DoD recommendations,” i.e., bottom-up, regional. Not surprisingly given its regional location, Kansas State has a capability in the food-animal disease area. Leveraging its focus, DHS has selected the university as a Center of Excellence for Emerging and Zoonotic Animal Diseases. Also, the Department of Agriculture is relocating its Arthropod-Borne Animal Disease Research Unit to K-State, and DHS is in the process of placing its National Bio and Agro-Defense Facility near the campus. Thus, with regard to CHDS capacity limitations and the need to improve the accessibility and quality of homeland security graduate educational offerings, the authors support the embrace by the DHS, CDHS and NORTHCOM’s HS/DEC, now the Homeland Security and Defense Education Consortium Association (HSDECA)¹⁸⁸ to strengthen the education pillar by focusing on regional programs responsive to regional needs and input. To some degree, HSDECA- and DoD-determined

¹⁸⁵ Cheryl J. Polson, John M. Persyn, & O. Shawn Cupp, “Partnership in Progress: A Model for Development of a Homeland Security Graduate Degree Program,” *Homeland Security Affairs* Vol. VI, No. 2, 5 May 2010, accessed October 2010 www.hsaj.org/pages/volume6/issue2/pdfs/6.2.3.pdf, 8-9.

¹⁸⁶ Cheryl J. Polson, John M. Persyn, & O. Shawn Cupp, “Partnership in Progress: A Model for Development of a Homeland Security Graduate Degree Program,” *Homeland Security Affairs* Vol. VI, No. 2, 5 May 2010, accessed October 2010 www.hsaj.org/pages/volume6/issue2/pdfs/6.2.3.pdf, 9.

¹⁸⁷ Cheryl J. Polson, John M. Persyn, & O. Shawn Cupp, “Partnership in Progress: A Model for Development of a Homeland Security Graduate Degree Program,” *Homeland Security Affairs* Vol. VI, No. 2, 5 May 2010, accessed October 2010 www.hsaj.org/pages/volume6/issue2/pdfs/6.2.3.pdf, 12.

¹⁸⁸ The Homeland Security and Defense Education Consortium Association supports educational institutions with educational program development and accreditation. HSDECA is currently pursuing recognition by the Department of Education as the accrediting body for homeland security and homeland defense education programs. <https://www.hsdeca.org/>.



competences can work as a framework for program analysis and design to help reduce concerns for accreditation, standardization, instructional quality, and competency measurement.¹⁸⁹

Over 300 institutions of higher learning offer homeland security courses nationwide. Impetus is coming from states and local jurisdictions for developing their own homeland security professional education programs. In Texas, the Governor's Office of Emergency Management has an executive-level program with the University of Texas that is proposing to leverage the other universities. In addition, the Texas Department of Public Safety is developing its own equivalent of the U.S. Army's Command and General Staff College (CGSC) to be sited at the state police headquarters. Courses on executive management will be available for the captain-level up. Mississippi offers a graduate-level course at the University of Mississippi for homeland security analysts; the University of Southern Mississippi hosts another graduate-level program at its National Center for Spectator Sports Security. A third masters-level homeland security program is available at satellite campuses for New Orleans' Tulane University in Biloxi and Jackson. Finally, Maryland's Anne Arundel County hosts the Criminal Justice Advisory Consortium, Homeland Security and Criminal Justice Institute at Anne Arundel Community College.

The DHS Office of the Chief Human Capital Officer, Enterprise Learning and Development (OCHCO-ELD) in collaboration with the Homeland Security (Studies and Analysis) Institute (HSI) have developed a curricula alignment tool (framework) to assist institutions of higher learning ensure their curricula is aligned to DHS mission requirements.

CHDS is strengthening the education pillar of homeland security professional development by leveraging its model for regional applications informed by regional needs and inputs.

NON-GOVERNMENTAL ORGANIZATION (NGO) TRAINING AND DEVELOPMENT

The American Red Cross (ARC) affords an example with its approach to NGO professional development. The ARC and FEMA are moving toward "common sector training" in mass care and sheltering. The challenge is to broaden the training to encompass sector-wide mass care training and professional development under a partnering arrangement for resourcing. Senior ARC leadership is going to the Harvard Kennedy School's National Preparedness Leadership Initiative (NPLI) program for "meta-leadership." NPLI is a three-week program taken over the course of a year. The program is expanding with regional offerings where NPLI faculty conduct one-and-a-half day seminars across the country to develop meta-leadership capabilities in the white space. Finally, the ARC is conducting an initiative with FEMA for a mid-level, disaster leadership professional development program for certifying local non-profits. The ARC is training its chapter leaders in all of its 160 Red Cross regions and will expand the effort to offer training to any non-profit leadership active in disasters.

¹⁸⁹ Cheryl J. Polson, John M. Persyn, & O. Shawn Cupp, "Partnership in Progress: A Model for Development of a Homeland Security Graduate Degree Program," *Homeland Security Affairs* Vol. VI, No. 2, 5 May 2010: 20, accessed October 2010 www.hsaj.org/pages/volume6/issue2/pdfs/6.2.3.pdf.



THE DHS NATIONAL PLANNING COURSES

The DHS Planners Qualification Program is the National Planning Courses. It meets a core capability for NSPs at the GS 13-15 levels.

- Introduction to Homeland Security/Homeland Defense Planning Course (3-day) (DoD funded)
- National Planner's Course (5-day)
- Train the Trainer National Planner Course (4-day)
- Planning Team Leader Course (TBD)
- Homeland Security/Homeland Defense Executive Planners Course (4-hour)

DHS says that since 2006 the National Planning Courses have trained over 1,200 Federal, state and local government and NGO planners. In the future, the courses will adhere to any revised HSPD-8 *National Preparedness*, NRF, NIMS, Comprehensive Preparedness Guide (CPG) 101, and related DHS directives concerning the planning function. Tracking of graduates only began in August 2010 when the DHS Office of Operations and Coordination (OPS) established a registrar function to track personnel. The intention in linking these courses to EMI is to integrate them into courses available to state and local emergency managers. Funding comes from DoD, DHS, OPS, and the DHS Office of the Chief Human Capital Officer (OCHCO).

ROTATIONAL ASSIGNMENTS

Prior to NSPD Implementation Plan, DHS policy on rotational assignments was in a 13 November 2007 Directive. This rotational assignments directive "identified rotational assignments between the various DHS Components as a key goal."¹⁹⁰ While saying that the list of 10 types of rotational assignments was not inclusive, the directive gave six examples of intra-DHS rotations, one example of an interagency, one to international host organizations, one to a designated disaster field site and one for an "employee to New Orleans for Katrina."¹⁹¹ Excepting the last example to New Orleans, the directive offered no examples for intergovernmental rotational assignments to or from state or local organizations or jurisdictions.

That apparent policy orientation for rotational assignments has changed. The Implementation Plan addressed professional experience acknowledging that departments and agencies with a national security mission will need to tailor their professional experience programs to fit their specific needs and offered three criteria for rotations:

- Short-term temporary detail of less than a six-month duration
- Mid-term temporary or semi-permanent detail of 6-12 months
- Long-term detail of a year of more¹⁹²

¹⁹⁰ United States, Department of Homeland Security, *Rotational Assignments DHS Directive System, Directive Number 250-01* (13 November 2007) 4, accessed October 2010
www.dhs.gov/xlibrary/assets/foia/mgmt_rotational%20assignments_md%20250-01.pdf.

¹⁹¹ United States, Department of Homeland Security, *Rotational Assignments DHS Directive System, Directive Number 250-01* (13 November 2007) 5-6, accessed October 2010
www.dhs.gov/xlibrary/assets/foia/mgmt_rotational%20assignments_md%20250-01.pdf.

¹⁹² United States, National Security Professional Development Executive Steering Committee (ESC), *National Security Professional Development Implementation Plan* (1 August 2008) 14.



The Implementation Plan also said that “DHS will identify state and local government professional experience for NSPs” and that “Departments and agencies will identify (within legal parameters) potential private sector professional experiences for NSPs in the future.”¹⁹³ The DHS Bottom-Up Review Report (BUR) states, “FEMA will implement personnel exchanges between headquarters and regional offices to enhance employee understanding of headquarters and regional perspectives, as well as personnel exchanges between FEMA and State governments through the Intergovernmental Personnel Act.”¹⁹⁴

An intergovernmental INSP system will have to overcome civilian agency workforce cultures at all three levels of government that are “expeditionary-averse.” A Federal homeland security INSP requirement could be a willingness to relocate as a condition of employment, i.e., for assignment to state levels and, where appropriate, to local jurisdictions such as UASIs or major metropolitan areas, in addition to assignment to Federal regional offices. The important qualification is this: those assignments should not be just be a “check-the-box;” they should only be to where mutual value can be demonstrated as a win-win while at the same time in support of NSP development strategic objectives and outcomes.

Use of the Intergovernmental Personnel Act (IPA) Mobility program has the potential to facilitate a culture of rotational assignments. IPA assignments are not simply a FEMA mechanism but also apply to other DHS agencies, the Department of Health and Human Services (HHS), Justice, Transportation and components of any other departments or agencies which have primary or supporting ESFs or functions with regard to steady-state, multi-jurisdictional, multi-discipline, interagency and intergovernmental entities like Area Maritime Security Committees (AMSCs), JTTFs and state fusion centers.

States and locals generally feel that IPA assignments should more frequently be to Federal positions at the regional level versus positions in Washington. Use of IPAs must account for the financial hardship imposed at the best of times by the requirement for those states and local jurisdictions who passed laws requiring them to operate under balanced budgets. Intergovernmental rotational assignments for state and local personnel under the IPA program could allow for flexibility to give states and locals the option of exchanging personnel or receiving IPA reimbursement for an agency employee to “fleet up” or for the agency to apply the reimbursement to cover the costs of short-term contractors.

IPA rotations across the Federal, state and local levels are appropriate where mutual value can be demonstrated as a win-win while at the same time in support of NSP development strategic objectives and outcomes. IPA rotations for local jurisdictions especially need to be calibrated according to mutually determined needs and practicalities.

CREDENTIALING

Credentialing is a process of establishing an individual’s background, legitimacy and qualifications for performing a specific task—and in that context is a key tool in the interstate

¹⁹³ Ibid. 15.

¹⁹⁴ United States, Department of Homeland Security *Bottom-Up Review Report* (July 2010) 32, accessed October 2010 http://www.dhs.gov/xlibrary/assets/bur_bottom_up_review.pdf.



deployment and interoperability of *trusted* resources when disaster strikes.¹⁹⁵ Development of a national credentialing system, as envisaged in the FEMA memo of 22 August 2010, is a fundamental underpinning of NIMS, for which FEMA's National Integration Center (NIC) in the National Preparedness Directorate (NPD) has the responsibility. As per the 21 November 2008 draft of *NIMS Guidelines for the Credentialing of Personnel*, the NIC and Incident Management Systems Integration (IMSI) have the tasking. The NIC is working with other organizations, e.g., the Association of Public-Safety Communications Officials (APCO) International's Telecommunications Emergency Response Taskforce and Citizen Corps, as part of its credentialing effort. It has developed several working groups that will designate not only the positions that should be credentialed but also the qualifications, certification, training and educational requirements for each position.

- Incident management
- Emergency medical services
- Firefighting and hazardous materials response
- Law enforcement
- Public health/medical needs
- Public works
- Search and rescue operations¹⁹⁶

A representative homeland security standards developer states that a national credentialing system:

- Must be able to function within existing jurisdictional protocols, if feasible
- Deployment cannot impose an undue burden on the numerous jurisdictions at various levels of government
- Must conform to the protocols, principles and guidelines set forth in the Incident Command System (ICS)
- Must use or integrate current emergency responder credentialing systems with the national system whenever possible¹⁹⁷

“As with all national standards, the stakeholder participation in developing credentialing standards is voluntary, as is stakeholder use of a finalized credentialing standard.”¹⁹⁸

As long as credentialing remains undefined, homeland security professional standards will still be in need of some level of consistency.

Credentialing is a vital facilitator for re-entry into incident impact areas and is most relevant to private-sector NSPs. The re-entry of CI/KR restoration workers is part and parcel of effective

¹⁹⁵ Diana Hopkins “The Development of National Standards for Credentialing,” *DomPrep Journal* Vol. 5 No. 8, 27 August 2010: 5-6, accessed October 2010 <http://www.domesticpreparedness.com/pub/docs/DPJournalAug09.pdf>.

¹⁹⁶ Glen Rudner “Qualifications, Credentials, and the Need for Speed,” *DomPrep Journal* Vol. 5, No. 8, August 2009: 14-15, accessed October 2010 <http://www.domesticpreparedness.com/pub/docs/DPJournalAug09.pdf>.

¹⁹⁷ Diana Hopkins “The Development of National Standards for Credentialing,” *DomPrep Journal* Vol. 5 No. 8, 27 August 2010: 5, accessed October 2010 <http://www.domesticpreparedness.com/pub/docs/DPJournalAug09.pdf>.

¹⁹⁸ Diana Hopkins “The Development of National Standards for Credentialing,” *DomPrep Journal* Vol. 5 No. 8, 27 August 2010: 6, accessed October 2010 <http://www.domesticpreparedness.com/pub/docs/DPJournalAug09.pdf>.



response and recovery. It is a major issue documented in virtually all national-level exercise and real-world event after action and lessons learned reports over the past decade. Private-sector NSPs have huge requirements for access into an incident area as soon as health and safety conditions permit re-entry in order to begin critical infrastructure restoration. The private sector and CI/KR communities have a requirement to be included in NSP credentialing.

HSPD-12, Policy for a Common Identification Standard for Federal Employees and Contractors, mandated a government-wide standard for secure and reliable forms of identification issued by the Federal government to its employees and contractors (including contractor employees) for access to secure facilities. HSPD-12 led to the establishment of the Federal Information Processing Standards 201 (FIPS 201). FIPS 201-compliant cards include the Transport Workers Identification Card and the First Responder Authentication Credential. Where the intent of a FIPS 201-compliant card is to ensure operational security at an incident scene, it has significant potential to facilitate coordination and cooperation in response and recovery operations.¹⁹⁹

The FEMA National Capital Region (NCR) Coordination Office led development of a “smart” identity card system for emergency responder access to secure facilities in time of disaster. In February 2006, the NCR coordinated the Winter Fox Interoperability Demonstration (WFID) with the FIPS-compliant FRAC. The WFID also validated the ability of participating agencies to use the FIPS 201 architecture to validate electronically NIMS and/or National Infrastructure Protection Plan (NIPP) personnel qualification information, which are needed to facilitate the incident management capabilities of human resource assets.²⁰⁰

FRACs proved useful for use in after-action reports and assessments and other inventorying and recordkeeping and are now performance measures in NCR exercises. States are now adopting their own FRAC credentialing systems, notably in Virginia through the Governor’s Office of Commonwealth Preparedness and in Colorado with its Colorado State First Responder Authentication Credential Standards (COFRAC) and COFRAC Bridge which aggregates in an interoperable form all the state’s first responder personal attributes, qualifications and access privileges.²⁰¹ “The American National Standards Institute (ANSI) also is working at the national level to incorporate the private sector into an effective credentialing process by using systems similar to the interoperable FIPS 201 for controlling access by using systems similar to the interoperable FIPS 210.”²⁰²

The nation has a cross-jurisdictional, cross-discipline need for real-time identification of personnel from the field to the national level.

¹⁹⁹ Glen Rudner “Qualifications, Credentials, and the Need for Speed,” *DomPrep Journal* Vol. 5, No. 8, August 2009: 14-15, accessed October 2010 <http://www.domesticpreparedness.com/pub/docs/DPJournalAug09.pdf>.

²⁰⁰ Kay C. Goss “Emergency Services Credentialing: FEMA Leads the Way,” *DomPrep Journal* 27 Vol. 5, No. 8, August 2009: 10-11, accessed October 2010 <http://www.domesticpreparedness.com/pub/docs/DPJournalAug09.pdf>.

²⁰¹ The COFRAC program provides the State of Colorado with a three-tiered level of assurance (FIPS 201-compliant, 2D barcode or open technology) that runs on the FIPS 210-compliant COFRAC Bridge to allow for secure information sharing of credentials. Cf.

www.colofirechiefs.org/CSFCA%20Documents/COFRAC_Standard.pdf.

²⁰² Kay C. Goss “Emergency Services Credentialing: FEMA Leads the Way,” *DomPrep Journal* 27 Vol. 5, No. 8, August 2009: 11, accessed October 2010 <http://www.domesticpreparedness.com/pub/docs/DPJournalAug09.pdf>.



NIMS is a system that can now identify the minimal need for professional qualifications, certification, training and educational requirements to meet the baseline criteria of a homeland security NSP's capabilities.

NIMS can and should be extended to include a means to track an NSP's experience level including assignment history.

7.2.5 PROFESSIONAL DEVELOPMENT FOR STATE AND LOCAL INCLUSION

PROFESSIONAL DEVELOPMENT FOR NATIONAL SECURITY TRACKS

At the familiarity level, the national security professional development plan would provide for unclassified, certificate introductory courses on counterterrorism and counterintelligence. At the basic and intermediate level, secret-level courses must provide training on basic analysis and on national security targets as may be relevant to specific positions. At the advanced and SES levels, NSPs who are trained and cleared to the TS/SCI level for service in federal regions will participate in annual scenario-driven tabletop exercises that stand-up a JOC and JFO with liaison officers embedded in both.

Recommendation:

- With respect to components of the homeland security INSP cadre, e.g., law enforcement and intelligence analysts, who are on the national security track, a professional development plan must include a web-based block of instruction that clearly defines and describes the national security community, its roles and responsibilities, as well as the unclassified laws, regulations and executive orders that govern the intelligence community.

PROFESSIONAL DEVELOPMENT FOR THE NATIONAL GUARD

Under the auspices of the U.S Northern Command (NORTHCOM), the DoD military departments' active component and reserve components will respond in crisis to perform homeland defense and Defense Support of Civil Authorities missions. State sovereignty, local mutual aid compacts, and the Posse Comitatus Act, for example, give rise to distinct differences between the roles of the Guard and Title 10 active duty military forces (precluded from conducting law enforcement activities on U.S. soil per the Posse Comitatus Act, Section 1385 of Title 18, United States Code). National Guard forces operating under Title 32 on state active duty can conduct law enforcement operations at the direction of the governor.

National Guard professional development must account for these differences and optimize any means available for training and exercises. The PNSR Study notes that the July 2007 *National Strategy for the Development of National Security Professionals* included "access to education, training and opportunities to work in coordination" with foreign governments and international



organizations.²⁰³ The study thus calls attention to the National Guard State Partnership Program, established in 1993, that fosters long-term relationships between states and their partnered nations to share best practices and expert knowledge across a range of areas. The State Partnership Program facilitates economic, commercial, social, and cultural government interactions in addition to military-to-military expert exchanges. Multi-level army and air force familiarization exercises provide a platform to share effective practices and techniques. Areas of concentration include military support to civilian authorities, emergency management, disaster planning, port security, HAZMAT/WMD response initiatives and airport security.

Recommendation:

- NSP professional development requirements must account for differences between the National Guard and DoD military departments' active component and reserve components.

PROFESSIONAL DEVELOPMENT FOR PUBLIC HEALTH AND MEDICAL NSPs

The public health and medical sector has unique professional development requirements, driven by public sector, cross-jurisdictional complexities, and the reality that the private sector holds and operates 85% of the medical assets in the United States. As an additional consideration, the public health and medical sector has a high degree of dependency on other sectors (e.g., transportation, energy and mass sheltering) to complete the mission. Lastly, in addition to specific subject matter expertise in public health and medicine, NSP requirements include those for training and experience in security matters.

The Department of Health and Human Services (HHS) has initiated professional development programs and activities as a security enterprise through its regional cross-jurisdictional planning and regional- and federal-level cross-sector planning. While the HHS focus has been mainly on disaster response, manmade or terrorist activities are part of the scenario planning and exercise activities. Advances in public health and medical sector NSP professional development have been happening as a by-product of these recognized cross-sector, interagency and intergovernmental aspects of operational planning and execution, whether in exercises—real or virtual. Forward-leaning developments at the state and local levels have emanated from regional planning and coordination through HHS regional emergency coordinators and partnerships with state and local jurisdictions and professional groups.

Professional development of public health and medical NSPs begins with professional degree education, e.g., MD/MPH programs. Beyond education, development of public health and medical NSPs must start with training at the local level and horizontally reach across both public and private sector professionals, requiring extensive work with private sector professionals and organizations. Simultaneously, vertical training must link local capacities to state, tribal, and federal assets and efforts. The program should transcend, but not ignore, the subject matter requirements of emergency medicine, trauma care, emergency medical services, etc. It should

²⁰³ United States, National Security Professional Development Integration Office, *National Strategy for the Development of Security Professionals* (Washington, DC: White House, 2007) 2.



focus the development of NSPs on the enterprise functions that will be necessary for adequate preparedness and effective response and recovery.

Optimal development of the INSP system for public health and medical NSPs would benefit from active engagement of such bodies as the National Association of City and County Health Organizations (NACCHO), Association of State and Territorial Health Officers (ASTHO), the American Medical Association's Committee on Disaster Medicine, American Osteopathic Association, American College of Emergency Physicians and American Hospital Association. These organizations have actively developed curricula and criteria for training and qualifications for public- and private-sector NSPs active in preparedness, response, and recovery missions.

Training efforts can leverage near-term public health and medical NSP development initiatives. For example, the conduct of cross-jurisdictional and cross-sector operational planning could include the formal articulation of learning objectives for participants, assessment of whether they have met those objectives and a final award of a certificate of completion. Formalized training curricula should include the principles and techniques of operational planning and execution, logistics, forensics, and the functions of other sector operations, e.g., transportation, supply and energy, to facilitate joint planning and execution with those sectors upon which the health sector critically depends.

Experiential assignments include rotations with local providers and health administrators and involve the conduct of planning and exercise activities with local emergency leadership. The local and state leadership should have experiential assignments with the HHS Regional Emergency Coordinators to assess and understand intra- and inter-state planning and execution considerations, as well as cross-sector relationships and dependencies. For its part, HHS has assigned staff to the Command and General Staff College (CGSC) at Fort Leavenworth and to the U.S. Army General Staff School in Carlisle, Pennsylvania, to facilitate the critical partnership with DoD and to enhance professional development among both DoD and HHS staff.

Since Hurricane Katrina, HHS has brought many cross-sector partners into planning and exercise efforts. The Department has actively engaged state and local entities in its disaster preparedness and response planning activities, basing its approach on regional "jointness" where regional training, risk assessment and joint planning are the critical and central practices. For example, DoD and state planners routinely assign personnel to HHS activities that also provide exchange opportunities for international partners. Under an IPA program, HHS and Health Canada have rotated staff between partner agencies. These relationships and active efforts should be formalized in training curricula and cross-agency assignments.

PROFESSIONAL DEVELOPMENT FOR PRIVATE SECTOR NSPs

The scope of private sector NSP professional development includes personnel serving critical infrastructure/key resources owners and operators, homeland security technology and service providers, other homeland security business stakeholders operating at the UASI- and state-levels and regional academic and research innovation centers. NIMS and NRF address the role of the private sector in readiness and incident management very extensively. The NRF includes



specific annexes devoted to private sector and critical infrastructure/key resources community issues. In particular, the NRF Critical Infrastructure/Key Resources Support Annex frames the operational links and communications process that connect the public and private sector during emergent threats and incidents.

DHS has made great strides in incorporating the private sector and critical infrastructure/key resources protection community personnel into all aspects of national exercise design, control, and execution. DHS internal protocols have created the opportunity for private sector representatives to occupy full-time seats in the Homeland Infrastructure Threat and Risk Analysis Center (HITRAC) in Special Government Employee (SGE) status. It also affords them the opportunity to participate as full members of the National Infrastructure Coordinating Center (NICC) during emergent threats and incidents. They have staffed these positions during exercises and real world events. DHS grants private sector representatives that support these positions secret- and top secret-level security clearances. HITRAC and NICC mechanisms exist for one-year rotational assignments for private-sector personnel. As such, the INSP system could leverage these initiatives further to craft the acknowledged role for the private sector in a formalized rotational exchange/liaison program as envisaged in this study.

HOMELAND SECURITY INSP PROFESSIONAL DEVELOPMENT AS A “CONTINUUM OF LEARNING”

The National Strategy for the Development of National Security Professionals stated with regard to education and training that the federal government *would first focus* on identifying “federal programs, facilities, and institutions, *followed thereafter* by the identification of such programs at the state, local, territorial, tribal, academic, non-governmental, and private sector levels [emphasis added].”²⁰⁴

In the autumn of 2008, the NSPD Implementation Plan proceeded, top-down from the SES level in Federal positions using the FEMA National Response Framework (NRF) training module and other performance tools. After the change of administration, NSPD implementation has gone into a “strategic pause.” According to a number of federal officials, the attitude behind the NSPD Strategy was that, in the words of one, “the Federal government needed to get its own house in order before bringing in the states and locals.” Given the threat picture in 2008, that determination was the prudent course of action. Today, however, the lead federal agency for homeland security, DHS, speaks in the Quadrennial Homeland Security Review (QHSR) of a broad homeland security enterprise with “collective efforts and shared responsibilities.” Included in this enterprise are the private sector and critical infrastructure/key resources community representatives who have already accessed and are graduates of the full range of FEMA emergency management and planning courses offered on-line.

²⁰⁴ United States, National Security Professional Development Integration Office, *National Strategy for the Development of Security Professionals* (Washington, DC: White House, 2007) 2.

**Recommendation:**

- Implementation of an enterprise of homeland security NSPs must be done as an intergovernmental collective effort and shared responsibility along with the private sector and NGO community as a whole-of-society, whole-of-government undertaking.

To foster an INSP system culture requires professional development from the entry level and even pre-employment. The PNSR Section 1054 Study Expert Panel has stressed that the INSP culture required for the future should leverage the up-and-coming generational culture replete with its orientation to social media and flat, network organizations, team learning and evidence-based education.

Recommendation:

- Implementation of a homeland security NSP professional development plan must now incorporate a “continuum of learning” approach from the GS-1 entry-level equivalence up.

NETWORKED INSP PROFESSIONAL DEVELOPMENT THROUGH EXERCISES

As a component of an interagency education system for NSPs, the 2007 NSPD Strategy called for utilizing “advances in technology to enable connectivity of multiple education systems in a virtual environment; and [incorporating] full-time and part-time programs, short-term and long-term programs, and distance learning programs, or a combination of those programs, as appropriate.”²⁰⁵ The Strategy further spoke of “development through exercises” via integration of the National Exercise Program, “as well as existing national, Federal, State, regional and local exercises, into professional development programs.”²⁰⁶

The capabilities of all 40 DHS institutions of learning can be networked to achieve strategic objectives. For example, the FEMA National Domestic Preparedness Consortium (NDPC) and Naval Postgraduate School’s (NPS) Center for Homeland Defense and Security (CHDS) can be networked to:

- Use the Center for Domestic Preparedness and Nevada Test Site capabilities to host cohort team exercises involving several separate states or local jurisdictions to replicate EMAC and Federal response to an incident
- Link the exercises to emergency operations centers back in cohort home jurisdictions to engage elected officials
- Provide those EOCs and elected officials with simultaneous instruction (at the policy and strategy level) afforded by the NPS/CHDS Mobile Education Team

²⁰⁵ United States, White House, *National Strategy for the Development of Security Professionals* (Washington, DC: White House, 2007) 5.

²⁰⁶ United States, White House, *National Strategy for the Development of Security Professionals* (Washington, DC: White House, 2007) 7.

**Recommendation:**

- Find creative network solutions to incorporate the entire homeland security INSP professional development system to include education, training, and exercising.

CREDENTIALING

The National Wildfire Coordinating Group (NWCG) (www.nwcg.gov) Red Card system is a model of a credentialing entity independent of federal control that is self-funding. More formally known as the Incident Qualifications System (IQS), the system is being expanded to the Incident Qualifications Credentialing System (IQCS). When linked with another existing NWCG software known as the Resource Ordering and Status System (ROSS)²⁰⁷, IQS enables the wildland fire community to (a) know who is qualified within that system; (b) monitor their qualifications and whether they are current; and (c) actually track personnel assigned to operational theaters. The NWCG system can and should serve as a working model for a national system.

The INSP system will benefit from a national registry based on National Incident Management System (NIMS) resource typing for the Emergency Management Assistance Compacts (EMACs)²⁰⁸ and the Emergency Management Assistance Program.²⁰⁹ Still needed is an enhanced, multi-discipline, multi-jurisdiction registry for credentialing and human capital management particularly in crisis-state, e.g., for EMAC mission assignment numbers, but also for steady-state human capital application.

Consideration should be given to using such a registry by leveraging Federal Information Processing Standards (FIPS) 201 for state and local personnel and extending it to private-sector and NGO personnel²¹⁰, as may be appropriate. DHS has engaged the private sector and critical infrastructure/key resources communities in the Voluntary Private Sector Preparedness Accreditation and Certification (PS-Prep) program, mandated by the PKEMRA legislation and

²⁰⁷ Cf. About *Ross*, Resource Ordering and Status System, July 2009, accessed October 2010

<http://ross.nwcg.gov/aboutross.html>.

²⁰⁸ The Emergency Management Assistance Compact (EMAC) is administered by the National Emergency Management Association (NEMA). In 1996, Congress ratified the EMAC as law making it the first ratified national disaster compact since the Civil Defense Compact of 1950. EMACs cover many of the issues associated with deployed emergency personnel such as licensing, credentialing, liability, workers compensation and reimbursement.

²⁰⁹ The Emergency Management Accreditation Program (EMAP), an independent non-profit organization, is a standard-based voluntary assessment and peer review accreditation process for government programs responsible for coordinating prevention, mitigation, preparedness, response and recovery activities for natural and human-caused disasters. Accreditation is based on compliance with collaboratively developed national standards, the Emergency Management Standard by EMAP. Accreditation is open to all states, territories, and local government emergency management programs.

²¹⁰ By example, HHS employs the concept for such as registry under its Emergency System for Volunteer Health Professionals (ESAR-VP) program. Another example is the COFRAC program provided by the State of Colorado. COFRAC is a system with a three-tiered level of assurance (FIPS 201-compliant, 2D barcode or open technology) that runs on the FIPS 210-compliant COFRAC Bridge to allow for secure information sharing of credentials. Cf. Michael Locatis, *Colorado State First Responder Authentication Credential Standards*, Reference 07-200, Governor's Office of Information Technology, 2008, accessed October 2010

http://www.colofirechiefs.org/CSFCA%20Documents/COFRAC_Standard.pdf.



recommended by the 9/11 Commission to improve private sector preparedness for disasters and emergencies. PS-Prep is a partnership between DHS and the private sector that enables private entities to receive emergency preparedness certification from a DHS accreditation system created in coordination with the private sector. PS-Prep affords another program with potential leverage for tracking private sector NSP personnel qualifications.

Recommendation:

- Employing existing databases, including or building on FEMA’s National Credentialing Program (in development), conduct a study to convene all public- and private-sector mission partners in an effort to build a comprehensive national system based on a Federal Information Processing Standards (FIPS) 201-compliant architecture for electronic validation of National Incident Management System (NIMS) and/or National Infrastructure Protection Plan personnel qualification information. This program will enable tracking and inventorying of training, education, exercise, and rotational assignment information for all homeland security INSP cadre personnel. All appropriate organizations at the federal, state, local, and tribal levels should participate.
- The INSP system Board should consult with the National Wildfire Coordinating Group to explore the possibility of the adapting or adopting the credentialing model for broader use among NSPs.

CREDENTIALING FOR LAW ENFORCEMENT

Federal, state, tribal, and local law enforcement has a need for real-time verification and validation of security clearances and permissions. This need could be met by a classified credentialing database housed in FBI Headquarters that could (a) be modeled on and (b) provide reciprocity guidance and a secure bridge to other similar classified databases such as DoD’s Joint Personnel Adjudication System (JPAS) and the IC’s Scattered Castles, for the purpose only of coordinating policy and passing clearance information when necessary. This database could include data on state, local and tribal law enforcement personnel who (1) are NSPs or candidate NSPs, (2) have begun to progress along an NSP education and training track and (3) hold security clearances. State, local, or tribal law enforcement NSPs and/or candidate NSPs would permit their clearance information to be housed, managed, and maintained in this classified database at FBI Headquarters. All FBI Field Divisions would be able to access this database electronically to identify cleared state, local, or tribal law enforcement officers when they need them to assist or support Federal law enforcement agencies who are conducting sensitive counterterrorism, criminal, or intelligence investigations. Such assistance could be employed either to prevent or respond to acts of domestic or international terrorism within the United States.

Recommendation:

- To address the need for a domestic credentialing database for law enforcement personnel, the executive branch and Congress will establish a program with an annual appropriation for an independent authority to manage a stand-alone, classified, database for real-time verification and validation of NSP law enforcement personnel qualification information,



clearances and permissions. Further, the FBI will be designated as the agency to manage, operate, and maintain this database.

- The PNSR study team suggests that every state should have a law enforcement program manager to interface with the FBI regarding the above clearances. State police or similar state law enforcement agencies should be vested with this responsibility, and federal funds should be allocated to ensure that each state has the capability to work with the FBI in this program. The office of the state law enforcement program manager would serve as the entity responsible for working with the FBI's NSP credentialing program office as it relates to state-, local- and tribal-level clearances.

BENCHMARKING GUIDELINES FOR VOLUNTARY NATIONAL STANDARDS FOR CREDENTIALS

The federal government will have a difficult time trying to integrate existing standards systems into a single national system. Most credentialing is a voluntary or consensus standard, including those set by the National Fire Protection Association and the National Board on Fire Service Professional Qualifications (Pro Board).

The National Fire Protection Association and Pro Board processes differ from the NWCG's. The NWCG system requires detailed documentation of an individual's experience as captured in a Position Task Book signed by an already experience/qualified practitioner in each position before that candidate individual can be registered as qualified, a critical consideration. A great number of individuals have certifications or certificates for completing training (some with varying degrees of testing), but few have been validated in terms of skills, abilities and, competencies.

With respect to using the Incident Command System (ICS) from NIMS, for the vast majority of individuals, training incorporated in the NIMS doctrine largely does not provide any actual skills training or development. Short of the recently published ICS Position-Specific training, all of the other ICS courses from DHS are instructional training—not practical. According to one NIMS trainer, "That's one reason I am so 'frothy' about all this stuff. When my life is on the line, and I ask for help, I want someone who has and *can* do the job, not someone who took some classes and got certificates for their time in a chair in a classroom." In the opinion of one municipal law enforcement official, "A rigorous system of exercising is *critical* to build proficiency if this experience gap for national ICS is ever to improve." With regard to designing any "national ICS systems," he cautions, "Keep the systems simple and flexible, recognizing the dynamics of the churn with the organizations that they seek to benefit [state and local jurisdictions with scarce resources]. The KISS [keep it simple, stupid] principle must always be in the forefront of system design."

Third-party benchmarking will ensure that every mission partner discipline has appropriate national guidance upon which to base training, education and exercise curricula and set professional qualification standards. Among the bodies that can administer this trusted third-party process are the American National Standards Institute (ANSI), as well as ANSI-accredited organizations like the NFPA, Pro Board, Association of Public Safety Communication Officials (APCO) International, etc.

**Recommendation:**

- Leveraging existing credentialing bodies, the Federal government will canvass its mission partners to determine where it might be necessary to establish a process for benchmarking guidelines for voluntary national qualification standards by discipline.



7.3 APPENDIX C: NSPD PROGRAMS AND SELECTED NATIONAL SECURITY PROGRAMS

7.3.1 DEPARTMENT AND AGENCY NATIONAL SECURITY PROFESSIONAL DEVELOPMENT PROGRAMS

Executive Order 13434 called for the development of National Security Professionals by 17 departments and agencies to include: the Departments of State, Treasury, Defense, Justice, Agriculture, Labor, Health and Human Services, Housing and Urban Development, Transportation, Energy, Commerce, Interior, Education, and Homeland Security; and the Offices of the Directors of National Intelligence, Personnel Management, and Management and Budget.

Below is a brief description of the NSP activities at federal departments.

DEPARTMENT OF AGRICULTURE (USDA)

USDA is one of the seven agencies that drafted the joint NSPD implementation plan.²¹¹ Like all the other agencies in that plan, it is a non-title 50 agency (Title 50 refers to those agencies involved primarily in national defense and security), and thus sees its role in national security as tangential to the primary mission of the department. The extent of their role is primarily to provide subject matter experts on interagency working groups. Within USDA, the Office of Homeland Security and Emergency Coordination (OHSEC) carries out the following functions, as described on their website:

executive leadership in government-wide initiatives pertaining to physical security, emergency programs, personnel and document security, continuity of operations, and continuity of government.” OHSEC also provides security management of USDA's Headquarters facilities in the National Capital Region and 24/7 operations center support to USDA emergency response and program operations nationwide. OHSEC coordinates USDA facility disaster management and emergency planning response activities within the National Capital Region, focuses on safeguarding national security information within USDA, manages security clearances and determines "Suitability for Employment" for USDA employees encumbering public trust positions

USDA Interagency National Security Professionals are located within this office. Currently OHSEC has identified twelve individuals as National Security Professionals (NSPs). That number is being reassessed based upon a cultural transformation presently underway within the department. These NSP's function is to play a coordination role, ensuring that any agency that requires a subject matter expert from USDA is directed to the appropriate USDA agency and to the individual within that agency. The office also coordinates USDA's collaboration with other national security organizations, including the Federal Bureau of Investigation.

As a recent example, USDA supported the national response to the Deepwater Horizon Oil Spill in the Gulf of México. To date, more than 1,000 USDA personnel have participated in the response, which included representation from a majority of the USDA Mission Areas, agencies,

²¹¹ Seven of the 17 agencies with a role in national security, developed a joint NSPD implementation plan.



and staff offices. Activities include providing food and nutrition services to affected individuals and families, providing wildlife capture services, participation in Shoreline Assessment and Cleanup Teams, supporting assessment and cleanup in coastal marshes, evaluating food chain impacts, coordinating with state, local, and tribal governments in the Gulf region, participating on scientific panels assessing the reopening of fisheries and evaluating proposals for cleanup technologies, and supporting the Incident Command Posts, Unified Area Command and the National Incident Command. USDA is presently supporting recovery and restoration activities through participation on the Gulf Coast Recovery Task Force.

DEPARTMENT OF COMMERCE

Commerce falls within the definition of a small agency (having only seven executives identified as NSPs). However, it has its own departmental implementation plan and has identified three competencies as prerequisites for NSP SES positions: enterprise perspective, joint perspective, and national security. It has established developmental experience requirements for career SES members who have been designated as NSP professionals. Beyond this, the program at Commerce is largely nonexistent. It would benefit from funding for the program and interagency assistance in implementation and execution.

DEPARTMENT OF DEFENSE (DoD)

The focus of DoD NSP efforts to date has been on positions at the GS-13/15 (i.e. PB 3) and SES levels. DoD believes that individuals should be able to take their resources with them in the form of certifications, or credentials. DoD strongly supports initiatives to improve both intra-agency and interagency performance. Formal new requirements have, however, principally aimed at improving intra-agency performance while allowing interagency experience to be considered acceptable to meet the requirements.

To help ensure civilian leaders operate more closely with interagency, international, and non-government national security partners, DoD Memorandum “Joint Experience Requirements for Career Senior Executive Service Leaders” (USD(P&R), December 31, 2008) provides guidance on implementing the unique DoD competency Enterprise Perspective and the two sub-competencies Joint Perspective and National Security Perspective. The memorandum requires joint experience as a pre-requisite for entering the SES and for SES continuing development.

DoD identified 1,273 NSPD positions in 2009 with approximately 25 percent at the SES level and the remainder at the GS-15 level. They continue to refine the scoping process to ensure identified positions meet the criteria of focusing on interagency collaboration and cooperation in carrying out our national security duties and responsibilities.

DoD has engaged the three-pronged approach mandated by Executive Order 13434 of Orientation, Education/Training and Professional Development for NSPD positions. Over half of the NSP senior executive leadership has attended a Welcome Session and an Introduction to the National Security Strategy. National Response Framework NSPs attend an additional orientation program. There are no education requirements for NSPs to date, but DoD has developed a catalog of courses to develop and enhance the Executive Steering Committee (ESC)



shared capabilities. DoD encourages the use of networking tools and maintains a NSP website as well as contributing to the Federal nspd.gov website. They have used existing programs that include rotational and interagency opportunities such as the Defense Senior Leader and Development Program, Executive Leadership Development Program and the Professional Military Education institutions.

DEPARTMENT OF ENERGY (DOE)

The Department of Energy can be divided into two main categories: DoE “proper” and the National Nuclear Security Administration (NNSA). Within DoE proper, there are two main types of national security work: (1) ensuring the integrity of the domestic electrical infrastructure (and the Strategic Petroleum Reserve) and (2) various work abroad. The former includes DoE’s coordinating role for Emergency Support Function 12 (Energy) under the National Response Framework. The latter includes DoD-funded billets at the Combatant Commands (COCOMS). The agency plans to collaborate with all ten COCOMs; it initiated this program with the United States Africa Command. The goal is to send a GS13-14 on a 3-4 year rotational assignment to a COCOM.

The NNSA, through its Office of International Operations, works very closely with the United States embassies in key countries, including China, the Russian Federation, and Pakistan. By virtue of the nature of its work, virtually all of the NNSA’s work has an interagency component. Within NNSA, the agency can deploy internationally at the request of United States agencies. On the domestic front, the agency works alongside the FBI through deployable teams such as the Federal Radiological Management Assessment Center (FMRAC). Seventeen agencies contribute to FMRAC teams. A team consists of a DoE federal employee in the lead (dedicated position) and members from various agencies (pre-designated – must satisfy training requirements), many of whom are contractors. Another area of current and future interagency collaboration is in the provision of energy experts. DoE has signed a Memorandum of Understanding with the Department of State and provides their Foreign Service Officers with energy expertise. DoE hopes to extend this partnership to other agencies.

As of 2010, DoE has identified about 250 personnel designated as National Security Professionals. Previously the agency had designated about 450 employees, which included state and local personnel. The agency completed its implementation plan in 2008, and is currently waiting on the NSPD-IO for final approval. The agency has designed Base 1/Knowledge Threshold Requirements. It serves as a first step to understanding the roles and requirements of NSPs. The agency is partnering with NSPD-IO to identify courses within its traditional development program that can be open to other agencies for INSP professional development. In addition, DoE is hosting the new NSPD website at the Emergency Operations Training Academy under NNSA.

The DoE is emphasizing the need for NSPs to take the necessary training and receive the necessary certifications. Currently about 70 to 80 percent of DoE NSP training is done online. Staff can track their progress in meeting the training requirements through Individual Learning Plans that are automated through the online learning center. For international assignments, the agency usually sends its staff to the Foreign Service Institute.



DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)

In October 2008, HHS adapted an HHS Joint Agency National Security Professional Development Implementation Plan from the seven-agency plan. With the changes anticipated at the national level, HHS will revisit its earlier Implementation Plan to determine its applicability to new direction and guidance.

Medical and technical health skills have the potential to be highly relevant to national security but require constant, specialized training leaving limited availability for NSP development. Alternately, rotations into HHS have not been successful, with few agencies electing to take advantage of opportunities to send personnel.

DEPARTMENT OF HOMELAND SECURITY (DHS)

By its very nature, DHS is a national security agency in and of itself. With the consolidation of many agencies into one Enterprise, DHS faces many of the same implementation challenges within their department as the government, as a whole, faces. Each Component within DHS has its own missions, cultures, and priorities to consider as the leadership looks at consolidating into one functioning department.

That broad nature of DHS goals and objectives, and the over 10,000 identified NSPs, strongly influenced the DHS NSP Implementation Plan. The plan begins to establish a link between individual and organizational performance goals that include both NSP capabilities and DHS critical challenge areas. Constrained resources for the near future and an aggressive timeline add to the challenges DHS faces. Although NSP planning was done at an Enterprise level, because of the many and varied Components in DHS, execution of the programs has been decentralized to a significant degree. DHS considers rotations and assignments to be interagency even within the DHS umbrella.

They are taking a phased, incremental approach to developing NSPs starting at the SES level and working down to the GS13 level. The four-level employee qualification strategy provides a roadmap for career development and moves the NSP from basic knowledge, skills and abilities; emergency response framework training; and several levels of National Incident Management System (NIMS) designated courses to exercises, rotational assignments, and completion of executive leadership development courses in the later stages. They have implemented some of the curriculum and other pieces are still in development.

OFFICE OF THE DIRECTOR FOR NATIONAL INTELLIGENCE (ODNI)

The Office of the Director of National Intelligence oversees a 17-element Intelligence Community and manages the National Intelligence Program budget. Established in 2005, its role is to improve and integrate the national intelligence structure, and the capabilities and information technologies of 17 diverse intelligence agencies and components.

Since its inception the office has worked to integrate various systems and agency operations in the areas of threat prevention, information sharing and intelligence capabilities. Through the Civilian Joint Duty program, the office is building the next generation of intelligence leaders who have a better understanding of the scope and complexity of the intelligence community. The



program also allows this cadre of professionals to learn how to better integrate and engage the intelligence community's vast resources in support of the national security mission. The program has won several accolades including winning Harvard University's 2008 Innovations in American Government Awards. In several interviews this program was described as a model for interagency professional development. However, others have called for the strengthening of the program including the past two Directors of National Intelligence.

The Joint Duty program is now a pre-requisite for promotion to senior leadership levels. More than twelve thousand intelligence officers have earned or are currently earning joint duty credit to gain critical cross-agency perspectives.

ODNI offers in-house training and certification programs: To alleviate difficulties of working across boundaries between the intelligence and homeland security communities, ODNI sent a number of its intelligence community personnel to FEMA and the Emergency Management Institute to become certified in teaching certain Homeland Security requirements. The intelligence community can now, therefore, serve as its own accreditation authority in emergency management and homeland security space. The office administers two certification levels, which mirror what FEMA and the Emergency Management Institute have done together.

For about two years ODNI has been collecting verification data on competencies. They are creating a competency directory, which they described as a "good foundational piece that could transcend the IC."

Other attempts to foster greater integration of the intelligence community include a classified online web portal for sharing best practices. Through its Centers of Academic Excellence (CAE) Program Office, the ODNI is also partnering with about thirty universities and reaching out to graduate students to educate them about the work of the intelligence community.

DEPARTMENT OF THE INTERIOR (DOI)

DoI did not provide information for this study, but is one of the seven agencies of the Joint Agency National Security Professional Development Implementation Plan and it is evident that DoI has significant national security responsibilities. A 2006 Department of the Interior Departmental Manual entitled Emergency Management series states that it is the policy of DoI that it "shall plan, prepare for, and maintain capability for supporting NSPD responsibilities to meet essential defense and civilian needs during any national security emergency." DoI national security work is largely emergency preparedness and response. In this manual, approximately 30 senior officials were identified as having responsibility for various national security functions. However, because DoI has provided no data, the training, education or rotational experiences of these or other individuals is not known.

DEPARTMENT OF JUSTICE (DOJ)

DoJ and its various components are an integral part of the IC community. They have served on NSPD working groups and have created a NSPD Implementation Plan modeled on the NSPD-IO construct. With 18 DoJ agencies identified as national security participants, they maintain a robust list of education and training opportunities both inside and outside DoJ. They assign NSP designation to positions rather than individuals and participate in interagency work and training



with DoD, DHS and other IC organizations. They characterize their NSP positions as more operational than episodic and feel rotational assignments need to be tailored to fit the positional needs of the agencies. The DoJ delineates between field operatives and headquarters and sees ongoing collaboration at the field level as ongoing and informal.

DEPARTMENT OF STATE (DOS)

By the nature of its work, the Department of State is heavily involved in interagency collaboration. Abroad, country teams tend to work in a “whole of government” framework, coordinating with various agencies in the interest of the United States Government foreign policy agenda. In the field, some of the work has significant national security implications as in the case of Iraq or Afghanistan. In some cases, local embassies may be so large that within country teams, executive committees or interagency working groups are formed.

Within the Department of State, the concept of Interagency National Security Professionals is still considered necessary. However, the designation of NSPs has been put on hold since the transition to a new administration. Nearly 95 percent of the positions originally designated as NSPs no longer have the same person incumbent.

The mission of the department has expanded since 9/11 making national security an essential element. The Foreign Service Institute (FSI) now incorporates national security issues in leadership exercises and other courses. Currently the FSI has three courses, specifically designed for interagency national security training. While these courses are a vital aspect of NSP development, it is in the field experience that Foreign Service Officers acquire broad interagency exposure through international assignments.

Because of the interagency nature of its work, many of DoS NSPs will develop the necessary interagency knowledge, skills, and abilities *in situ*, without formal assignment or detail to another agency. Many, because of their work, have already developed NSP skills and abilities. Through MOU’s employees participate in rotational assignments and exchanges in federal agencies, non-profit and international organizations.

DEPARTMENT OF TRANSPORTATION (DOT)

DoT recognizes its role in the National Security Plan as the operator of the National Airspace System and actively collaborates with the Department of Homeland Security (DHS) on matters related to transportation security and protecting the transportation infrastructure. They also have a history of working with DHS on regulating the transportation of hazardous materials. The Department’s Strategic plan includes a National Security Goal and their NSPD Implementation Plan creates a line of sight from individual employees to that goal.

DoT’s actions to date and their implementation plans moving forward, demonstrate clear leadership involvement in the NSPD program. The plan includes clear goals, in the areas of training, education, professional development, communications, and human capital initiatives and information management. They assert their intention to participate in the interagency planning of the NSPD-IO and the ESC.



Both managers and employees recognize Their ONE DoT Rotational Assignment Program as a professional development opportunity as well as an opportunity for managers to gain useful assistance for projects. The NSP Implementation Plan includes strategies to encourage employees at all levels to serve on short or long-term task forces and advisory bodies and the intention to work to identify NSP roles suitable for temporary reassignments across administrations and other agencies.

DoT created a Training model for GS-13 through SES levels ranging from orientation training through core training to an advanced module, which will include simulations and exercises with other agency personnel. They also support the NSPD through a defined workforce planning strategy to help identify requirements for NSPs within the Department and drive recruiting activities. They are assessing the NSP positions for possible inclusion within DoT's Mission Critical Occupation classification. The NSP Implementation Plan calls for DoT to adapt the current career development processes to include NSPD requirements.

DEPARTMENT OF TREASURY

The Office of Intelligence and Analysis (OIA) at the Department of Treasury is the main internal organization dealing with national security on a continuous basis. There are a number of areas—such as terrorist designation—on which the agency coordinates with other federal agencies. Other interagency efforts include joint duty assignments and roles in the International Finance and Intelligence Group (IFIG) within the National Counter Terrorism Center. The current Chief of IFIG is from the OIA. The Department of Treasury also deploys personnel internationally to Threat Finance Cells in Iraq and Afghanistan.

All employees working with the OIA are designated as NSPs since the National Intelligence Program funds the office. The designation is position and duties based. At Treasury, several offices have NSP slots. Within the Internal Revenue Service, for example, there are about 13 NSP designees, seven of whom are SES. Across the agency, there are about 160 NSP positions; originally 212 were identified.

Regarding NSP training, each office within Treasury is responsible for developing Individual Development Plans for their staff. Agency-wide training initiatives that have been offered include leadership development through the Treasury Executive Institute and institutions of higher learning and bureau-level programs, honing of technical and business skills through career-specific programs, and flexibility in access to training through the Treasury learning management system and e-learning opportunities.

OIA specifically participates in training through Treasury, the Office of the Director of National Intelligence, and other Intelligence Community agencies. Courses focus on analytical thinking and management through interagency cooperation.

Treasury completed its implementation plan in 2008, linking its goals and objectives with the agency's Human Capital Strategic Plan (2008–2013). The plan outlines Treasury's goals to enhance information sharing and learning management through tools such as an online portal and NSP tracking database.



As can be seen from the summaries of the various Department's NSPD programs, there is a wide variety of activities. As was stated in the NSPD Fiscal Year 2009 Progress Report "In the absence of official ESC direction, agency implementation efforts have varied." Clearly the various programs could benefit from additional coordination.

7.3.2 DESCRIPTION OF SELECTED NATIONAL SECURITY PROGRAMS

DEPARTMENT OF DEFENSE: DEFENSE SENIOR LEADER DEVELOPMENT PROGRAM

Established in 2008 to be the successor to DLAMP, which will terminate at the end of Fiscal Year 2010, the Defense Senior Leader Development Program (DSLDP) provides a competency-based approach to the deliberate development of senior civilian leaders with the enterprise-wide perspective needed to lead organizations and programs and achieve results in the joint, interagency, and multi-national environments. DSLDP is open, through DoD Component nomination, to permanent, full-time DoD civilian employees who: (1) Are experienced leaders at General Schedule (GS) grades 14 or 15 and equivalent grades, as specified in the annual DoD-wide call for nominations; (2) Have a baccalaureate degree from an accredited college or university, or have comparable experience and training; and (3) Possess a minimum of 1 year of significant experience in supervising or managing people in an official capacity. In response to an annual solicitation, each DoD Component, as applicable, will manage a competitive process to nominate a slate of candidates. DoD Component nominees will be further assessed through a DoD-wide process, which includes an Executive level Selection Board composed of Senior Executive Service (SES) members and/or General or Flag Officers (GO/FO), designed to identify the best qualified from across the Department of Defense.

Over a two year period, learning opportunities include: senior-level professional military education, generally in a different DoD Component or at the National Defense University; four defense-focused leadership seminars, designed to strengthen enterprise-wide perspective and ensure application of critical leader competencies in the increasingly complex joint environment; and individual development, to fill identified competency gaps and further strengthen the enterprise perspective – this will include an experiential activity to gain enterprise-focused proficiency (e.g., a developmental assignment). Participants are paired with SESs and/or GO/FO personnel who serve as Talent Development Executives (TDEs). TDEs recommend activities for individual professional development and assess the progress of the participants.

Conclusions:

- The DSLDP program may be completed in two years while DLAMP may have taken two or more years. The department has developed and is continuing to refine metrics for the program.
- This program is inherently long-term and so it is unable to alleviate short-term needs, but the emphasis on strategy and the big-picture creates flexible graduates who should respond well to later specialized training to respond to critical department needs.
- Mentoring subordinate leaders is a key, if an informal component of military culture that has been conducted for generations. A well-designed mentoring program can enhance senior leader performance since a good mentoring relationship will center on the senior



leader mission for whom the mentee is being prepared, and dialog with the mentee can reveal uncontested assumptions or stimulate novel solutions for the mentor.

- Developing a cadre of professionals who understand the Department of Defense at an enterprise level is clearly beneficial, but just as important as educating these individuals is placing them in the leadership roles in which they can make an impact.

DEPARTMENT OF DEFENSE: JOINT OFFICER MANAGEMENT PROGRAM

The Joint Officer Management (JOM) Program aims to develop joint officers who are capable of conducting operations that employ multiservice and multifunction assets in the full spectrum of military operations and can liaison between “Joint, Interagency, Intergovernmental, and Multinational” bodies. Joint Duty education is provided through the Joint Professional Military Education (JPME), which includes two phases. Phase I is an introductory course, taught to officers around the rank of O-4. JPME II is a more intensive, in-resident course intended for O-5/6 officers. Graduates are expected to be assigned to a billet on the Joint Duty Assignment List (JDAL).

Conclusions:

- The National Defense Authorization Act for Fiscal Year 2007 overhauled the JOM Program by providing that all joint experiences, not just those on the JDAL, may count as joint “points” for gaining Joint Qualified Officer (JQO) designation. The definition of “joint” has been expanded to include not just inter-service experience, but also experience with interagency, intergovernmental, and multinational entities.
- This change has addressed many of the shortcomings with the old JOM Program by transforming it into a more flexible system for “Joint Qualified Officers” that enables credit based on the duties of the position, rather than its presence on the JDAL.
- In theory, JPME graduates should be assigned to JDAL billets—rather than occupants of JDAL billets then being sent to JPME, but in practice the latter process still occurs.
- Many junior positions are not on the JDAL because the historical sense was those officers were too junior for the experience to be relevant or educational, but this assumption should be reconsidered since junior opportunities have assumed more multiservice and multifunctional dimensions and importance (“strategic corporal”).
- Despite the important role that the Reserve Component (RC) now plays in joint matters, RC officers have less education available to them than Active Component (AC) officers. In addition, their early careers have an absence of joint assignments, and they have fewer requirements to meet on the way to joint command than their AC counterparts. The importance of joint credit to achieving Field/General Officer (FO/GO) rank may predispose services to assign only those officers deemed to have “FO/GO potential” to JDAL billets.
- With the proposed closure of the Joint Forces Command (JFCOM), the services and surviving joint institutions will be responsible for joint development. This should be monitored to ensure the program’s goals are met.

DEPARTMENT OF DEFENSE: SES CAREER LIFECYCLE MANAGEMENT

DoD Directive 1403.03 (October 25, 2007) establishes the basic principles to govern “The Career Lifecycle Management of the Senior Executive Service Leaders within the Department of



Defense.” According to the Directive, “It is DoD policy to institute a deliberate, systematic, and predictable approach to management of the career lifecycle of DoD SES leaders to produce the best civilian career leadership cadre possible.” It also establishes a corps of key SES positions that require an enterprise perspective, hereafter referred to as “enterprise positions,” and a DoD Executive Advisory Board, comprised of SES as well as general and flag officer leaders from across the DoD Components, to advise the Deputy Secretary of Defense and other DoD senior leaders on the policy and management of the SES career executives. DoD Directive 1403.03 specifies that, “The career SES corps shall be a vital part of the DoD executive leadership team, which includes Generals, Flag Officers, and politically appointed executives.”

Conclusions:

- The system employs a broad definition of relevant lifecycle experience to include service with “Joint, Interagency, Intergovernmental, and Multinational” bodies.
- Many of the stated goals of the program are hard to measure, very subjective, or both: “A performance management culture that encourages and rewards creativity, innovation, intelligent risk-taking, and critical thinking will be sustained.”

DEPARTMENT OF STATE: POLAD PROGRAM

The POLAD program, established during World War II, currently consists of three elements providing political-military linkage between the Departments of State and Defense:

- Foreign Policy Advisors (POLADs)
- State-Defense Exchange (SDE) Program
- Joint Interagency Coordinating Groups (JIACG)

POLADs serve at major U.S. military commands and provide advice on matters arising from U.S. military activities and issues that affect U.S. foreign relations, including the political implications of military planning and strategy. They serve as the principal source of counsel on international issues to their respective commanders. The current “Memorandum of Understanding (MOU) Between the Department of State and the Department of Defense in Support of the Political Advisor (POLAD) Program,” issued on June 14, 2000, specifies the responsibility of each department for the program. Under the current arrangement, the Department of State is responsible for the POLAD’s salary, representational expenses, and applicable allowances, recruitment, and assignment, and for reviewing the POLAD’s efficiency report. DoD is responsible for confirming that the POLAD selected by State is acceptable and for providing office space and supplies, work-related travel and administrative support, representational expenses not covered by State’s allowance, on-post housing, access to DoD schools and medical care while overseas on a State reimbursable basis. Following a recommendation in 2004 by the OIG, the State Department established an Office of the POLAD Coordinator (PM/POLAD), headed by a senior Foreign Service Officer (FSO), to support the community of POLADs. The POLAD Program has been expanding in recent years at DOD’s request to address the needs of both the Departments of Defense and State. As of July 2010, State listed 86 POLADs. It is recruiting more people in general, and more junior people in particular, into the POLAD program in order to use it as a quasi-training and development opportunity. All POLADs take orientation courses at the DOD Foreign Service Institute to train them in the procedural as well as the



substantive requirements of their position (e.g., the two-day PT-221—“Foreign Policy Advisors Orientation Course”; this course is open to military officers assigned as Deputy POLADs).

A 2002 State-DoD MOU currently governs the program, but an updated MOU is currently being adopted to reflect the program’s recent expansion. Under the MOU, as of July 2010, DoD currently has detailed 65 personnel to the State Department, and the State Department has approved 120 POLAD positions (30 faculty to DoD educational institutions, and 90 foreign policy advisors to various commands). Like POLAD positions, the SDE positions are non-reimbursable and, according to the State Department, “are treated as important investments by Congress as well as State in supporting our national security.” Incumbents serve as senior foreign policy advisors or country directors, working with DoD civilians and military officers on a wide range of political-military issues

JIACG representatives serve on interagency groups that advise Commanders on civilian expertise and perspectives on foreign policy issues, such as counter-terrorism. Originally created to enhance State Department support of the Combatant Commands (COCOM) war against terrorism, the positions have evolved to support other issues as well, including humanitarian issues and other transnational matters that cannot be addressed through traditional interagency channels. State/Political/Military works with the senior POLAD at each COCOM to determine the needs of each JIACG.

Conclusions:

- A survey of POLADs conducted in September 2009 found that POLADs are satisfied with their administrative support, rating officers, communications with DoD and DoS, performance evaluations, and onward assignments. They also placed a high value on learning how to add value to their commands, developing contacts, and getting to know other POLADs.
- POLADs currently serve for no specific period of time. They are often rotated as new posts become available, and new POLADs must then become acclimated to the position and the combatant commander.
- Previous incentives for serving as a POLAD were not structured in a way to attract the best personnel. Traditionally, experience in this position did not prove particularly helpful for individuals who subsequently sought to attain high-profile ambassadorships. The POLAD service should be considered a resume builder en route to a major country ambassadorial post. This is because the State Department’s geographic bureaus nominate FSOs for vacancies allotted to career officers, and usually favor officers with recent service in their bureau. POLADs have tended to draw from the ranks of experienced FSOs who are passionate about the position, but who are nevertheless on their way out of government service. Historically, the most ambitious and talented State Department employees have passed up this position in the hope of landing a more career-enhancing assignment. The same committee that selects Deputy Chiefs of Missions is now addressing these issues, with the emphasis on making the POLAD position a developmental position and selection.



DEPARTMENT OF STATE: PROVINCIAL RECONSTRUCTION TEAMS (PRTs) IN IRAQ AND AFGHANISTAN

The Provincial Reconstruction Teams are designed to integrate civilian and military elements of national power on a small scale in the field. They should be made up of military and civilian personnel who work with the Afghan and Iraq leaders to secure stronger ties with local people through community action. Typical projects include improvements in the agricultural infrastructure, local education, the construction of municipal buildings, and other community reconstruction activities. The PRTs are organized differently in Iraq and Afghanistan. An Afghanistan Provincial Reconstruction Team (PRT) consists of about 50 to 100 personnel, with about three to four civilian workers. There are two types of PRTs currently operating in Iraq. The 11 original PRTs were created in 2005. The 13 PRTs created in 2007 are called ‘embedded PRTs’ (e-PRTs), which were embedded in Brigade Combat Teams and Regimental Combat Teams.

Conclusions:

- The creation of PRTs in Afghanistan appears to have been an ad hoc response designed to produce local improvements in security, reconstruction, and the authority of the central government.
- Initially, the concept has not been well-integrated with larger coalition efforts in either country.
- Currently both Iraq and Afghanistan PRTs do not have a clear chain of command. The National Security Presidential Directive-44, released in 2005, created the interagency guidelines for stabilization and reconstruction methods, but confusion still remains. Directive-44 established the U.S. Department of State as the lead agency but enjoined it to work closely with the Department of Defense.
- The differing organizational cultures within PRTs have at times produced tensions between civilian, military, and non-governmental personnel participating in PRT activities. For example, military involvement in development brought criticism from relief agencies that claimed it put them at risk by blurring the distinction between combatants and humanitarian workers.
- The PRTs’ ill-defined and limited mandate often hampered coordination and unity of effort. Their unclear responsibilities and authorities have frequently prevented effective interagency cooperation. Scarce, disproportionately distributed resources and limited training has also frequently hindered coordination and led to an overrepresentation of the military in field-based decision-making.
- Nonetheless, PRTs have often served valuable functions in Iraq and Afghanistan due to the flexibility of the approach and the development of good interpersonal relationships between civilian and military personnel, which has occurred on some teams.

DEPARTMENT OF STATE: OFFICE OF THE COORDINATOR FOR RECONSTRUCTION AND STABILIZATION

The Department of State created its Office of the Coordinator for Reconstruction and Stabilization (S/CRS) in 2004. It was established to lead, coordinate, and institutionalize U.S. government civilian capacity to prevent or prepare for post-conflict situations as well as to help



stabilize and reconstruct societies in transition from conflict or civil strife, so they can reach a sustainable path toward peace, democracy, and a market economy. The Office works with eight civilian agencies and the military to provide the U.S. Government with deployable civilian teams for reconstruction and stabilization that can embed with the military or operate independently. In 2008, S/CRS was officially authorized to develop a Civilian Response Corps, a three-tier system of deployees.

- An Active Response Corps with 117 current full-time members, 264 expected by end of Fiscal Year 2010, to serve as the “expeditionary arm of the DoS” and provide a pool of trained personnel for immediate deployment to a failed or failing state crisis worldwide. The Active Response Corps consists of experts in the rule of law, planning/operations/management, diplomacy/governance, diplomatic security, economic recovery, and essential services.
- A Stand-by Reserve Corps with 924 current members, expected to be 1,000 by end of Fiscal Year 2010, composed of active duty and retired Foreign Service personnel. These personnel receive stabilization and reconstruction training and are deployable within 30 days to six months.
- A Civilian Reserve Corps with an expected capacity of 2,000 volunteers. The reserve sector is composed of over 2,000 personnel from private sectors as well as state and local governments and they have unique skill sets that are not found within the federal government.

Conclusions:

- Guidance on the roles and responsibilities of State’s bureaus and offices is unclear and inconsistent, and the lack of an agreed upon definition for what constitutes stabilization and reconstruction operations (SRO) poses an obstacle to interagency collaboration.
- The FY 2009 National Defense Authorization Act authorized creation of a Center for Complex Operations (CCO). In December 2008, the Reconstruction and Stabilization Integrated Policy Committee approved a concept of the interagency hub located at the CCO, with the S/CRS as the policy lead. It is to develop a Best Practices Working Group (BPWG) as a pilot program to improve the interagency civilian-military lessons learned processes.
- A funding mismatch exists between DoD and the rest of the civilian agencies involved in SRO. The Department of State and (DoS) U.S. Agency for International Development (USAID) often lead stabilization and reconstruction efforts, but lack the capacity to lead and staff operations. DoS/USAID is not currently organized or resourced to rapidly respond to crises that require a large deployment of people due to personnel, funding, and other resource limitations.
- The domestically oriented civilian departments or agencies are not structured for, nor capable of, rapid action and major contribution of personnel or expertise to SRO actions.
- At least eight separate congressional committees deal with stabilization and reconstruction issues, which makes coordinating funding a particular challenge.

DEPARTMENT OF STATE: NSELS AND STAFF LEVEL PILOT

The National Security Executive Leadership Seminar (NSELS) is an elite policy forum and networking opportunity for rising leaders (GS-15/FO-1/O-6 and above) from across the



interagency foreign affairs community. Centered on the President's *National Security Strategy*, the Seminar helps participants apply leadership skills to their daily work in policy formulation and policy implementation.

The Foreign Service Institute, as the training facility for the Department of State and the larger foreign affairs community, piloted the first NSELS in the spring of 2007. Due to the importance of this topic, State recruited some senior government executives as speakers and presenters. The group also heard noted leaders from think tanks and NGOs, as well as from academia and the private sector. The second NSELS ran from October 2007 through January 2008. Since then there have been six additional sessions which met in monthly two-day modules. In fiscal year 2009/10, FSI expanded to three overlapping sessions of NSELS (6, 7, & 8) due to the growing interest in this seminar from the interagency and from State Department bureaus. Three sessions will again occur in 2010 and 2011.

The goal of the seminar is to build interagency understanding and synergy on a number of issues critical to our country. These include:

- Changes in national security paradigms resulting from today's challenging global environment
- The international cultural context that affects the advancement of American interests
- Personal leadership skills that are crucial to transformational diplomatic efforts

Approximately half of the seminar's 30 participants come from the State Department and half from other foreign affairs agencies, including (though not limited to) DoD, ODNI, DHS, USAID, Treasury, Commerce, Justice, and Agriculture.

The course is structured for 10 days total, with five two-day modules spread out over a five-month period. The Seminar's costs are built into the FSI Budget. FSI does not charge participants, but State asks for in-kind contributions, such as providing speakers and possibly a class visit to the facilities of the other institution. Invitations are sent to DoS Bureaus and other agencies to nominate personnel to attend. A selection process at FSI chooses the final 30 participants.

DEPARTMENT OF HOMELAND SECURITY: DHS CAPSTONE PROGRAM

This is a very new program that has just begun design and has not yet been implemented. Specifically, in May 2010, the DHS Secretary created a program office in the Office of the Chief Human Capital Officer dedicated to establishing an integrated Department-wide Leader Development Program in order to strengthen leader effectiveness across the enterprise, and to establish unified standards, practices, and goals for development of leaders at all levels. As part of the implementation of a DHS Leader Framework, a new "Executive Capstone" program is planned, to begin to build a unified and consistent learning and acculturation experience for senior executives from across the Department.

Beginning in the third quarter of fiscal year 2011, this cohort-learning program will be required for all new SES appointments, and will feature a curriculum that highlights the critical roles of organizational stewardship, results-focus, fostering workforce engagement, strategic



management acumen, jointness, and homeland security discipline expertise, both within DHS and across the interagency. According to DHS, the Capstone program will draw upon best practices found in similar best of breed executive development programs, and feature learning experiences that are unique to DHS as well. The program will feature executive level development through classroom, online, action learning, site visits, simulations, and rotations, strengthening both individual skill sets for individual leadership effectiveness and create a sense of "one DHS" stewardship by exposing participants to deeper understanding of other components, disciplines, and challenges beyond their immediate organizations, and building networks for solutions thinking and partnership.

Under the guidance of the Leader Development Program office, a Leader Development Working Group with representation from across the enterprise is in the beginning stages of planning development and implementation of the Capstone Program, to eventually include policies, practices, curriculum, and measurable objectives.

Conclusions:

- The Capstone Program will serve as a tool in the evolution of moving from stovepipe leadership behaviors, to a more unified leadership culture with increased leader effectiveness and continuous pipeline of senior executive talent.
- As part of the overall integrated Leader Development Program, the Capstone, along with One DHS programming across the leader spectrum, ultimately impacts the development of an engaged workforce who is ready, able, and supported in executing the vital mission in safeguarding our Nation today and into the future.

DEPARTMENT OF HOMELAND SECURITY: DHS PLANNERS' QUALIFICATION PROGRAM

The Department of Homeland Security has created a National Security Professional Development program to meet the requirements set forth in Executive Order 13434. A part of that effort addresses planning, which has been determined to be a core capability for National Security Professionals at the GS-13 through GS-15 levels. The National Planners Course series of courses currently consists of four existing courses and a planner's qualification course/program under development. Specifically, the courses are:

- DHS/DoD Homeland Security/Homeland Defense Introduction to Planning Course (3 days)
- National Planners Course (5 days)
- Train the Trainer National Planners Course (4 days)
- Executive Level National Planners Course (4 hours)

A planning qualification and certification program does not exist for DHS professionals to achieve planning acumen. It is under development by a combined effort from the DHS Offices of the Chief Human Capital Office and Operations Coordination and Planning.

The development of the National Planners Courses stems from requirements listed in: the Homeland Security Act of 2002, the Homeland Security Council (HSC) Hurricane Katrina Report, Homeland Security Presidential Directives 5, 8 (with Annex I), the National Response Framework, and the National Incident Management System. Based on these fundamental



documents, the National Planners Courses (NPC) established and trained over 1,200 Federal, State and local government and non-governmental organizations planners since August 2006. In the future, the NPC courses will adhere to Homeland Security Presidential Directive 8 (revision is in progress by National Security Staff), the National Response Framework, the National Incident Management System, Comprehensive Preparedness Guide 101 and related DHS directives concerning the planning function.

Prior to August 2010, records were kept on graduates from the NPC, but no tracking of the graduates was conducted. Starting in August 2010, DHS Office of the Chief Human Capital Officer teamed with the DHS Office of Operations Coordination to sponsor the course and established a registrar function, which will track personnel in the future.

Conclusions:

- Overall the program has moved forward and training has occurred.
- Course content is being tweaked to address feedback from participants.
- The lack of a clear dedicated source of funding has resulted in difficulties finding instructors, scheduling classes, and managing the program.
- Unclear support from Executive Branch and within DHS has slowed program implementation.

DEPARTMENT OF HOMELAND SECURITY: NSPD EXECUTIVE CURRICULUM

The NSPD Executive Curriculum was envisioned in 2008 as the fourth level of DHS/NSP training and development program. The key objectives of the development were to ensure current and future national security professionals:

- Understand the organizational cultures and objectives as well as mission requirements of partner offices and agencies.
- Grow through professional development opportunities which transcend organization, levels of government, and specific national security disciplines.
- Improve the overall capability to safeguard national security in a dynamic risk environment, as well as to plan and execute coordinated, effective national security operations.

Detailed criteria and requirements for the executive level of qualification include joint interagency executive development and completion of executive leadership development courses. Time and experience factors for this level are to be developed. Program metrics are also under development.

DHS officials note that the original size of the DHS NSPD community is being adjusted in response to the Quadrennial Homeland Security Review, the Bottom-Up Review, and the new NSPD Interagency Policy Committee (IPC) definition for National Security Professionals. Four DHS NSP Orientations were held through September-October 2008.

**Conclusions:**

- DHS officials have noted that because of the 12-15 month “strategic pause” since the 2009 Transition in Government, this program has not progressed beyond the 2008 birth and planning stages.
- In addition, because of the “strategic pause” and competing priorities, additional resources have not been allocated to support the formation of an internal DHS HS-NSP governance body to develop the policies, incentives or the required support infrastructure to support, sustain and/or advance this effort.

OFFICE OF THE DIRECTOR OF NATIONAL INTELLIGENCE: NATIONAL COUNTERTERRORISM CENTER’S DIRECTORATE OF STRATEGIC OPERATIONAL PLANNING

Established in 2004 within the National Counterterrorism Center (NCTC), the Directorate of Strategic Operational Planning (DSOP) is the nation’s first dedicated, whole-of- government planning cell for counterterrorism. Recommended by the 9/11 Commission and enacted by the Intelligence Reform and Terrorism Prevention Act (IRTPA), DSOP was chartered to provide the “connective tissue” between national counterterrorism policy and strategy established by the President, normally via the National Security Council system, and counterterrorism operations conducted by the departments and agencies.

Conclusions:

PNSR in its report on DSOP issued in February 2010 raised several issues with the program.²¹² Although it noted that “Overall, DSOP has made progress in fulfilling its mission to provide the “connective tissue” between national counterterrorism policy and strategy, established by the president and the National Security Council system, and counterterrorism operations, conducted by the departments and agencies”, the report outlined the following concerns:

- Stakeholders have varying degrees of awareness of DSOP’s activities, and the value-added of DSOP to its customers is not universally understood.
- DSOP’s relationship with the National Security Staff is not well institutionalized
- Overlapping authorities in the counterterrorism system have inhibited planning and operations.
- Current congressional committee structures are not equipped to oversee and empower interagency mechanisms, such as NCTC, which results in confused jurisdiction and inadequate support.
- Current means to prioritize resources and investments in capabilities are inadequate.
- The counterterrorism community lacks sufficient civilian capacity -- particularly in the core competencies of strategic planning and assessment.

²¹² Project on National Security Reform, *Towards Integrating Complex National Missions: Lessons from the National Counterterrorism Center’s Directorate of Strategic Operational Planning* (Arlington: PNSR, 2010) http://www.pnsr.org/data/files/pnsr_nctc_dsop_report.pdf.



OFFICE OF THE DIRECTOR OF NATIONAL INTELLIGENCE: JOINT DUTY

In response to the Intelligence Reform Act of 2004, Intelligence Community Directive (ICD) 601 dated May 16, 2006 discussed joint duty in terms of assignments to the intelligence community. Then Intelligence Community Policy Guidance 601.01 dated June 25, 2007 stipulated that joint duty assignments were required for promotions to senior IC promotions. The requirements were phased beginning in October 2007 with the requirement that individuals promoted to positions that directly reported to an IC head needed to have a joint duty assignment to October 2010 when all promotions to any senior IC position required a joint duty assignment.

Conclusions:

- According to participants at the Bipartisan Policy Center’s State of Intelligence Reform Conference in April 2010²¹³, the Joint Duty program needs maturation and possibly augmentation. The authorities were modeled on the Goldwater-Nichols Act of 1986 that has—over time—successfully promoted joint-minded military personnel in the Defense Department. The IC’s efforts to implement a similar program—moving intelligence officers among intelligence agencies to broaden their understanding of the IC’s capabilities and integrate the various elements—have made important strides; however, not all identified joint duty positions have provided real experience in the capabilities and the culture of other agencies.
- According to a March 2010 article in *Studies in Intelligence*, many intelligence professionals become joint-qualified without ever serving outside their home agencies.²¹⁴ The CIA, NGA, and NSA each has more than 500 internal positions that are joint-duty qualifying (i.e., the incumbents and certain predecessors are “joint qualified” simply by virtue of having been in the positions).

Two former directors at the conference noted that the “Joint Duty” program needs to be strengthened.

²¹³ Bipartisan Policy Center, *Bipartisan Policy Center’s State of Intelligence Reform Conference: Summary of Proceedings*, (Washington D.C.) April 6, 2010, accessed October 2010 <http://bipartisanpolicy.org/sites/default/files/Summary%20of%20Intel%20Conference%20for%20Release%20051910.pdf>.

²¹⁴ Patrick C. Neary, “Intelligence Reform, 2001–2009: Requiescat in Pace?” *Studies in Intelligence* Vol. 54, No. 1, March 2010, accessed October 2010 <https://www.cia.gov/library/center-for-the-study-of-intelligence/csi-publications/csi-studies/studies/volume-54-number-1/PDFs-Vol.-54-No.1/U-%20Studies%2054no1-IntelReform2001-2009-Web.pdf>.



7.4 APPENDIX D: LESSONS LEARNED FROM MAJOR EFFORTS

FEDERAL EMPLOYEES RETIREMENT SYSTEM (FERS)

The Federal Employees Retirement System (FERS) changed the federal retirement system from a defined benefit to a defined contribution system and significantly reduced the federal government's long-term unfunded liability for retirement benefits;

In 1983 the Reagan Administration identified a significant and unsustainable unfunded liability in the Civil Service Retirement System. At that time the unfunded liability was estimated to be \$500 million dollars and expected to grow substantially as the baby boomer generation reached retirement age. There was heated and vigorous debate on both sides of the issue. Ultimately, in response to this identified issue, Congress created the Federal Employees Retirement System (FERS) in 1986, and it became effective on January 1, 1987. The new system has three components – a basic civil service benefit, a social security component, and an opportunity to contribute to and ultimately receive the benefits from a Thrift Savings Plan. Implementation of the new system had three key components – current employees were provided with substantial information and education about the new system, tools with which to analyze the benefits of each system using a variety of assumptions, and the option to choose whether to stay in the Civil Service Retirement System and receive a defined benefit, or join the FERS system with its combination of a guaranteed benefit, and the opportunity for significant additional retirement through investment in the Thrift Savings Plan. Overall, and certainly in retrospect, for such a major transition, the implementation went quite smoothly. The implementation demonstrated the power of significant leadership involvement, a robust communications strategy and plan, an opportunity for those affected to test or pilot the results using a variety of retirement estimate scenarios while comparing results between remaining in the CSRS system or converting to the FERS system. While all of these were powerful influences, the single most effective implementation tool was that all current employees were given a choice – to remain under the defined benefit system or convert to the defined contribution system.

HUMAN RESOURCES AUTHORITY IN THE FEDERAL JUDICIARY

The delegation of human resources authority to Chief Judges and Court Unit Executives in the federal judiciary allowed court units to decide how to structure their organizations, classify their jobs and make trade-offs between people and materiel to achieve the strategic and operational objectives of the Court.

In the 1993 the federal judiciary examined its centrally managed human resources system and concluded that the legacy industrial age General Schedule (GS) based system was not sufficiently flexible to meet the needs of the third branch of government. With the approval of the judicial conference, the governing body of the federal judiciary, a representative advisory group was formed which included court unit executives, judges and administrative experts in human resources and budgeting. The key features of the transformation effort were:

- An analysis of the problems which results from the current human resources and budgeting systems based on discussions with all affected components of the court system
- Validation and refinement of the findings by the court advisory group



- Identification of the desired key system elements for a revised classification system and related compensation levels
- Development of the classification system with advice and assistance from the court advisory group
- Pilot testing of the system in a group of representative court units to confirm intended and unintended consequences
- Revision of the system based on the pilot court results
- Validation of the revised system by the court advisory group
- Presentation of the redesigned system to the judges' human resources committee, the executive committee and Judicial conference for approval
- Design and testing for a communications strategy and plan and an implementation strategy and plan in which the court advisory group had a lead role
- Design and testing of the training for judges and court staff. The teaching staff was a combination of judges, court executives and human resources
- Design and testing of system qualitative and quantitative metrics to use in periodic system evaluation

The new human resources system which emerged from this five-year effort was sufficiently flexible to meet the needs of the courts, which ranged from small courts with ten or fewer employees to mega courts with hundreds of employees and thousands of cases. The interim keys to success were the continued involvement of judges and court executives and the willingness of the central administrative and human resources staff to adjust the classification system design based on the results of the experience of the pilot courts. In addition the judiciary invested significant resources to assure that all affected employees from the most senior federal judge to the newest court employee were kept well informed about the progress during the system design and testing, and continued to be well informed during the training and implementation of the new system. A key success factor was that no court unit was forced to accept the delegation of human resources authority. Instead a letter was sent to the Chief Judge of each court inviting him or her to accept a delegation of human resources authority and detailing the requirements and accountability such a delegation entailed. The Chief Judge could accept the invitation or continue to receive human resources assistance from the central administrative authority for the federal courts. Initially just over 50 percent of the court units requested and received the delegated authority. Over the course of the next three years, more than 95 percent of the court units requested and received delegated authority to manage their own human resources programs.

GOLDWATER-NICHOLS ACT OF 1986

The Goldwater-Nichols Department of Defense Reorganization Act of 1986 (Public Law 99-433) resulted in the unification of operations by the military services. Over the course of the following generation, the law has driven significant improvement in military efficiency and effectiveness, especially as demonstrated in Operation Desert Storm and Operation Iraqi Freedom. U.S. joint military commanders exercise full control over assets from the military services without having to negotiate conditions for their use. The effectiveness of the Goldwater-Nichols Act has prompted many calls for legislative action to improve the interagency effectiveness of the U.S. government's departments.



The law was an attempt to fix problems caused by inter-service rivalry and lack of cooperation. These problems were well documented in studies of military performance in World War II, Vietnam, the catastrophic failure of the Iranian hostage rescue mission in 1980 and in Grenada in 1983. The Act imposed sweeping changes on the way the U.S. military forces organized. The act has had four principal effects:

- 1) Unification of the operational chain of command: Under the act, military advice to the President and Secretary of Defense is centralized in the Chairman of the Joint Chiefs. The Chairman may not exercise command over the Joint Chiefs or any of the armed forces. Regional combatant commanders exercise operational command over all assigned forces without regard to service and are responsible for their employment.
- 2) Changing the role of military services. The services retained their roles to “organize, train and equip” forces, to include the development and management of personnel. Individual services no longer conduct autonomous war-fighting activities, but remain responsible for acquisition, modernization, force-development, and readiness of individuals and units. The roles and missions of each service is assessed periodically to reduce duplication and to provide assignment of executive agency responsibilities for particular purposes.
- 3) Requirements for aligning of procurement. Although services retain primary responsibility for procurement, the Act provided requirements for joint review of service acquisition programs to ensure their requirements are compatible, avoid redundancy and that equipment will be interoperable. In selected cases, services may procure equipment together or under a lead service.
- 4) Joint duty assignments and personnel management. The Act requires all officers except those in certain technical specialties to meet “joint duty requirements” in order to be eligible for promotion to flag rank (admiral or general). The Act also assured mid-career promotion equity for officers serving in joint assignments. For an officer to become “joint qualified he or she must complete joint educational curricula approved by the Chairman of the Joint Chiefs and qualifying duty as a field grade officer in designated joint duty billets (generally on joint staffs or involved with other joint activities and serving under joint commanders) for a minimum of 36 months (waiverable to 22 months under some circumstances). Duty assigned within one’s service does not qualify for joint credit, regardless of how much contact that duty has with other services. A board validates the quality of the individual’s joint experience prior to the award of full joint duty credit. Approximately 10% of joint billets were designated “joint critical positions” requiring prior joint experience of incumbents. Initially, joint professional military education (JPME) was available at only three joint schools, but now is infused in the curriculum of service-specific war colleges and staff colleges. As a consequence of the Act, flag and general officers in joint commands and in service responsibilities are required to have qualified as joint officer specialists.

Since the enactment of the Act in 1987, legislative changes have attempted to ensure the intent of the law is fully put into effect (eliminating waivers to the Act’s requirements) and to provide for its broader application. The 2007 John Warner National Defense Authorization Act made the most important legislative changes, broadening the legal definition of “joint matters” to include interagency and intergovernmental affairs and loosening the provisions which defined the assignments that qualified for joint credit. Assignments to other departments, participation in



temporary joint task forces and brief joint assignments (such as six month combat deployments) would now be eligible for joint credit.

In general, official and unofficial reviews of the Goldwater-Nichols Act give it high marks for prompting genuine change in the ways the services interact and are employed. Some shortcomings still exist: the redundancy and size of bureaucratic staffs (the reinforcement of joint staffs and new procedures added numbers and complexity), the continuing inefficiency and expense of acquisition processes, and the general inadequacy of military education to sufficiently cultivate the development of strategists for senior command authority positions²¹⁵. Nevertheless, the combination of changes in authority and personnel management has had a lasting impact that transcends the requirements of training, education, and experience. It has changed the culture of the senior military, ensuring the best officers pursue joint assignments even though their services have not embraced their reduction in status and authority.

DOD'S NATIONAL SECURITY PERSONNEL SYSTEM

The National Defense Authorization Act of 2004 provided the legal foundation for DOD to create a pay for performance system for the majority of its civilian workforce. The National Security Personnel System (NSPS) was to transform the Department of Defense's industrial era civilian GS pay system to a more modern, flexible system which rewarded employees for their performance and contributions to achieving DOD's strategic goals and objectives rather than longevity.

The departmental leadership strongly supported NSPS, and Congress had provided authorities for DOD to implement NSPS. Deputy Secretary of Defense Gordon England oversaw broad policy. A Program Executive Office for NSPS was created to implement the system. However, while NSPS received strong leadership support, the employees in the department felt NSPS was imposed on them too brashly. The leadership was perceived as not responding to the concerns of the employees. The departmental leadership dismissed concerns from unions and the Congress. While strong leadership support advanced NSPS, its failure to respond adequately to employee concerns contributed substantially to its demise.

NSPS suffered setbacks from questions arising from the subjectivity of the ratings and pay. Many employees did not feel there was a clear and commonly understood framework for measuring the value of their work, and that NSPS seemed set up to work against clarity. For example, the pay pool process was complex and opaque. Not only were there concerns about the fairness and lack of disputation mechanisms for performance ratings, but high performing employees in low performing pay pools could receive higher bonuses than high performing employees in high performing pay pools.²¹⁶ Also, the wide latitude given by pay bands to the managers made it difficult to gauge one's rate of increase in salary as one gradually became

²¹⁵ The educational concerns are profiled in Subcommittee on Oversight & Investigations, "Another Crossroads? Professional Military Education Two Decades After the Goldwater-Nichols Act and the Skelton Panel," (U.S. House of Representatives, Committee on Armed Services, April 2010.)

²¹⁶ *Review of the National Security Personnel System*. Washington, DC: Defense Business Board, 2009, http://dbb.defense.gov/pdf/Review_of_National_Security_Personnel_System_Final_Report.pdf. See also: Wendy Ginsburg, *Pay-for-performance: The National Security Personnel System*, Washington, D.C.: Congressional Research Service, Library of Congress, pg 15, http://assets.opencrs.com/rpts/RL34673_20091218.pdf.



more senior.²¹⁷ The NSPS program was never able to adjust to and address these kinds of concerns. In 2007, only 23 percent of NSPS employees believed that NSPS would have a positive effect on DOD's personnel practices.²¹⁸ Up to 211,000 out of DOD's 717,000 civilian employees were covered by NSPS at its most advanced stage in June 2009. The unions launched attacks on NSPS in the courts and Congressional leaders became concerned, and in the National Defense Authorization Act of 2010, NSPS was terminated.

Although NSPS was a highly detailed system and while it was well justified to stakeholders at its early stages, it failed to take into account the institutional ability of DOD to implement the system. David Walker of the Government Accountability Office warned:

*Based on our experience, while DOD's leadership has the intent and the ability to transform the department, the needed institutional infrastructure is not in place in a vast majority of DOD organizations.... In the absence of the right institutional infrastructure, granting additional human capital authorities will provide little advantage and could actually end up doing damage if the authorities are not implemented properly by the respective department or agency.*²¹⁹

The Defense Business Board's Review of the National Security Personnel System stated:

*The Department wanted to use its civilian workforce talent more effectively but it did not establish a center of excellence whose director would have a place at the resource discussions. Similarly, the Department did not systematically develop and encourage a supervisory cadre prior to NSPS.*²²⁰

NSPS was implemented much too quickly. It was "too much, too fast."²²¹ While NSPS had been implemented in "spirals," the implementation plans were never adjusted to address the lessons learned from each spiral and the concerns expressed by the employees.

Not only did DOD have to implement new personnel practices, but it also had to redefine the experience of having a career in the department. Managers and employees who were accustomed to the well-defined GS system had no reference points for measuring their value in NSPS. Employees lacked confidence in the performance rating system. While DOD prepared many training programs and provided significant information to employees, and had even provided a clear strategic rationale for a pay-for-performance system, this particular aspect of NSPS – establishing the norms in the relationship between performance and value – seemed never to achieve resonance with employees, and the agency leadership did not recognize that closing this gap was fundamental to system success and acceptance by employees.

²¹⁷ *Review of the National Security Personnel System*. Washington, DC: Defense Business Board, 2009, http://dbb.defense.gov/pdf/Review_of_National_Security_Personnel_System_Final_Report.pdf.

²¹⁸ *Human Capital: DoD Needs to Improve Implementation of and Address Employee Concerns about Its National Security Personnel System*, Washington, D.C.: GAO, 2008, <http://www.gao.gov/highlights/d08773high.pdf>.

²¹⁹ *Post hearing Questions Related to Proposed Department of Defense (DOD) Human Capital Reform*, Washington, D.C.: GAO, 3 July 2003.

²²⁰ *Review of the National Security Personnel System*. Washington, DC: Defense Business Board, 2009, pg. 8, http://dbb.defense.gov/pdf/Review_of_National_Security_Personnel_System_Final_Report.pdf.

²²¹ *Review of the National Security Personnel System*. Washington, DC: Defense Business Board, 2009, pg. 6, http://dbb.defense.gov/pdf/Review_of_National_Security_Personnel_System_Final_Report.pdf.



DOD had an extensive communications effort to explain and describe NSPS, to include informational material and training courses. It even had several channels and opportunities for input and feedback. However, the department had not acted on addressing the key employee concerns.

At higher levels, there was much less communication. For example, Congress had legislated that the Secretary of Defense and the Director of OPM provide DOD employees and their representatives a description of NSPS with at least 30 days to review and make recommendations. This was not done, and even Congressional criticism fell to deaf ears.²²²

²²² Wendy Ginsburg, *Pay-for-performance: The National Security Personnel System*, Washington, D.C.: Congressional Research Service, Library of Congress, pg 5, http://assets.opencrs.com/rpts/RL34673_20091218.pdf.



7.5 APPENDIX E: UNIONS AND LABOR MANAGEMENT – BACKGROUND AND EXAMPLES

OPM lists more than 90 national and international unions and associations, which have—either directly or through local units—exclusive recognition within departments and agencies of the Executive Branch of the Federal Government and the U. S. Postal Service. Of these 80-plus agencies, eight are unions that represent federal civilian employees. Three unions in particular—the American Federation of Government Employees (AFGE), the National Federation of Federal Employees (NFFE), and the National Treasury Employees Union (NTEU)—have the largest membership and play the most dominant role at the federal level. In addition, several organizations like the Federal Managers Association and the Professional Managers Association represent managers and supervisors. The Senior Executives Association represents members of the SES and the National Active and Retired Federal Employees guards the federal retirement system for retirees and active workers interested in retirement benefits and issues.

STATUTORY FRAMEWORK

The primary statute governing non-postal, civilian, federal sector labor-management relations is the 1978 Federal Service Labor Management Relations Statute (FSLMRS). The FSLMRS is a component of the Civil Service Reform Act (CSRA) and grants most General Schedule (GS) and wage-grade (WG) employees the right to unionize and bargain collectively.²²³ The scope of bargaining includes items pertaining to: personnel policies, practices, and matters affecting working conditions²²⁴. Issues such as pay and benefits are set by statute and are therefore, not included within the scope of bargaining. This is a key distinguisher between the FSMLRS and the National Labor Relations Act, which applies to the private sector. The table below provides a summary of key provisions of the statute.

Figure 22: Key FSLMRS Provisions²²⁵

Key FSLMRS Provisions	
Employee Rights	<i>to form, join, or assist any labor organization, or to refrain from any such activity...such right includes the right...to engage in collective bargaining with respect to conditions of employment...</i>
Scope of Bargaining	<i>'conditions of employment' means personnel policies, practices, and matters, whether established by rule, regulation, or otherwise, affecting working conditions, except...to the extent such matters are provided for by Federal statute...</i>
Strike Prohibition	<i>it shall be an unfair labor practice for a labor organization...to call, or participation in, a strike, work stoppage, or slow-down, or picketing of an agency in a labor-management dispute if such picketing interferes with an agency's operations...</i>

²²³ *Rights and Responsibilities: Under the LMRDA and CSRA*. U.S. Department of Labor, Office of Labor Management Standards, 2009.

²²⁴ Bennett, James T. & Masters, Marick F., *The Future of Public Sector Labor-Management Relations: Part II -- The Federal Sector*, Journal of Labor Research, Volume 25, Issue 1 (2004), Transaction Publishers, page 3.

²²⁵ Source: Bennett, James T. & Masters, Marick F., *The Future of Public Sector Labor-Management Relations: Part II -- The Federal Sector*, Journal of Labor Research, Volume 25, Issue 1 (2004), Transaction Publishers, Page 5.



Management Rights	<i>to determine the mission, budget, organization, number of employees, and internal security practices of the agency; and...in accordance with applicable laws...to hire, assign, direct, layoff, and retain employees in the agency, or to suspend, remove, reduce in grade or pay, or take other disciplinary action against such employees.</i>
Impasse Resolution	<i>If voluntary arrangements, including the services of the Federal Mediation and Conciliation Service to any other third-party mediation, fail to resolve a negotiation impasse...either party may request the Federal Services Impasses Panel to consider the matter, or...the parties may agree to adopt a procedure for binding arbitration of the negotiations impasses, but only if the procedure is approved by the panel</i>

The FSLMRS statute applies to most agencies of the executive branch of the federal government, their employees, and the unions that represent such employees. It also covers non-appropriated fund instrumentalities of the armed forces, employees of the Library of Congress, and the Government Printing Office. The Foreign Service Act extends the same coverage to labor organizations representing members of the Foreign Service in the Department of State.

Specific agencies excluded from coverage are the Federal Bureau of Investigation, the Central Intelligence Agency, the National Security Agency, the Tennessee Valley Authority, the Federal Labor Relations Authority, and the Federal Services Impasse Panel. In addition, it excludes employees engaged in intelligence-related work and involved with national security from union protections. It also grants the president the right to exempt certain employees or agencies for similar reasons.

BARGAINING REPRESENTATION

Although a union represents most non-supervisory/non-managerial white collar and blue-collar federal employees, most of them are not members. The Wall Street Journal estimates that 35 percent of the federal workforce belongs to unions²²⁶. This relatively low membership is a result of the federal government's right-to-work policy, which allows an employee to determine whether he or she wants to join a union. Other reasons include an unwillingness to pay dues and dislike of the unions²²⁷. Only a few federal operations, the U.S. Postal Service and the Tennessee Valley Authority and some smaller operations have a high percentage of union members.

With more than 2,199 units scattered across approximately 100 departments and agencies, the structure of bargaining appears highly decentralized. However, a large share of the units lies in a few departments and is covered by three main unions: the American Federation of Government Employees, the National Federation of Federal Employees, and the National Treasury

²²⁶ Levy, Angela N. *A Look at Federal Employee Unions*. February 2, 2009. http://ohmygov.com/blogs/general_news/archive/2009/02/02/a-look-at-federal-employee-unions.aspx.

²²⁷ Federal News Radio, *Pay Freeze as Union Recruiting Tool*, June 1, 2010, <http://www.federalnewsradio.com/?nid=20&sid=1969498>.



Employees Union. Most of their units operate in four main departments: Defense, Veterans Affairs, Treasury, and Homeland Security.²²⁸

Federal agency managers have a wide range of changes they can make in the workplace without requiring agreement by the union. This includes a whole array of matters regarding the agency budget, the organizational structure, the assignment of work, the direction of employees, internal security, and other issues. But, under current law, agencies must bargain, if the union requests, over such things as the procedures that will be used and appropriate arrangements for employees who are adversely affected by the management action. This is an important safeguard that promotes workplace harmony and efficiency and restrains abusive workplace practices.

Figure 23: Union Representation in the 13 Agencies

	NFFE	NTEU	AFGE
Department of Commerce	x	x	x
Health and Human Services		x	x
ODNI			
Department of Defense	x		x
Department of Homeland Security		x	x
Department of Interior	x	x	x
Department of State	x		x
USAID			x
Department of Agriculture	x	x	x
Department of Treasury		x	x
Department of Energy		x	x
Department of Justice		x	x
Department of Transportation			x

RECENT CHANGES TO LABOR-MANAGEMENT RELATIONS

In 1991 the Government Accountability Office published a report criticizing the state of labor-management relations. They condemned the federal labor management relations program for fostering unhealthy conflict that undermined effective government performance. In response, President Clinton—as part of the reinventing government initiative—issued Executive Order 12871, mandating the creation of labor-management partnerships across the federal government. The goal was for these partnerships to serve as a tool for transforming adversarial labor-management relations to one of collaboration and cooperation. Executive Order 12871 expanded the scope of collective bargaining by requiring agency heads to negotiate items statutorily designated as “permissive.” These items included, “the numbers, types and grades of employees or positions assigned to any organizational subdivision, work project or tour of duty, or on the technology methods and means of performing work”²²⁹.

Partnership increased the voice and power of the unions, an issue that sparked a lot of controversy. A month into his presidency, President Bush signed Executive Order 13203, which rescinded the Clinton partnership mandate. The goal of this order was to provide managers with

²²⁸ Bennett, James T. & Masters, Marick F., *The Future of Public Sector Labor-Management Relations: Part II -- The Federal Sector*, Journal of Labor Research, Volume 25, Issue 1 (2004), Transaction Publishers, Page 2

²²⁹ Bennett, James T. & Masters, Marick F., *The Future of Public Sector Labor-Management Relations: Part II -- The Federal Sector*, Journal of Labor Research, Volume 25, Issue 1 (2004), Transaction Publishers, Page 6.

flexibility in deciding when it was appropriate to engage with unions. The new Order did not eliminate the parties' voluntary option to exercise the type of labor-management process, including collaboration that was most effective for them. Rather, the Bush administration believed that repeal of the prior Order made it even more important for the parties to strategically analyze the collective bargaining relationship and be able to recognize circumstances which determine whether a traditional or collaborative labor-management interaction was more likely to be effective²³⁰.

In December 2009, President Obama signed Executive Order 13522 that re-established government wide labor-management partnerships. The stated purpose of the order is to “establish a cooperative and productive form of labor-management relations throughout the executive branch.”²³¹ In addition to requiring labor-management forums at the agency level, the order creates a national council on federal labor-management relations, led by the Deputy Director of management for the Office of Management and Budget and director of the Office of Personnel Management.

The order restores requirements in effect during the Clinton administration and requires that agencies provide labor groups with “pre-decisional” information on workplace matters, including those not subject to collective bargaining. But the Obama draft differs in several respects, including avoiding the term “partnership,” which became a key word in the Clinton administration.

The order differs from the Clinton order in the following ways²³²:

- It makes bargaining over so-called “permissive subjects” mandatory for all federal agencies. Those subjects normally are not liable to negotiation in the federal sector; they include issues such as the number and qualifications of employees assigned to work on projects, the technology involved and work methods.
- The Clinton executive order instructed agency heads to “negotiate over the [permissive] subjects...and instruct subordinate officials to do the same.” However, Obama's draft order goes a step further by requiring that agencies negotiate “permissive subjects” at a national level.²³³
- Unlike Clinton's order, Obama's proposal will not require labor and management representatives to be trained in consensus-based bargaining techniques, including dispute resolution methods, and interest-bargaining approaches.

Obama's proposal will also change the composition of the council charged with overseeing government-wide labor-management cooperation. The director of the Office of Personnel Management will still chair the panel; however, the draft will eliminate the seats Clinton set aside for the Deputy Secretary of Labor, Director of the Federal Mediation and Conciliation

²³⁰ Kirkner, Rob and Sharfstein, Steve, *Aligning Traditional Collective Bargaining with Non-Traditional Labor Relations*.

²³¹ Executive Order 13522—Creating Labor-Management Forums to Improve Delivery of Government Services, December 11, 2009.

²³² Rosenberg, Alyssa. *Obama Labor Relations Proposal Draws Praise*. August 14, 2009. Government Executive. <http://www.govexec.com/dailyfed/0809/081409ar1.htm>.

²³³ Ibid.



Service, and head of the AFL-CIO's public employees division. The President of the International Federation of Technical and Professional Engineers as well as representatives of the Senior Executives Association and the Federal Managers Association will replace those members. That draft will include a seat for another federal employee union. (The American Federation of Government Employees, National Treasury Employees Union, and National Federation of Federal Employees would retain the seats Clinton granted them.)

In addition, the order requires the council to create pilot programs that would test bargaining over permissive subjects in a small group of agencies. The council will evaluate programs, which must be established within 150 days of the date of the order. The council will dissolve in two years.

As of September 21, 2010 eight pilot projects are underway in specific parts of agencies. They include, Marine Corps Pendleton, the Department of Veterans Affairs, Office of Personnel Management, and the Federal Emergency and Response Agency (FEMA).

LESSONS LEARNED FROM MAXHR AND NSPS

In 2003, following 9/11 the Bush administration pushed for the creation of new personnel systems to replace the General Schedule system. Two such systems were the National Security Personnel System (NSPS) in the DoD and the MaxHR in DHS. These two systems:

*contained significant changes in procedures for taking disciplinary actions, and for rights of appeal, obligations to bargain with unions, roles of third party agencies, and most significantly, in adopting pay for performance and new performance appraisal systems*²³⁴

By October 2009, both systems had been terminated: a combination of controversies and the challenges of implementation led to their demise. Both agencies were forced to return thousands of their employees back to the GS system.

The labor unions played a key role in the demise of both systems. The key concerns raised by the unions were the increased limitations to their bargaining rights, lack of transparency in procedures of implementation, unclear guidance and communication on the criteria for evaluating performance, and making payouts. Central to these concerns was the perceived lopsided labor-management relationship that MaxHR seemed to impose by giving management more power and authority without corresponding and appropriate accountability.²³⁵

²³⁴ Haga, Barbara I., Richman, Roger, Leavitt, William. "System Failure: Implementing Pay-for-Performance in the Department of Defense's National Security Personnel System" *Public Personnel Management*, September 22, 2010, accessed October 2010
<http://www.thefreelibrary.com/System+failure%3A+implementing+pay+for+performance+in+the+Department+of...-a0237304535>.

²³⁵ Haga, Barbara I., Richman, Roger, Leavitt, William. "System Failure: Implementing Pay-for-Performance in the Department of Defense's National Security Personnel System" *Public Personnel Management*, September 22, 2010, accessed October 2010
<http://www.thefreelibrary.com/System+failure%3A+implementing+pay+for+performance+in+the+Department+of...-a0237304535>.



The experience of MaxHR and NSPS are an indication that the implementation of an INSP system, along with the incentives needed to support it will have to be transparent and fair. Clear definitions and criteria need to be established to ensure that all stakeholders understand how personnel are designated as NSPs, what are the selection criteria for rotational assignments and other professional development, as well as how promotions and performance evaluations will be made.





7.6 APPENDIX F: KEY ISSUES REGARDING THE QUALIFICATION SYSTEM

Timelines: The central challenge is to raise the importance of an integrated effort that effectively crosses organizational boundaries while adapting the system to the realities of widely varying opportunities for service across boundaries. Given that some circumstances present significant limitations on continuous service on an exchange basis, six months is the minimum time that could be expected to be required. Six months also provides flexibility to include short-term emergency response and recovery missions and duty to hardship/hazardous locations. While this allows for flexibility to reach the “experienced” level, it is not sufficient for “mastery.” As more opportunities are provided to individuals and more flexible options are provided for lengthier cross-boundary experiences, then longer periods of experience (1 year or more) should be required for “experienced.” In some cases – especially intra-agency – there is already opportunity and need for longer assignments, such as joint tours within DoD.

Responsibility: There is a need for balance that allows for individuals to have sufficient expertise in one or more technical disciplines, to obtain “integrated” experience at many points during their career and for individuals to demonstrate significant levels of leadership and responsibility in cross-boundary work. Consequently, no experience would qualify until the individual is a “professional” (GS-12 and above), and experience to have “mastery” would need to be at a higher level (GS-14 and above).

Management of the System: There is a need for top-level management of core content for all levels and for qualification of the “mastery” and “senior executive” levels. Department level management could be appropriate, or the “familiarity” and “experienced” levels (especially as many individuals would qualify based on intra-agency experience). To ensure the highest levels of the system are optimized for needs beyond departments, the “mastery” and “senior executive” levels must be centrally managed by the Board with participation or decision-making being tied to the involvement of senior NSPs who are already qualified at the “mastery” and “senior executive” levels. Given that the number of individuals who achieve “mastery” will be modest, a management system is needed at the Board with visibility on all individuals at the “mastery” level. Also, given that the number of individuals with “senior executive” credentials will be few, these individuals might be good candidates to be interagency assets with central funding and assignment from the President or his designee to be placed at will in any assignment within the national security system for which they are also qualified, based on technical capabilities.

Implementation: The use of levels should be implemented as quickly as possible. However, recognizing the limited opportunity for individuals to actually serve in such capacities, phasing in expectations for them to do so in tandem with expanded opportunities is necessary. Care will also be needed in working out guidelines for recognition of appropriate experiences prior to the implementation of the program.



7.7 APPENDIX G: PROGRAM EVALUATION GRID (PEG)

7.7.1 PEG FRAMEWORK

Figure 24: PEG Framework

<u>Dimension</u>	<u>Description of Dimension</u>	<u>Criteria – 1</u>	<u>Criteria – 2</u> (Green/Amber/Red)
SCOPE (Task 2.3)			
Mission	To which national security missions is the model designed to contribute? (e.g., counterterrorism, post-conflict reconstruction)?	1. One mission 2. Multiple missions 3. All national/ homeland security missions	
Size	What is the numerical scope of the system? How many participants?	1. < 250 2. 250 – 1,000 3. 1000 – 5,000 4. 5,000 – 10,000 5. 10,000 – 15,000 6. > 15,000	
Organization	Which organizations (interagency, intergovernmental, etc...) does the model include?	1. Intra-agency 2. Interagency 3. Intergovernmental 4. Private sector or NGO community 5. International community	
Geography	Where are participants (individuals and organizations) located (e.g., in Washington; in the field domestic; in the field abroad, etc...)?	1. Washington, D.C. 2. Domestic field 3. Foreign field	
Functions	What functions do participants perform (e.g., all “end-to-end processes”; issue of inherently governmental functions tied to organizational dimension and raises the issue of contractors, etc...)?	1. Policy 2. Strategy 3. Linking strategy with resources 4. Planning 5. Execution/implementation 6. Oversight 7. Evaluation	
ATTRIBUTES AND CHARACTERISTICS			
<i>System Attributes</i>	What (if identified) are the desired attributes for the overall model?	1. Defined 2. Not defined	
<i>Individual Attributes / Competencies</i>	What (if identified) are the desired attributes / competencies for individual participants?	1. Defined 2. Not defined	
<i>Position vs. Person-based</i> (Task 2.3)	Is the system position-, person-based, or a combination of the two?	1. Position-based 2. Person-based	
DURATION			
<i>Duration of system</i> (Permanent or temporary)	Is the model permanent or temporary? (e.g., full time cadre; a reserve/surge capacity; a hybrid like CRC, etc...)?	1. Steady State 2. Crisis-oriented 3. Permanent 4. Temporary	
<i>Duration of assignments</i> (Task 2.3)	For what length of time do individuals participate?	1. < 2 Wks 2. 2 Wks – 12 Wks 3. 12 Wks – 52 Wks 4. 1 Yr – 2Yrs 5. > 2 Yrs 6. Varies	



<u>Dimension</u>	<u>Description of Dimension</u>	<u>Criteria – 1</u>	<u>Criteria – 2</u> (Green/Amber/Red)
Duration of Training (Task 2.3)	For what length of time are individuals trained?	<ol style="list-style-type: none"> 1. < 2 Wks 2. 2 Wks – 12 Wks 3. 12 Wks – 52 Wks 4. 1 Yr – 2Yrs 5. > 2 Yrs 6. Varies 	
KEY ISSUES FOR EVALUATION			
Communication	<p>Is the role and activities of the organization known / communicated to key stakeholders? [Criteria 1]</p> <p>Do key stakeholders understand program? [Criteria 2]</p>	<ol style="list-style-type: none"> 1. Clear and effective communication to all stakeholders 2. Some communication, but it is not complete. 3. Little communication to stakeholders, especially key stakeholders. 	<ul style="list-style-type: none"> • GREEN: All stakeholders understand program and outputs • AMBER: Stakeholders generally understand program, but there are unknowns. • RED: Lack of knowledge of program and outputs by key stakeholders that are hampering mission accomplishment.
Authorities	<p>How are authorities for the programs granted (e.g., executive order, legislation, etc...)? [Criteria 1]</p> <p>Are lines of authority both to and within the organization clear and sufficient to achieve its mission? [Criteria 2]</p>	<ol style="list-style-type: none"> 1. Legislation 2. Executive Order 3. Department/Agency regulations 4. Memorandum of Understanding 5. Other 6. None 	<ul style="list-style-type: none"> • GREEN: Clear authority to ensure consistent program implementation across entities • GREEN: Not clear authority, but program is effective based on informal arrangement. • AMBER: Mixed authorities for different parts of the program. • RED: Lack of Authority has hampered mission effectiveness.
Roles and Responsibilities	<p>How roles and responsibilities established? [Criteria 1]</p> <p>Are roles and responsibilities clear and sufficient to achieve its mission? [Criteria 2]</p>	<ol style="list-style-type: none"> 1. Legislation 2. Executive Order 3. Department/Agency regulations 4. Memorandum of Understanding 5. Other 6. None 	<ul style="list-style-type: none"> • GREEN: Program roles and responsibilities are clear and understood by all parties. • AMBER: Some roles and responsibilities are unclear making parts of the program less effective than it could be. • RED: Roles are responsibilities are unclear impacting program mission accomplishment.
Congressional Oversight	<p>Is congressional oversight clear? [Criteria 1]</p> <p>Is congressional oversight effective? [Criteria 2]</p>	<ol style="list-style-type: none"> 1. One Senate and one House committee is responsible 2. Several Committees have jurisdiction, but coordinate somewhat 3. Multiple committees with little coordination 	<ul style="list-style-type: none"> • GREEN: Oversight clear and has assisted in program improvement. • AMBER: Mixed oversight has resulted in some program improvement. • RED: Little effective oversight has resulted in confusion in program impacting mission accomplishment.



Dimension	Description of Dimension	Criteria – 1	Criteria – 2 <i>(Green/Amber/Red)</i>
Funding #1 – LEVELS	Program funding levels. <i>[i.e. total program funding divided by persons who pass through program per week-month-year-etc. as identified in “SIZE” dimension above]</i>	<ol style="list-style-type: none"> 1. < \$250K 2. \$250K – \$500K 3. \$500K – \$1M 4. \$1M – \$5M 5. \$5M – \$100M 6. > \$100M 	
Funding #2 – SOURCES	<p>What is the manner through which funding is secured? [Criteria 1]</p> <p>Does funding identification impact program effectiveness? [Criteria 2]</p>	<ol style="list-style-type: none"> 1. Congressional mandate 2. Congressional earmarks 3. Presidential Initiative 4. Agency programming 5. Discretionary funding 6. Centralized or Interagency funding mechanism 7. Other 	<ul style="list-style-type: none"> • GREEN: Funding is identified and contributing to program effectiveness • AMBER: All funding has not been identified and as a result program is not as effective as it could be. • RED: Funding is not identified and program is adversely impacted.
Funding #3 – REPORTING	Reporting requirements	<ol style="list-style-type: none"> 1. None 2. Minimal 3. Significant 4. Comprehensive 	
Incentives #1 – USE	How are incentives used / applied?	<ol style="list-style-type: none"> 1. Systematically 2. Ad-hoc 	
Incentives #2 – CAREER DEVELOPMENT TYPE	Are the professional development incentives career enhancing?	<ol style="list-style-type: none"> 1. Non-enhancing 2. Career enhancing (individual perspective) 3. Promotion enhancing (organizational) 	
Incentives #3 – FINANCIAL	What type(s) of financial incentives are used/applied?	<ol style="list-style-type: none"> 1. None 2. Student-loan repayment (or similar) 3. Monetary bonus 4. Non-monetary packages 5. Other 	
Professional development (Modes of development / education)	What mode of development / education is employed?	<ol style="list-style-type: none"> 1. Education (university or classroom setting) 2. Education (On-line / self-learning) 3. Training (Off-site) 4. Training (OTJ/On-the-Job) 5. Rotational assignment 	
Professional development (Mode of selection)	How were individuals selected for the professional development program?	<ol style="list-style-type: none"> 1. Voluntary 2. Position-based 3. Other 	
Professional development (Content of education / training)	What is the focus or content of the curriculum?	<ol style="list-style-type: none"> 1. Intra-departmental 2. Interagency 3. Whole of Government 4. Whole of Nation (i.e. private sector) 5. International 6. Mission specific 	
Professional development (Accreditation)	How is the professional development accredited or ‘successfully completed’?	<ol style="list-style-type: none"> 1. Attendance only 2. Graded by performance 3. Other 4. None 	
Coordination of military and state and local (Task 2.3)	Does the program apply to CIV and/or MIL and/or State/Local employees?	<ol style="list-style-type: none"> 1. CIV only 2. MIL only 3. CIV and MIL 4. CIV and State/Local 5. MIL and State/Local 6. CIV and MIL and State/Local 	



<u>Dimension</u>	<u>Description of Dimension</u>	<u>Criteria – 1</u>	<u>Criteria – 2</u> (Green/Amber/Red)
Exchange MOUs (Task 2.3)	Is there balance for a given exchange MOU so that employees are motivated and career paths support, participating in exchanges in a manner that promotes parity for both agencies?	<ol style="list-style-type: none"> 1. Not applicable – no exchange program available (agency internal only) 2. Not necessary – other exchange mechanisms available 3. Applicable, but ad hoc 4. Applicable and systemically applied 	
Information system requirements (Task 2.3)	Are information systems sufficient to track personnel, pay, and promotions across multiple entities?	<ol style="list-style-type: none"> 1. Agency cannot track NSPs 2. Agency can track NSPs within the agency 3. Agency can track NSPs across other agency boundaries 	
Security clearance systems (Task 2.3)	Can individuals who come from agencies that tend not to have clearances work with agencies that do if necessary?	<ol style="list-style-type: none"> 1. Yes – because no classified content is used 2. Yes – because other agency security clearances are accepted with little or no re-processing 3. No – incompatible security clearance systems 4. Not applicable 	
Definitions	<p>Where or how are terms defined? [Criteria 1]</p> <p>Are terms critical to the program defined and understood by all stakeholders? [Criteria 2]</p>	<ol style="list-style-type: none"> 1. Legislation 2. Executive Order 3. Department/Agency regulations 4. Memorandum of Understanding 5. Program Guidance 6. Other 7. None 	<ul style="list-style-type: none"> • GREEN: All terms defined and understood • AMBER: Some terms not understood and as a result program is not as effective as it could be. • RED: Key terms are not understood and program is adversely impacted.
Metrics	<p>Where or how are metrics defined? [Criteria 1]</p> <p>Have metrics been developed to evaluate the effectiveness of the program? [Criteria 2]</p>	<ol style="list-style-type: none"> 1. Legislation 2. Executive Order 3. Department/Agency regulations 4. Memorandum of Understanding 5. Program Guidance 6. Other 7. None 	<ul style="list-style-type: none"> • GREEN: Metrics have been established and the program is being evaluated. • AMBER: Some metrics have been established to measure inputs, but output measures have not been established • RED: No Metrics have been established to evaluate program effectiveness.

7.7.2 SELECTED PROGRAMS PEG (CURRENT EFFORTS)

 Figure 25: Program Evaluation Grid – Current Efforts²³⁶

	DHS: Capstone Program		DHS: Planners' Qualification Program		DHS NSPD Executive Curriculum		ODNI DSOP		ODNI Joint Duty		DoD: DSLDP		DOS: POLAD		DOS: SES		DoD: JOM		DOS: NSELS		DOS: SRC		DOS: PRT		
	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	
Criteria 1 (C1)																									
Criteria 2 (C2)																									
DIMENSION																									
SCOPE (Task 2.3)																									
Mission	1	1	1	1	1	1	1	1	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
Size	1	3	2	1	1	1	1	1	2	1	1	1	1	1	3	3	6	1	3	1	3	3	3	3	
Organization	1	3	1	2	2	1	2	1	2	1	1	1	2	All	All	All	1	2	2	All	All	All	2,5	2,5	
Geography	1,2	1,2	1,2	1	1,2,3	1	1,2,3	1	1,2,3	1,2,3	1,2,3	1,2,3	3	3	3	3	1,2,3	1,3	1,3	3	3	3	3	3	
Functions	All	4	All	4	All	4	All	All	All	All	All	All	All	All	5	5	All	All	All	5	5	5	5	5	
ATTRIBUTES AND CHARACTERISTICS																									
System Attributes	2	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
Individual Attributes / Competencies	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
Position vs. Person-based (Task 2.3)	1	2	1	1	1	1	1	1	1	1	1,2	2	2	2	1	1	1,2	2	2	1	1	1	1	1	
DURATION																									
Duration of system (Permanent or temporary)	3	3	3	3	3	3	3	3	3	3	3	3	4	4	2,3	2,3	3	4	4	2,3	2,3	2,3	2	2	
Duration of assignments (Task 2.3)		2		6		6		6		6		6	6	6	6	6	6	6	6	6	6	6	6	6	6
Duration of Training (Task 2.3)		2		6		6		6		6		6	3	3	6	6	6	6	6	6	6	6	6	6	6

²³⁶ The DHS: Capstone Program is still under design and has not been implemented.



	DHS: Capstone Program		DHS: Planners' Qualification Program		DHS NSPD Executive Curriculum		ODNI DSOP		ODNI Joint Duty		DoD: DSLDP		DOS: POLAD		DOS: SES		DoD: JOM		DOS: NSELS		DOS: SRC		DOS: PRT	
	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2	C1	C2
Criteria 1 (C1)																								
Criteria 2 (C2)																								
Communication Authorities	1	1	1	1	1	1	2	2	2	2	1	1	1	1	2	2	1	1	1	1	2	2	2	2
Roles and Responsibilities	3	2,3	3	3	2,3	3	1	3	3	3	1	1	4	4	1	1	3	3	3	3	1	1,2,3	1,2,3	1,2,3
Congressional Oversight	3	3,4	3	3	3	1,3	2	2	2	2	1	1	4	4	1,2,3	1,2,3	1	1	1	1	1,2,3	1,2,3	1,2,3	1,2,3
Funding #1 - LEVELS	2	2	2	2	2	3	3	2	2	2	1	1	2	2	2	2	1	1	1	1	2	2	2	2
Funding #2 - SOURCES	4	4	4	4	4	4	4	4	4	4	5	4	4	4	6	6	1	1	1	1	6	6	6	6
Funding #3 - REPORTING															1,4,6,7	1,4,6,7	1	1	1	1	1,4,6,7	1,4,6,7	1,4,6,7	1,4,6,7
Incentives #1 - USE											4	4	3	3	2	2	4	4	4	4	2	2	2	2
Incentives #2 CAREER DEVELOPMENT TYPE											1	1	1	1	2	2	1	1	1	1	2	2	2	2
Incentives #3 FINANCIAL											2,3	2,3	2,3	2,3	2,3	2,3	2,3	2,3	2,3	2,3	2,3	2,3	2,3	2,3
Professional development (Modes of Development)											1	1	1	1	3,4	3,4	5	5	5	5	1	1	3,4	3,4
Professional development (Mode of Selection)											3	3	4	4	3,4	3,4	All	All	All	All	1	1	3,4	3,4
Professional development (Content of education / training)	3	2	2	2	2	1	1	1	1	1	1,2	1,2	1	1	1	1	1,2	1,2	1,2	1	1	1	1	1
Professional development (Accreditation)	1	3	2	2	2	2	2	2	2	2	1,2,3,4,5	1,2,3,4,5	2	2	All	All	1,2,3	1,2,3	2	2	All	All	2	2
Coordination of military and state and local (Task 2.3)	4	3	4	4	4	4	4	4	3	3	2	2	1	1	1	1	2	2	2	1	1	1	1	1
Exchange MOUs (Task 2.3)	1	4	1	1	1	1	1	1	1	1	1	1	3	6	6	2	2	2	2	1	1	6	6	1
Information system requirements (Task 2.3)	1	4	1	4	1	4	2	2	2	2	1	1	4	3	3	1	1	1	1	2	2	3	3	1
Security clearance systems (Task 2.3)	4										1	2	3	3	3	3	2	2	2	2	2	3	3	3
Definitions	3	3,4	3	3	3	3	3	3	3	3	3	3	2	1	1	1	3	3	3	1	1	1	1	1
Metrics	7	3	3	3	3	3	3	3	3	3	1	4	4	4	1,2,3	1,2,3	1	1	1	3	3	1,3	1,3	1,2,3

7.7.3 FOUR-STAGE INTEGRATED SYSTEM PEG

Figure 26: Four-Stage Integrated System PEG

	Stage 1 Current NSP program		Stage 2 NSP Qualification Program		Stage 3 Integrated NSP System		Stage 4 Whole-of-Gov. INSP System	
	<u>C1</u>	<u>C2</u>	<u>C1</u>	<u>C2</u>	<u>C1</u>	<u>C2</u>	<u>C1</u>	<u>C2</u>
DIMENSION								
SCOPE (Task 2.3)								
<i>Mission</i>	2		2		3		3	
<i>Size</i>	3		3		4		6	
<i>Organization</i>	2		2		2		3,4,5	
<i>Geography</i>	All		All		All		All	
<i>Functions</i>								
ATTRIBUTES AND CHARACTERISTICS								
<i>System Attributes</i>	2		2		1		1	
<i>Individual Attributes / Competencies</i>	2		2		1		1	
<i>Position vs. Person- based (Task 2.3)</i>	1		1,2		1,2		1,2	
DURATION								
<i>Duration of system (Permanent or temporary)</i>	3		3		3		3	
<i>Duration of assignments (Task 2.3)</i>	6		6		6		6	
<i>Duration of Training (Task 2.3)</i>	6		6		6		6	
KEY ISSUES FOR EVALUATION								
<i>Communication</i>	2		2		1		1	
<i>Authorities</i>	2		2		1,3		1,3	
<i>Roles and Responsibilities</i>	2,3		2,3		1,3		1,3	
<i>Congressional Oversight</i>	2		2		2		2	
Funding #1 – LEVELS								
<i>Funding #2 – SOURCES</i>	4		2,4		1		1	



Criteria 1 (C1) Criteria 2 (C2)	Stage 1 Current NSP program		Stage 2 NSP Qualification Program		Stage 3 Integrated NSP System		Stage 4 Whole-of-Gov. INSP System	
	C1	C2	C1	C2	C1	C2	C1	C2
DIMENSION								
Funding #3 – REPORTING	1		2		3		4	
Incentives #1 - USE	2		2		1		1	
Incentives #2 CAREER DEVELOPMENT TYPE	1		1		2,3		2,3	
Incentives #3 FINANCIAL	1		All		All		All	
Professional development (Modes of Development)	All		All		All		All	
Professional development (Mode of Selection)	1		1,2		1,2		1,2,3	
Professional development (Content of education / training)	1		1,2		2		3	
Professional development (Accreditation)	4		3		3		3	
Coordination of military and state and local (Task 2.3)	1		1		3		6	
Exchange MOUs (task 2.3)	1		1		4		4	
Information system requirements (Task 2.3)	2		3		3		3	
Security clearance systems (Task 2.3)	2		2		2		2	
Definitions	3		3		1,3		1,3	
Metrics	3		3		1,3		1,3	



7.8 APPENDIX H: DESIGNING A SYSTEM

7.8.1 LESSONS LEARNED FROM TRANSFORMATION EFFORTS: ADDITIONAL CHARACTERISTICS

Readiness assessment: A baseline review of the current state and the potential for successful transformation is indisputably a critical early step in designing change. As consulting management firm McKinsey has written, a successful effort begins by “assessing a company’s [or a public institution’s] present situation rigorously, identifying the current state of corporate capabilities as well as problems, and explicitly identifying the underlying mind-sets that must change for the transformation to succeed.”²³⁷ Significantly, the future of organization and subsequent change is bottom-up, rather than top-down. Successful change pulls ideas and commitments, and determines its course from the input of those who will carry out the change and the future vision. Finally, pilot programs are an important opportunity to test innovative solutions, but they must be incorporated into the entire plan in order to fully implement successes or learn from failures.²³⁸

Leadership: McKinsey again writes, “[s]trong leadership and maintaining energy for change among employees are two principles of success that reinforce each other when executed well.”²³⁹ The leader must develop and reinforce many other components of transformation best practices. In particular, the leader must articulate a compelling story, a practice strongly advocated by Harvard Business School professor John Kotter, who notably identified the “sense of urgency” necessary to change.²⁴⁰

Culture and Communications: Strongly linked to the work of a strong leader is the culture and communication that is developed around change. Culture is often altered to support transformation, but this is a precarious undertaking. Change is highly emotional, and addressing culture will strongly impact support throughout the organization and long-term, sustainable success. Leaders throughout the organization undergoing change can enhance and strengthen the process by reiterating the compelling story.²⁴¹ Similarly, employee engagement during readiness assessment is critical to maintain throughout for another reason. McKinsey notes, “[n]otably, employee engagement as early as the planning process emerges as a key success factor. Indeed, in successful transformations, executives say that identifying underlying mind-sets that would need to change was the approach used most often.”²⁴²

²³⁷ Scott Keller, Mary Meaney, & Caroline Pung, “What successful transformations share: McKinsey Global Survey results,” *The McKinsey Quarterly*, (McKinsey and Company, 2010) 30.

²³⁸ This idea was taken from remarks made by William Eggers, during a Project on National Security Reform Advisory Panel held on October 1, 2010.

²³⁹ Scott Keller, Mary Meaney, & Caroline Pung, “What successful transformations share: McKinsey Global Survey results,” *The McKinsey Quarterly*, (McKinsey and Company, 2010) 30.

²⁴⁰ John P. Kotter, “Leading change: why transformation efforts fail,” *Harvard Business Review* (Harvard Business School Publishing Corporation, 2007) 3.

²⁴¹ Scott Keller, Mary Meaney, & Caroline Pung, “What successful transformations share: McKinsey Global Survey results,” *The McKinsey Quarterly*, (McKinsey and Company, 2010) 30.

²⁴² Scott Keller, Mary Meaney, & Caroline Pung, “What successful transformations share: McKinsey Global Survey results,” *The McKinsey Quarterly*, (McKinsey and Company, 2010) 30.



Individual employees react differently to change depending upon their perceptions. If they see the change as rewarding, they will be more receptive, if they perceive they will not benefit from the change, they will be resistant to that change. Significant scientific research in the effects of incentives and rewards on the human brain bears out the theory that employee perception of rewards leads to their effectiveness. Behavior can be influenced by both extrinsic and intrinsic motivation, but studies show that if the reward is seen to be controlling, the long-term effect can be negatively impacted.

Scientists found that positive stimuli release dopamine into certain areas of the brain and that the increase in dopamine is higher while the subject is anticipating the reward than when the subject is enjoying the reward itself. In other words, the promise of a reward is the motivator, not the reward itself. Further study showed that individual memory, and other neurobiological systems create the different responses to specific incentives.²⁴³ Open honest communication and involvement is key to successful transformation.

Process: The change program can greatly benefit from division into identifiable increments of change and clear articulation of responsibilities throughout. Increments allow the change agents to hopefully experience short-term successes in what is often a long and arduous process.²⁴⁴ New mindsets and behaviors must be reinforced throughout the process and in the ensuing system by various processes, procedures, incentives, and rewards.²⁴⁵

7.8.2 COMMUNITIES OF PRACTICE: RECOVERY SUPPORT FUNCTIONS

Figure 27: Recovery Support Functions²⁴⁶

Recovery Support Function	Federal Agencies
Community Planning & Capacity Building	<ul style="list-style-type: none"> Proposed Coordinating Agency: DHS/FEMA or HUD Primary Agencies: DHS/FEMA, HUD, and USDA Supporting Agencies: HHS, EPA, SBA, DoL, Treasury, Corporation for National and Community Service, DoC, DoJ, and DoI
Economic Development	<ul style="list-style-type: none"> Proposed Coordinating Agency: DoC Primary Agencies: DoC, DHS, HUD, USDA, DoL, Treasury, and SBA Supporting Agencies: DoE, DoI, HHS, and EPA
Health, Social & Community Services	<ul style="list-style-type: none"> Proposed Coordinating Agency: HHS Primary Agencies: USDA, DoC, Dept. of Education, DHS (FEMA & IP), HUD, DoI, DoJ, DoL, EPA, DVA, Corporation for National and Community Service Supporting Agencies: DoD, DoE, Treasury, DoT, SBA, and National Voluntary Organizations Active in Disaster

²⁴³ Kurt Nelson, *Motivation and the Brain: How incentives affect the brain and motivation*, The Lantern Group, 2009, accessed October 2010 <http://lanterngroup.biz/papers/motivebrain.pdf>.

²⁴⁴ John P. Kotter, "Leading change: why transformation efforts fail," *Harvard Business Review* (Harvard Business School Publishing Corporation, 2007) 3.

²⁴⁵ Scott Keller, Mary Meaney, & Caroline Pung, "What successful transformations share: McKinsey Global Survey results," *The McKinsey Quarterly*, (McKinsey and Company, 2010) 30.

²⁴⁶ United States, Federal Emergency Management Agency, *National Disaster Recovery Framework - Draft* (5 February 2010) accessed October 2010 http://www.fema.gov/pdf/recoveryframework/omb_ndrf.pdf.



Recovery Support Function	Federal Agencies
Housing	<ul style="list-style-type: none"> Proposed Coordinating Agency: HUD Primary Agencies: HUD, USDA, DHS/FEMA, Access Board, DoJ Supporting Agencies: DoC, DVA, SBA, National Voluntary Organizations Active in Disaster, EPA, and HHS
Infrastructure Systems	<ul style="list-style-type: none"> Proposed Coordinating Agency: To be determined. Primary Agencies: Army Corps of Engineers, DHS (FEMA & NPPD), DoT, DoE Supporting Agencies: USDA, DoC, DoD, HUD, HHS, DHS, EPA, DoI, FCC, TVA, GSA, NRC, Treasury, and Department of Education
Natural & Cultural Resources	<ul style="list-style-type: none"> Proposed Coordinating Agency: DoI Primary Agencies: DoC, DoI, EPA, and USDA Supporting Agencies: HUD and DHS/FEMA

7.8.3 PILOT PROJECT EXAMPLES

PILOT EXAMPLES 1 AND 2: EDUCATING NSPs: PRE- AND POST-GRADUATE INSTITUTIONS

While much of the focus of NSP development is placed on ‘professionals’, every human capital system requires both feeder pools of well-qualified candidates as well as early- and/or lateral-entry programs to train, identify, and foster the leadership, experiences, and skills that the system requires. Based on currently existing programs in the Federal Government, the following sections describe potential programs that may serve as useful models for supporting the growth and development of the INSP system.

PILOT EXAMPLE 1: PRE-GRADUATE – NSP CENTERS OF ACADEMIC EXCELLENCE

Across the United States, numerous Centers of Academic Excellence (CAE) have enjoyed significant success in creating and fostering specific bodies of knowledge for both practitioners and students alike. One prominent example is the ODNI’s Intelligence Community Centers of Academic Excellence Program (IC CAE), which builds partnerships with various academic institutions in mission related disciplines to “develop eligible talent and competitive feeder pools.”²⁴⁷ The IC’s CAE program pursues three primary goals:

- 1) *To develop long-term academic partnerships with accredited colleges and universities that have diverse student populations and courses of academic study that align with IC core skill requirements.*
- 2) *To provide financial and technical support to those educational institutions, so that they can shape curricula to meet specific IC needs.*
- 3) *To leverage and cultivate IC relationships with students and faculty of those institutions to ensure that the IC has a diverse, highly-qualified, and motivated applicant pool for its mission-critical occupations.*²⁴⁸

²⁴⁷ ODNI’s Intelligence Community Centers of Academic Excellence Program (IC CAE) brochure, <http://www.dni.gov/cae/>.

²⁴⁸ ODNI’s Intelligence Community Centers of Academic Excellence Program (IC CAE) brochure, <http://www.dni.gov/cae/>.



Drawing upon this experience, the INSP system could benefit from the development of a similar program in order to develop talent and create of a pool of qualified junior candidates. Such a program would be able, for example, to identify additional attributes and competencies that are required to have a successful horizontal organization (e.g. teaching, research, graduate fellowships at both MA and PhD levels, etc.).

This program will partner with colleges and universities to develop several program components:

- Coursework in the areas of NSP capabilities and in the study of the national security system
- Provide career counseling on NSP career tracks
- Promote internships with federal, state, and/or local agencies
- Implement NSP CAE competitive process to send top students to annual NSPD Conference

A successful network of NSP Centers of Academic Excellence could advertise NSP career tracks to a broader pool of candidates, feed an NSP fellowship program or other NSP early-entry or fast-track program, and represent an investment in the long-term impact of NSPs on the INSP system. It will identify and build strong relationships with colleges and universities and ensure that partnering academic institutions receive the financial and logistical support and guidance necessary to support the academic development of future NSPs, and prepare prospective collegiate-level individuals for an NSP career track.

PILOT EXAMPLE 2: POST-GRADUATE – NSP FELLOWSHIP

The Presidential Management Fellows (PMF) program²⁴⁹ was established in 1977 by Executive Order 12008 to attract outstanding graduates to career tracks in public service. Although the PMF program's effectiveness from a human capital standpoint has not been free of challenges²⁵⁰, the PMF program is widely respected and valued for its selection and rapid placement of highly qualified graduates. It represents a useful model that could be replicated to foster the long-term development of NSP personnel and culture. There are several key characteristics of the PMF that lend themselves to the establishment of an interagency-focused National Security Professional Fellowship (NSPF).

Under current PMF program authorities, policies and administration are run by the PMF Rules and Regulations code.²⁵¹ Rotations within and between agencies are currently permitted in the program, but are ultimately at the discretion of the home agency, though the agency and fellow can together determine what experiences are required for successful and final placement after completion of the fellowship. Importantly, OPM policy allows "short-term rotational assignments of 1 to 6 months in duration, at the appointing agency's discretion, to occupations or

²⁴⁹ The Presidential Management Fellows (PMF) program was originally called the Presidential Management Intern (PMI) program, which was established by Executive Order 12008 of August 25, 1977. The program was restructured and renamed to PMF pursuant to Executive Order 13318 of November 21, 2003.

²⁵⁰ Brookings Institution, "Looking for the Future Leaders of Government? Don't Count on Presidential Management Interns," August 22, 2003, http://www.brookings.edu/papers/2003/0822governance_labiner.aspx.

²⁵¹ U.S. Office of Personnel Management. (2010 September 5). *Presidential Management Fellows Program Policy*. Retrieved from <https://www.pmf.opm.gov/ProgramPolicy.aspx>



functional areas different from the one in which the Fellow will most likely be placed.”²⁵² OPM’s PMF Program Office posts rotational opportunities for fellows.

The key feature of the NSPF will be the rotation of fellows among agencies during the fellowship, and an Executive Order addressing this new component is necessary to assure OPM that execution is a priority, and to ensure that agencies are compliant. This fellowship and the required management office will be established by OPM within its PMF Program Office, with agencies entering into an agreement to participate according to the program requirements.

Graduate schools or a U.S. department or agency of employment can nominate a prospective NSPF. In the latter case, prospective NSPFs must be GS-13 or lower, and can be nominated on the condition that they will return to their place of employment at the conclusion of the program and commit an additional 6 years of work. For those who become NSPFs after an OPM review and selection process, the program will commence with a one month orientation, sponsored by OPM and central INSP governing body, with the purpose of providing instruction in the program goals, INSP concepts and lexicon, and overview of the INSP career progression.

Following the orientation, fellows will begin a two-year fellowship of four 6-month rotations. These rotations will consider fellow preferences but will necessarily be adapted to department needs and preferences through OPM coordination, with all four rotations being determined before the fellowship begins. Agencies will share the cost of reimbursement to OPM, and will rotate payment of the fellow’s salary, with each agency being responsible only for the 6-month period during which they host the fellow. Each rotation includes 30 hours of formal classroom education in addition to the work experience. Agencies are also responsible for providing predetermined work assignments and expected deliverables. The agency supervisor is responsible for providing mentoring and performance feedback to the fellow.

Each agency must also acknowledge to OPM a fellow’s successful completion of a rotation with their agency. A final month-long capstone seminar will combine the INSP model and experiences from the program. At this point, OPM will grant final completed status of the program, and upon successful completion of the program, all agencies in which the individual participated could offer jobs to those fellows who were nominated by their school. The fellow will be able to select from among the job offers received. OPM will track each individual’s prospects and final placement. Those fellows who were nominated by their agency will return to that agency at a higher GS level.

An additional benefit to participating fellows is the assignment of a mentor in the GS-13 to GS-15 range, throughout their two-year fellowship. The mentor will provide professional guidance, insight, and feedback on long-term career progression. The fellow will be permitted one meeting during each rotation, with additional meetings and contact to be left to the discretion of the mentor. As the fellowship program progresses, these mentors will ideally be alumni of the INSP fellowship who have since attained GS-13 to GS-15 status.

²⁵² U.S. Office of Personnel Management. (2010 September 5). *PMF Guide for Agencies*. Retrieved from <https://www.pmf.opm.gov/Agencies.aspx>



Although NSPFs will enter a specific agency career track after their fellowship, they would bring with them a unique perspective and have an identifiable support group throughout the departments and agencies for interagency work. The NSPF program will develop a substantial body of alumni over time that would be a powerful network of interagency-minded personnel embedded across the national security system. The hosting departments and agencies will continue to benefit from the fast-tracked selection of highly qualified candidates, but with the added benefit that these candidates will bring an increased understanding of the larger system in which the agencies must operate.

PILOT EXAMPLE 3: A NATIONAL SECURITY LEADERSHIP FELLOWSHIP – STEWARDS OF AN INSP SYSTEM

Develop a National Security Fellowship of senior National Security Professionals to lead and become stewards of the INSP system. The purpose of this group will be to:

- Represent a leadership group across departments and agencies committed to developing the INSP system
- Guide the direction of the INSP system by formulating policies and plans
- Influence government human resource policy and training and education centers to provide a conducive environment for NSPs
- Engage the national security community in implementation of the INSP system
- Mentor junior members of the national security community to make career choices that will give them the experiences required for a 21st century national security system.

Developing a Fellowship is a cost-effective and relatively simple way to bring the national security community together. It will preserve the autonomy of federal agencies and other organizations, and still provide a centralized repository for national security personnel. By dividing the Fellowship into communities of practice, National Security Professionals can find and collaborate with others who are working on common problems. In addition, it will be a bottom up transformation that includes incentives, inclusion, and integration. The Fellowship will be a program that attracts others from all over the national security system – people who will make career choices for a 21st century national security system. Finally, it will give people in key positions a strong identity and sense of responsibility for the INSP system.

PILOT EXAMPLE 4: LEADERSHIP IN NETWORKED ORGANIZATIONS

Effective interagency collaboration and integration will require exceptional leadership, the kind that values co-operation, information sharing, inter-dependence, and team approaches to solving problems. Based on interviews with agencies, hierarchical organizational structures as well as limitations on the access to information make seamless collaboration virtually impossible. An integrated national security system will require customized leadership training—not only at an individual level, but also at an organizational level.

A leadership training program should be designed specifically for National Security Professionals. Agencies can be asked to select a group of NSP designees to participate in the pilot program. The goal of this program would be to develop a cadre of professionals equipped with the tools to work in organizations based on network concepts and horizontal leadership structures.



Each participant—regardless of level—will be trained in how to exercise leadership within a network. They will learn that in such contexts the roles of leader and follower alternate based on the circumstances: for example, where the use of particular knowledge and skills make it advantageous for one person or a specific group to lead. Experts on the subject, who will also determine the duration of the course, should design the course. After the course, participants will be required to create sub groups—such as special task forces/working groups, within their specific agencies where the network model can be applied. The graduates of the program will then be required to report on the success/challenges of their respective programs within a year.

PILOT EXAMPLE 5: DRIVING INNOVATION IN NATIONAL SECURITY REFORM

The future integrated national security system will need to be driven by innovative ideas and the ability to reward efforts that lead to solutions within the interagency national security community. The Office of Management and Budget, in coordination with the National Security Council, should develop a program designed to promote entrepreneurial competition within the national security community. This could be designed in a manner similar to InnoCentive, a public innovation company based in Massachusetts (<http://www2.innocentive.com>). Through InnoCentive, companies present their most pressing challenges online and invite individuals and groups to help solve these problems. Solvers are part of a Global Solver Network of individuals across the world. As of 2008, close to fifty percent of challenges had been solved; cash awards—ranging from \$10,000 - \$100,000 are presented to the solvers of each challenge.

Given the national security mission of most agencies, it may not be suitable to present challenges within the public domain. However, they can be organized within and across the national security community through a secure online network. The rules of the competition should promote and encourage agency and individual collaboration, including the development of interagency teams, to compete in solving critical national security issues. The Office of Management and Budget should ensure that appropriate resources are available to fund the administration of this program and provide for the organizational award of funds sufficient to cover annual funding of an NSP program of 100-500 employees.

Also, it is recommended that an annual National Security Innovation Award be designed specifically for individual or group innovations that result in interagency solutions to national security challenges. The White House/President should present the award in addition to formal recognition by the National Security Council (through an award dinner, a special presentation during an NSC meeting, etc).

PILOT EXAMPLE 6: DEVELOPING INTERAGENCY TEAMS

The NSP program will reach out to around three or four interagency teams (interagency task forces, S/CRS, NCTC/DSOP, special envoys and special representatives, U.S. embassy missions, fusion cells) to develop courses and simulations to develop their people and prepare incoming personnel. The INSP program would provide courses and simulations on navigating the interagency environment, interagency leadership, collaboration, and other topics deemed important by the interagency teams. The INSP program will also hold conferences and seminars



for leaders and people in interagency teams to share best practices, identify common challenges, and to further strengthen an INSP culture.

PILOT EXAMPLE 7: TRAINING, EDUCATION, AND SIMULATIONS

The NSETC will develop courses and simulations for NSPs. There are vast education and training resources in the NSETC that would be useful for NSPs. Courses would be taught on navigating the interagency environment, on leadership, on national security policy and strategy, security issues, whole-of-government planning, etc. Simulations of national security scenarios requiring whole-of-government approaches would be conducted to familiarize NSPs with how their skills could be applied to different issues, to help them learn the perspectives of different agencies, and to develop habits of collaborating across boundaries.

The main challenge of these courses would be to maintain focus on strategic and policy issues. In the national security community, many agencies have developed operational abilities to collaborate. However, when there are strategic and policy divergences, operations tend to drift and become aimless. These courses and simulations would serve the need for NSPs to work across boundaries in the strategic and policy levels.

PILOT EXAMPLE 8: PMF NATIONAL SECURITY TRACK

Working with the Office of Personnel Management, the Board would launch a National Security track within the Presidential Management Fellows program. The purpose of this track would be to recruit talented young graduates interested in a career in national security. Specific universities with national security programs should be targeted: www.gradschools.com identifies more than 100 programs that focus on national security. Their students represent a diverse pool of potential candidates for the program.

The first pool of fellows should receive all the training required in the typical PMF program, including rotations in agencies with national security missions. In addition, all fellows should be required, during their rotational assignments, to work on at least one national security project that involves interagency collaboration. After completion of the program, fellows as well as their supervisors should be surveyed to determine the utility of the program. In addition, agencies should also be surveyed about the quality of the program, and ability to train the next generation of national security professionals.

PILOT EXAMPLE 9: FIELD PILOT FOR NSP ROTATIONAL ASSIGNMENTS

Pilot in at least one Federal region, as a collaborative entity, a regional catastrophic preparedness staff (RCPS)²⁵³ with positions for Federal, state, local, tribal, territorial, private-sector, and NGO homeland security INSP cadres to serve in rotational assignments.

The models for such a collaborative entity are the National Counterterrorism Center (NCTC) and the Joint Terrorism Task Forces (JTTFs). The RCPS would leverage the existing Federal

²⁵³ For a detailed discussion of the RCPS concept and the analysis to support its establishment cf. Project on National Security Reform, *Recalibrating the System: Toward Efficient and Effective Resourcing of National Preparedness* (Arlington, Va.: PNSR, 2009) accessed October 2010 http://www.pnsr.org/data/files/pnsr_national_preparedness_system.pdf.



Preparedness Coordinator (FPC) Coordinating Committee concept and the region's existing Regional Catastrophic Planning Team. It would provide the FEMA regional administrator and FPC with a standing coordinating body with states in the region.

This operational proof-of-concept in a FEMA region would demonstrate the field use of NSPs in intergovernmental rotational assignments as a solution for end-to-end, systems-managed, regional collaboration. Under the IPA Mobility program, departments and agencies would direct Federal personnel and secure non-federal personnel for rotational assignment to the RCPS. State and local IPAs would serve in this collaborative body to support existing regional committees as co-equals with Federal officials to determine regional policies and priorities. The IPA would incentivize state and local parent agencies and organizations to take Federal employees in exchange while giving them the option of receiving straight reimbursements as an alternative.

The RCPS would work to develop and sustain regional operational catastrophic preparedness capabilities with states and other non-federal mission partners. The RCPS would operate under a structure and process informed by NIMS. It would conform to an Incident Command System (ICS) structure that facilitates activities by section chiefs in six major functional areas—command, operations, planning, logistics, finance/administration and intelligence/investigation. The law enforcement and intelligence component, with homeland security NSPs trained and cleared to TS/SCI, would provide liaison to such regional entities as state fusion centers, JTTFs, Area Maritime Security Committees (AMSCs) and critical infrastructure/key resources (CI//KR) stakeholders. RCPS personnel would staff the region's JOC and JFO in the event of a crisis and serve as GS-13/14 level liaison officers in and to both.

The Federal Advisory Committee Act (FACA) Charter for the FEMA National Advisory Council (NAC) provides what could be a benchmark from which the region could determine INSP IPA staffing of its RCPS²⁵⁴. To the extent practicable, the members reflect geography (including urban and rural) and a substantive cross section of officials, emergency managers, and emergency response providers from state, local, and tribal governments, the private sector and NGOs. For the RCPS, Federal interagency INSP IPAs would also serve.

The Study acknowledges that this NAC example understandably is heavily weighted toward the emergency management community and its response and recovery functions. An RCPS, however, must better reflect the law enforcement and intelligence functions necessary to support on-going investigations as well as steady-state regional preparedness. A properly considered

²⁵⁴ The Charter says that the NAC shall consist of up to 35 members. Only by example, the NAC Charter calls for: (1) One member from each of the following communities: disabled individuals (to represent disabled individuals), emergency medical providers, health scientists, in-patient medical providers, public health professionals, and those with other special needs to represent that community; (2) One experienced member each from the fields of infrastructure protection, cybersecurity, and communications, drawn from public and private communities; (3) One member each representing executives of local, state, and tribal governments; (4) One member each with expertise in preparedness, response, recovery or mitigation representing the local, state, and tribal government; (5) Three members each representing emergency management and emergency response providers; (6) Two members from the Federal, State, local and tribal governments and the private sector representing standard-setting and accrediting organizations with expertise in the emergency preparedness and response field. These members shall include experts from the voluntary consensus codes and standards development community. For further information see the FEMA NAC Charter: http://www.fema.gov/txt/about/nac/nac_charter_022009.txt.



RCPS, thus, should also have representation from the region's adjutants general, Coast Guard districts, FBI Special Agents in Charge, U.S. Attorneys, state police/departments of public safety and selected local, tribal, and territorial police agencies from major jurisdictions with population densities, such as UASIs.

Each Federal region has its own character and set of priorities, which would color the proof-of-concept. Broadly speaking, a field pilot could stand up in:

- Region III—leveraging the National Capital Region and the efforts of the multi-state All Hazards Consortium (www.ahc.org)
- Region IV—leveraging the Community and Regional Resilience Institute, Oak Ridge National Laboratory (www.resilientus.org)
- Region X—leveraging the Pacific Northwest Economic Region's Pacific Northwest Center for Regional Disaster Resilience (www.regionalresilience.org)
- Region V—leveraging ChicagoFIRST (www.chicagofirst.org)
- Region I—building out from the FPC Coordinating Committee

As part of its responsibilities, this RCPS would act as the Federal lead to work with state, local, tribal, territorial, private sector and NGO homeland security INSP cadre partners to draft and execute for that region, a professional development plan which would clearly identify requirements for personnel who should be considered RCPS NSPs. As a model for follow-on regional implementations nationwide, the pilot RCPS will work with the Naval Postgraduate School's Center for Homeland Defense and Security and its regional educational partner(s) to conduct a survey to collect quantitative and qualitative data to inform the plan's drafting and execution. This plan would contain regional priorities and leverage and create regional assets, including for training, education, rotational assignment, and career path, which will conform to national guidelines but be tailored to the region. With respect to the law enforcement track, significant weight would be given to the regional assessment of national security threats to determine the level of need for personnel to be cleared and trained.

PILOT EXAMPLE 10: SOCIAL NETWORKING

A social networking feature will be included with the new INSP website, or will be hosted by a department or agency in an existing site. The primary focus of a social networking pilot will be strengthening the NSP culture. Social networking can support the growth of an NSP culture by creating a virtual community of practice that brings people together in a place where they are free to set new norms. Social networking can also serve to engage NSPs, identify experts, improve communications, host learning environments, and provide data for workforce planning and organizational analysis.

The creation of a social networking pilot faces several challenges, most significantly in funding, finding a host, and encouraging use. The INSP Board needs to find a way to fund a pilot, or it could be hosted at a department or agency in an existing site. An independent social networking site would give NSPs the ability to put in place a strong brand, as it would not be beholden to the norms of an organization and would allow it to customize its own design and symbols.



However, many departments and agencies have existing social networks that could serve as NSPs. If given enough space to tailor an existing website to their needs, NSPs could use one of these websites. A social networking pilot must be useful to NSPs. NSP program leaders and senior national security leaders must use it to engage NSPs in discussions. The social networking pilot should be easy to use to identify experts in the case of an emergency or to help solve strategic national security issues. Although these challenges are significant, a social networking pilot would give the NSP program a substantial boost.

For a first step, a social networking pilot would prepare the NSP program to meet new information system needs as it grows.





8. Glossary

Capabilities: The knowledge, skills, experiences, and behaviors needed to successfully perform an objective or mission.

Certification program: a program that involves a process in which individuals attain and demonstrate the level of knowledge and skill required to perform in the profession, occupation, or role. A certification program generally focuses on experience and current skill. (Source: OPM Fact Sheet on Certification and Certificate Programs)

Certificate program: a training program established or purchased by an agency to provide structured training course(s) to employees to meet an identified performance and developmental need. Certificate programs award certificates after a course of study has been completed and does not generally require previous work experience or exhibited skill level. (Source: OPM Fact Sheet on Certification and Certificate Programs)

Collaboration: Arrangement in which two or more parties (which may or may not have any previous relationship) work jointly towards a common goal.

Competencies: The knowledge, skills, experiences, and behaviors required to successfully perform an objective or mission. Application of the term requires special OPM validation.

Cooperation: Executing separate tasks in pursuit of the same end, purpose, or effect; joint operation.

Coordination: The regulation of diverse elements into an integrated and harmonious operation, i.e., soliciting and responding to input from others.

Homeland security INSP cadre: A community of practice administered by the Department of Homeland Security for NSPs in the national security and broadly-defined emergency management communities, to include intergovernmental, private sector, and non-governmental organizations and personnel.

Integrated National Security Professional System Management Board: The central program management office of the INSP system.

Integrated National Security Professional (INSP) system: The vision for a future NSP system that is: 1) comprised of multiple interrelated systemic dimensions and 2) integrated throughout the full range of national security processes and across various organizational boundaries including civil-military, interagency, and intergovernmental.

Integration: The combining and coordinating of separate parts or elements into a unified whole.

Interagency: Activities between more than one Federal agency.

Interagency Community: The executive branch of the federal U.S. Government, as established in the Constitution and presided over by the President, which includes the Executive Office of



the President, the executive departments and independent agencies, corporations, and quasi-official entities created by the Congress.

Interagency National Security Professional: (see “National Security Professional”)

Interdepartmental: Activities between more than one Federal department.

Intergovernmental Activities between more than one level of government (e.g. Federal, State, local, tribal).

Intersector: Activities between the public and private sectors.

Intra-agency: Activities within a Federal agency.

Intradepartmental: Activities within one Federal department.

Joint duty: An assignment outside of one’s agency or department. Usually refers to defense and intelligence communities.

Mission Integration: A duty or task assigned to an individual or unit (especially lower military units) that involves melding different individuals or units from separate institutions toward the completion of that task.

National Security: the capacity of the United States to define, defend, and advance its position in a world that is being continuously reshaped by turbulent forces of change.

National Security Professional: a designation of a position or individual who plans, coordinates, or participates in activities relating to the national security of the United States that require whole-of-government, whole-of-nation, and/or international collaboration.²⁵⁵

National Security System: A group of interacting, interrelated, and interdependent U.S. national security institutions with structural and functional relationships that form a complex whole.

The National Strategy for the Development of National Security Professionals (issued in July 2007): The Strategy defined National Security Professional (NSP) as Federal employees in positions responsible for developing strategies, creating plans to implement, and executing missions in direct support of U.S. national security objectives. NSPs have a role in:

- Identifying, reducing, or eliminating risks.
- Preventing, protecting against, or responding to known or potential threats.
- Mitigating against, responding/recovering from attacks, major disasters, international crises, supporting National Special Security Events, and other emergencies.

²⁵⁵ The 2007 National Strategy for the Development of National Security Professionals defined “National Security Professionals” (NSP) as “Federal employees in positions responsible for developing strategies, creating plans to implement, and executing missions in direct support of U.S. national security objectives.” Subsequently, Section 1054 of the 2010 National Defense Authorization Action defined “interagency national security professional” as “an employee of an Executive agency who plans, coordinates, or participates in activities relating to the national security of the United States that require significant interaction and engagement with other Executive agencies.” PNSR retained the term NSP to refer to the individual in its proposed Integrated National Security Professional (INSP) system. To reflect the broadened scope of the proposed INSP system, PNSR broadened the definition of NSP to refer to “a designation of a position or individual who plans, coordinates, or participates in activities relating to the national security of the United States that require *whole-of-government, whole-of-nation, and/or international collaboration.*”



- Continuity of Operations and Continuity of Government (COOP and COG) initiatives.
- The Strategy also specifically identified National Security Professionals (NSP) as those who:
 - Are located in the United States or abroad.
 - Work on both traditional national security missions as well as homeland security missions.
 - Need to coordinate with other Federal departments and agencies, State, local, territorial and tribal governments, the private sector, non-governmental organizations, foreign governments, and international organizations.

Qualification Program: A program that details the necessary steps an individual must take in order to gain and/or demonstrate the knowledge, skills, abilities, competencies, and required attitudes in a specified functional area.

Shared Capabilities: Capabilities individual must possess to perform their national security missions and to succeed in whole-of-government, whole-of-nation, and/or international environments.²⁵⁶

Unity of Effort: When all means are directed to a common purpose.

Unity of Purpose: A common understanding of what is being attempted and the underlying factors that are important to achieve success.

Whole-of-Government: An approach that fosters government-wide collaboration on purpose, actions, and results in a coherent, combined application of available resources to achieve the desired objective or end state.

²⁵⁶ The term “shared capabilities” is defined in the 2008 NSPD Implementation Plan. PNSR adopted this definition as a foundation and expanded it to reflect the broadened scope of the proposed INSP system.





9. BIBLIOGRAPHY

111th Congress. H.R. 2647, National Defense Authorization Act 2010, Section 1054.

2010 *Federal Benefits Handbook*. Kansas City, MO: Federal Handbooks, 2010.
<http://www.federalhandbooks.com/fedbooks/Personnel.pdf>.

Abshire, David M. *Forward Strategic Empowerment: Synergies between CINCS, the State Department, and Other Agencies*. Washington, DC: Center for the Study of the Presidency, 2001.
http://www.thepresidency.org/storage/documents/FellowsPaperGradingGuidelines/Forward_Strategic_Empowerment.pdf.

“Assignment Incentive Pay.” *Military Connection*.
<http://www.militaryconnection.com/assignment-pay.asp>.

Antunes, Emma. *How Social Networking Can Enable Mission Success: An Overview of Web 2.0*. NASA. 24 February 2009.
<http://pmchallenge.gsfc.nasa.gov/docs/2009/presentations/Antunes.Emma.pdf>.

Asch, Beth J., and Paul Heaton, James Hosek, Francisco Martorell, Curtis Simon, John T. Warner. *Cash Incentives and Military Enlistment, Attrition, and Reenlistment*. Santa Monica, CA: RAND National Defense Institute, 2010.

Barber, Rusty and Sam Parker. *Evaluating Iraq’s Provincial Reconstruction Teams While Drawdown Looms: A USIP Trip Report*. Washington, DC: United States Institute of Peace, December 2008. <http://www.usip.org/resources/evaluating-iraq-s-provincial-reconstruction-teams-while-drawdown-looms-usip-trip-report>.

Benedict, Truman G. “Pay for position or pay for person?” *Public Administration Review*. Vol. 21, No. 1, Winter, 1961: 55-57.

Bennett, James T. and Marick F. Masters. “The Future of Public Sector Labor-Management Relations: Part II -- The Federal Sector.” *Journal of Labor Research*, Vol. 25, Issue 1, 2004.

Bensahel, Nora, and Olga Oliker, Heather Peterson. *Improving Capacity for Stabilization and Reconstruction Operations*. Santa Monica, CA: RAND National Defense Research Institute, 2009, http://www.rand.org/pubs/monographs/2009/RAND_MG852.pdf.

Berry, John. “Guidance on Freeze on Discretionary Awards, Bonuses and Similar Payments for Federal Employees Serving under Political Appointments (Memorandum for Heads of



- Executive Departments and Agencies).” *Office of Personnel Management*. Washington, DC, August 3, 2010.
<http://www.chcoc.gov/transmittals/TransmittalDetails.aspx?TransmittalID=3060>.
- Best, Richard A. *Intelligence Reform After Five Years: The Role of the Director of National Intelligence*. Order Code R41295. Washington, DC: Congressional Research Service, Library of Congress, 2010.
- Binnendijk, Hans, and Patrick M. Cronin. *Civilian Surge: Key to Complex Operations*. Washington, DC: Center for Technology and National Security Policy, National Defense University Press, 2009. <http://handle.dtic.mil/100.2/ADA504091>.
- Bipartisan Policy Center. Conference Report on “*State of Intelligence Reform*.” Washington DC, 6 April 2010.
<http://bipartisanpolicy.org/sites/default/files/Summary%20of%20Intel%20Conference%20for%20Release%20051910.pdf>.
- Blair, Dennis C. *Remarks and Q&A by the Director of National Intelligence*. Washington DC, Bipartisan Policy Center, April 6, 2010.
http://www.dni.gov/speeches/20100406_5_speech.pdf.
- Bohn, Linnea and Ben Kasoff. *Management Study for Establishing and Managing a Civilian Reserve*. MacLean, VA: Bearing Point, 2006. <http://www.crs.state>.
- Boisnier, Alicia, and Jennifer A. Chatman. *The Role of Subcultures in Agile Organizations*. Berkeley, CA: Haas School of Business, University of California, Berkeley, 24 May 2002.
<http://www.hbs.edu/research/facpubs/workingpapers/papers2/0102/02-091.pdf>.
- Borders, Robert. "Provincial Reconstruction Teams in Afghanistan: A Model for Post-Conflict Reconstruction and Development." *Journal of Development and Social Transformation*. Vol. 1, November 2004, 5-12.
http://www1.maxwell.syr.edu/moynihan/tngo/dst_files/JDST_Volume_1/.
- Boyd, Danah M., and Nicole B. Ellison. “Social Network Sites: Definition, History, and Scholarship.” *Journal of Computer-Mediated Communication*. Vol. 13, No. 1, October 2008, 210-230. <http://jcmc.indiana.edu/vol13/issue1/boyd.ellison.html>.
- Bradshaw, Patricia S. “Developing 21st Century Department of Defense Senior Executive Service Leaders.” *OPM Thought Leader Forum*. Washington, DC: Department of Defense. April 10, 2007.
http://www.opm.gov/ses/executive_development/Dev21stCentDeptofDefenseSESLeaders.pdf.
- Bush, George W. National Security Professional Development. Executive Order 13434. 17 May 2007.
<http://www.cpms.osd.mil/ASSETS/E7D8C500DCCA44508C6C10A122108D05/Executive>



%20Order%2013434%20-%20Signed%20Copy.pdf.

Causey, Mike, "Pay Freeze as Union Recruiting Tool," *Federal News Radio*. 1 June 2010.
[http://www.federalnewsradio.com/?nid=20&sid=1969498.](http://www.federalnewsradio.com/?nid=20&sid=1969498)

Center for Creative Leadership. "Build Culture, Build Capacity." *Leading Effectively Podcasts*.
[http://www.ccl.org/leadership/podcast/transcriptBuildCulture.aspx.](http://www.ccl.org/leadership/podcast/transcriptBuildCulture.aspx)

Center for Homeland Defense and Security. *Education: The Key to Homeland Security Leadership, 2002-2008 Report*. Monterey, CA: Naval Postgraduate School and U.S. Department of Homeland Security, 2009.
[http://www.chds.us/?file&mode=dl&drm=resources%2Fstaff%2Fmarketing%2Fpublic_files&f=academicStyle_wireO2.pdf&altf=academicStyle_wireO2.pdf.](http://www.chds.us/?file&mode=dl&drm=resources%2Fstaff%2Fmarketing%2Fpublic_files&f=academicStyle_wireO2.pdf&altf=academicStyle_wireO2.pdf)

Center for Homeland Defense and Security. Monterey, CA: Naval Postgraduate School and U.S. Department of Homeland Security. <http://www.chds.us>.

Chair of the Executive Steering Committee. *National Security Professional Development Implementation Plan*. Washington, DC, August 2008.

Charan, Ram "Before the point tips." *Know how: The 8 skills that separate people who perform from those who don't*. New York, NY: Crown Publishing Group, 2007, 53.

Charman-Anderson, Suw "Social Networking Stands to Benefit Businesses." *CIO Magazine*. 13 August 2008.
[http://www.cio.com.au/article/256672/social_networking_stands_benefit_businesses/.](http://www.cio.com.au/article/256672/social_networking_stands_benefit_businesses/)

Chu, David S. "Joint Experience Requirements for Career Senior Executive Service Leaders," *Civilian Personnel Management Service*. Washington DC: Department of Defense, 31 December 2008,
[http://www.cpms.osd.mil/ASSETS/4FF400A7209C4A8386929E73A96D2A77/sign%20memo%20on%20joint%20experiences%20requir%2012-31-08.pdf.](http://www.cpms.osd.mil/ASSETS/4FF400A7209C4A8386929E73A96D2A77/sign%20memo%20on%20joint%20experiences%20requir%2012-31-08.pdf)

Chu, David S. *DoD Directive 1300.19*, "DoD Joint Officer Management Program." Department of Defense. Washington, DC, 31 October 2007
[http://www.dtic.mil/whs/directives/corres/pdf/130019p.pdf.](http://www.dtic.mil/whs/directives/corres/pdf/130019p.pdf)

Conklin, Jeff. "Wicked Problems & Social Complexity." *Cognexus Institute*. October 2005.
[http://cognexus.org/wpf/wickedproblems.pdf.](http://cognexus.org/wpf/wickedproblems.pdf)

Conley, Raymond E., and Ralph Masi, Bernard D. Rostker, Herbert J. Shukiar, Steve Drezner, *Enhancing the Performance of Senior Department of Defense Civilian Executives, Reserve Component General/Flag Officers, and Senior Noncommissioned Officers in Joint Matters*. Santa Monica, CA: Rand National Defense Research Institute, 2008.
[http://www.rand.org/pubs/monographs/2008/RAND_MG621.pdf.](http://www.rand.org/pubs/monographs/2008/RAND_MG621.pdf)



- Coss, Michael A. "Joint Professionals Here Today, Here to Stay." *Joint Force Quarterly*. July 2005. Issue 38, Quarter 3. Washington DC: NDU Press, 92-99.
http://www.dtic.mil/doctrine/jel/jfq_pubs/1738.pdf.
- Countryman, Thomas. "National Security, Interagency Collaboration, and Lessons from SOUTHCOM and AFRICOM," *Statement before the Subcommittee on National Security and Foreign Affairs House Committee Oversight and Government Reform, U.S. House of Representatives*. Washington, DC, 29 July 2010. <http://www.state>.
- Dale, Catherine, Nina Serafino, and Pat Towell. *Organizing the U.S. Government for National Security: Overview of Interagency Reform Debate*. Order Code RL34455. Washington, DC: Congressional Research Service, Library of Congress, December 2008.
- Dale, Catherine. *Building an Interagency Cadre of National Security Professionals: Proposals, Recent Experience, and Issues for Congress*. Order Code RL34565. Washington, DC: Congressional Research Service, Library of Congress, 8 July 2008.
<http://www.fas.org/sgp/crs/natsec/RL34565.pdf>.
- Defense Business Board. *Review of the National Security Personnel System*. Washington, DC: Department of Defense, 2009.
http://dbb.defense.gov/pdf/Review_of_National_Security_Personnel_System_Final_Report.pdf.
- Department of Defense, "Keys to Success for National Security Professionals," *Civilian Personnel Management Service*. Washington DC, November 2008.
<http://www.cpms.osd.mil/ASSETS/10EDFE4B2416488498EADE67FDEF959C/Keys%20to%20Success%2011-21-08%20.pdf>
- Department of Defense, "National Security Professional Development Program," *Civilian Personnel Management Service*. Washington DC.
[http://www.cpms.osd.mil/ASSETS/EF2435B2205346B5851BEDDF3ECBE9B6/NSPD%20101%20April%2016%20\(2\)%20\(3\).pdf](http://www.cpms.osd.mil/ASSETS/EF2435B2205346B5851BEDDF3ECBE9B6/NSPD%20101%20April%2016%20(2)%20(3).pdf).
- Department of Defense, "Shared Capabilities [Need by NSPs]." *Civilian Personnel Management Service*. Washington DC.
<http://www.cpms.osd.mil/ASSETS/B2E53881A45F40C8A286C951E400893F/Shared%20Capabilities.PDF>.
- Department of Defense, *Department of Defense Civilian National Security Professional Development Implementation Plan*. Washington DC: Civilian Personnel Management Service, 19 September 2008.
<http://www.cpms.osd.mil/ASSETS/850366BF76BE4409BBD1C01596E85B8F/Draft%20OD%20NSPD%20IP%20Sept%2019%20v6.pdf>.
- Department of Defense. "Defense Senior Leader Development Program (DSLDP)." Washington, DC, 21 October 2007



<http://www.cpms.osd.mil/ASSETS/7338B3AFA4B44118868329CF8B886A21/Program%20Information%202011.pdf>.

Department of Defense. "Department of Defense Results of the OPM Senior Executive Service Survey 2008." *Civilian Personnel Management Service*.
<http://www.cpms.osd.mil/sespm/docs/DoDChartsCovering2008OPMSESSurveyWebsite.pdf>.

Department of Defense. "DoD's Leadership Journey: What's in it for you?" *Civilian Personnel Management Service*. July 2009.
<http://www.cpms.osd.mil/ASSETS/FFCB5749E19B482F9BB06D170D8930E9/DoDs+Leadership+Journey+Whats+In+It+For+You-DRude.pdf>.

Department of Defense. "DSLDP Informational Briefing." *Civilian Personnel Management Service*. 20 June 2010.
<http://www.cpms.osd.mil/ASSETS/2F792DE33C9F4D1F9E51DE66AAD5F2FB/DSLDP%20Program%20Brief%20-%20June%202010.pdf>.

Department of Defense. "DSLDP: Frequently Asked Questions." *Civilian Personnel Management Service*. Washington, DC,
<http://www.cpms.osd.mil/ASSETS/DC52BBE6B2F040568615530E23F2E936/DSLDP%20Frequently%20Asked%20Questions%20-%20w%20bookmarks.pdf>.

Department of Defense. "Fiscal Year (FY) 2011 Budget Estimates National Defense University (NDU)." *Office of the Undersecretary of Defense (Comptroller)*. Washington, DC, February 2010. <http://comptroller.defense.gov/defbudget/fy2011/budget>.

Department of Defense. "Informational Briefing: Defense Senior Leader Development Program." *Civilian Personnel Management Service*. Washington, DC,
<http://www.cpms.osd.mil/ASSETS/2F792DE33C9F4D1F9E51DE66AAD5F2FB/DSLDP%20Program%20Brief%20-%20June%202010.pdf>.

Department of Defense. "Joint Officer Program Fact Sheet." *Office of the Undersecretary of Defense for Personnel and Readiness*. 21 February 2008.
<http://www.arpc.afrc.af.mil/shared/media/document/AFD-080723-069.ppt>.

Department of Defense. "National Security Professional Development." *Civilian Personnel Management System*. Washington, DC.
http://www.cpms.osd.mil/lpdd/nspd/nspd_index.aspx.

Department of Defense. *DARPA Urban Challenge*. Defense Advanced Research Projects Agency. October 2010. <http://www.darpa.mil/grandchallenge>.

Department of Defense. *DOD Financial Management Regulation*. Volume 2B, Ch. 9. Washington, DC: Department of Defense, June 2010.
http://comptroller.defense.gov/fmr/02b/02b_09.pdf.



Department of Defense. *Joint Officer Management Joint Qualification System Implementation Plan*. Washington DC, March 30, 2007.

<http://www.defense.gov/transformation/documents/jomjqsimplementationplan.doc>.

Department of Defense. *Joint Officer Management Joint Qualification System Implementation Plan*. Washington D.C.: Department of Defense, 30 March 2007.

<http://www.defense.gov/transformation/documents/jomjqsimplementationplan.doc>.

Department of Defense. *Quadrennial Defense Review Report*. Washington, DC, 6 February 2006. <http://www.defense.gov/qdr/report/report20060203.pdf>.

Department of Defense. *Strategic Plan for Joint Officer Management and Joint Professional Military Education*. Washington DC: Department of Defense, 3 April 2006.

<http://www.defense.gov/transformation/documents/DoDStratPlan-JOMJPME.pdf>.

Department of Homeland Security. *Bottom-Up Review Report*. Washington, DC, July 2010.

http://www.dhs.gov/xlibrary/assets/bur_bottom_up_review.pdf.

Department of Homeland Security. *Department of Homeland Security National Security Professional Development Implementation Plan*. Washington, DC, 1 October 2008.

Department of Homeland Security. *National Incident Management System*. Washington, DC: Government Printing Office, 2008.

http://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf.

Department of Homeland Security. *National Response Framework*. Washington, DC, January 2008. <http://www.fema.gov/pdf/emergency/nrf/nrf-core.pdf>.

Department of Homeland Security. *Quadrennial Homeland Security Review Report: A Framework for a Secure Homeland (QHSR)*. Washington, DC, February 2010.

http://www.dhs.gov/xlibrary/assets/qhsr_report.pdf.

Department of Labor. "Rights and Responsibilities: Under the LMRDA and CSRA." *Office of Labor Management Standards*. Washington, DC, 24 March 2009.

http://www.dol.gov/olms/regs/compliance/rights_resps.htm.

Department of State. *Civilian Response*. Coordinator for Reconstruction and Stabilization. No. 10, Spring 2010. <http://www.crs.state>.

Department of State. *U.S. Department of State National Security Professional Implementation Plan*. Washington, DC, 15 September 2008.

Dixon, Patrick. "Wake up to the stronger tribes and longer life." *Financial Times*. 31 October 2005.



- DoD Dictionary of Military Terms*. Joint Doctrine Division. April 2010.
http://www.dtic.mil/doctrine/dod_dictionary.
- Dorman, Shawn. "Iraq PRTs: Pins on a Map." *Foreign Service Journal*. Vol. 84, No. 3, March 2007, p. 22-39. http://www.afsa.org/fsj/mar07/iraq_prts_1.pdf.
- Drolet, John, "Provincial Reconstruction Teams: Afghanistan vs. Iraq -- Should We have a Standard Model?" Carlisle Barracks, PA: U.S. Army War College Strategy Research Project, 15 March 2006. <http://www.strategicstudiesinstitute.army.mil/pdf/files/ksil333.pdf>.
- Dziedzic, Michael and Colonel Michael Seidl. "Provincial Reconstruction Teams and Military Relations with International and Non-governmental Organizations in Afghanistan," *Special Report 147*. Washington, DC: United States Institute of Peace, September 2005.
http://www.usip.org/library/oh/afghanistan_prt.html.
- Eck, Larry R. "Marine Corps Joint Officer Management Policy and O-7 Joint Officer Service Requirements." Monterey, CA: Naval Postgraduate School, June 2007.
<http://www.nps.edu/research/hcs/docs/eck.pdf>.
- Editorial, "Ban Government Employee Unions." *Washington Examiner*. 16 November 2009.
<http://www.washingtonexaminer.com/opinion/Ban-government-employee-unions-8528271.html>.
- England, Gordon. *DoD Directive 1403.03*, "The Career Lifecycle Management of the Senior Executive Service Leaders Within the Department of Defense." Washington, DC: Department of Defense, 25 October 2007. <https://acc.dau.mil/adl/en-US/179164/file/31479/DOD%20Directive%201403.03.pdf>.
- England, Gordon. *National Security Professional (NSP) Implementation*. Washington, DC: Department of Defense, 16 September 2008.
<http://www.cpms.osd.mil/ASSETS/95F737AEB60C42CCB604365A6FDEC23D/DepSec%20NSP%20Memo.pdf>.
- Eronen, Oskari "PRT Models in Afghanistan: Approaches to Civil-Military Integration." *Civilian Crisis Management Studies*. Vol. 1, No. 5, 2008.
<http://www.cmcfinland.fi/pelastus/cmc/home.nsf/pages/A6C440E9B10A751CC225745600614278?opendocument>.
- Executive Office of the President, National Economic Council, Office of Science and Technology Policy. *A Strategy for American Innovation: Driving Towards Sustainable Growth and Quality Jobs*. Washington, DC, September 2009.
<http://www.whitehouse.gov/sites/default/files/microsites/ostp/innovation>.
- Federal Emergency Management Agency. *National Disaster Recovery Framework – Draft*. Washington, DC, 5 February 2010.
http://www.fema.gov/pdf/recoveryframework/omb_ndrf.pdf.



- Fisk, Peter. *Marketing Genius*. West Sussex, England: Capstone, 2006.
- Garska, John. "Integrating Innovation, Leadership, and Cultural Change: Presentation to the Workshop on Transforming the Culture of DoD." *Office of Force Transformation, Office of the Secretary of Defense*. Washington, DC, 21 October 2003.
http://www.au.af.mil/au/awc/awcgate/transformation/oft_garstka_21oct03.pdf.
- Gates, Robert. *Remarks as Delivered by Secretary of Defense Robert M. Gates*. Washington, DC: The Nixon Center. 24 February 2010.
- Ginsburg, Wendy. *Pay-for-performance: The National Security Personnel System*. Order Code RL34673. Washington, DC, 18 December 2009. http://assets.opencrs.com/rpts/RL34673_20091218.pdf.
- Goss, Kay C. "Emergency Services Credentialing: FEMA Leads the Way," *DomPrep Journal*. Vol. 5, No. 8, August 2009: 10-12.
<http://www.domesticpreparedness.com/pub/docs/DPJournalAug09.pdf>.
- Government Accountability Office. *Department of State: Additional Steps Needed to Address Continuing Staffing and Experience Gaps at Hardship Posts*. Washington, DC, September 2009. <http://www.gao.gov/new.items/d09874.pdf>.
- Government Accountability Office. *Human Capital DOD Needs to Improve Implementation of and Address Employee Concerns about Its National Security Personnel System*. Washington, DC, September 2008. <http://www.gao.gov/new.items/d08773.pdf>.
- Government Accountability Office. *Human Capital- Sustained Attention to Strategic Human Capital Management Needed*. Washington, DC, 22 April 2009.
<http://www.gao.gov/new.items/d09632t.pdf>.
- Government Accountability Office. *Military Personnel: Joint Officer Development Has Improved, but a Strategic Approach is Needed*. Washington, DC, December 2002.
www.gao.gov/new.items/d03238.pdf.
- Government Accountability Office. *Provincial Reconstruction Teams in Afghanistan and Iraq*. Washington, DC, 1 October, 2008. <http://www.gao.gov/new.items/d0986r.pdf>.
- Government Accountability Office. *Results-Oriented Cultures: Implementation Steps to Assist Mergers and Organizational Transformations*. Washington, DC, July 2003.
<http://www.gao.gov/new.items/d03669.pdf>.
- Government Accountability Office. *Results-Oriented Government: Practices That Can Help Enhance and Sustain Collaboration among Federal Agencies*. Washington, DC:, 21 October 2005. <http://www.gao.gov/new.items/d0615.pdf>.



- Government Accountability Office. *Stabilization and Reconstruction: Actions Are Needed to Develop a Planning and Coordination Framework and Establish the Civilian Reserve Corps*. Washington, DC, 6 November 2007. <http://purl.access.gpo.gov/GPO/LPS90207>.
- Graves, Howard and Ron Snider, "Emergence of the Joint Officer," *Joint Force Quarterly*. Autumn 1996. Washington, DC: NDU Press, 53-57. www.dtic.mil/doctrine/jel/jfq_pubs/1213.pdf.
- Haga, Barbara I. and Roger Richman, William Leavitt. "System Failure: Implementing Pay-for-Performance in the Department of Defense's National Security Personnel System." *Public Personnel Management*. Vol. 39, Issue 3. 221-241. 22 September 2010. <http://www.thefreelibrary.com/System+failure%3A+implementing+pay+for+performance+in+the+Department+of...-a0237304535>.
- Halstead, Ted W. "Political Advisors: The Interagency Process As It Should Be?" Washington, D.C: National Defense University, National War College, 2002. <http://www.dtic.mil/cgi-bin/GetTRDoc?AD=ADA442956&Location=U2&doc=GetTRDoc.pdf>.
- Harrell, Margaret C. *A Strategic Approach to Joint Officer Management: Analysis and Modeling Results*. Santa Monica, CA: RAND, 2009. http://www.rand.org/pubs/monographs/2009/RAND_MG886.pdf.
- Haywood, Susan, and Winston Sarin, Shaun Vollick. "Digital Reinvention of HR Processes and the Role of the Millennial Generation," *Workforce Solutions Review Online*. September 2010. http://www.ihrimpublications.com/WSR_Online_Archives/Digital_Reinvention_of_HR_Processes_and_the_Role_of_the_Millennial_Generation.php.
- Herbst, John E. "S/CRS 2009 Year in Review." *Office of the Coordinator for Reconstruction and Stabilization*. Washington, DC, 1 March 2010. <http://www.state>.
- Hopkins ,Diana "The Development of National Standards for Credentialing," *DomPrep Journal*. Vol. 5 No. 8. 27 August 2010: 5-6. <http://www.domesticpreparedness.com/pub/docs/DPJournalAug09.pdf>.
- "Incentive and Special Pay: 2010." *2010 Military*. <http://www.2010military.com/military>.
- "IT Roadmap Initiative." *USA Learning*. <http://itroadmap.usalearning.gov/doc/AboutUs.aspx>.
- Jackson, William. "Social media helps NRC combat brain drain," *Government Executive Magazine*. 2 September 2010 <http://gen.com/articles/2010/09/06/nrc-gov-2.0.aspx>.
- Jacobs, T. Owen. *Strategic leadership: The competitive edge*. Washington, DC: NDU Press, 2008.
- Johnson, Erik. "Diplomacy in Distribution," *Army.mil*. Washington, DC, June 15, 2010,



<http://www.army.mil/-news/2010/06/15/40884-diplomacy-in-distribution/>.

- Kavanagh, Michael J. and Mohan Thite. *Human Resource Information Systems: Basics, Applications, and Future Directions*. Los Angeles, CA: Sage, 2009.
- Keller, Scott, and Mary Meaney, Caroline Pung. "What successful transformations share: McKinsey Global Survey results." *The McKinsey Quarterly*. New York, NY: McKinsey and Company, 30 September 2010.
- Kenyon, Henry. "Government waking up to social media, survey finds." *Government Computer News*. 24 September 2010. <http://gcn.com/Articles/2010/09/24/Study-Outlines-Government-Social-Media-Use.aspx?Page=3>.
- Kettemen, Mark. "Workplace Technology, W3: IBM's On Demand Workplace, a WebSphere Portal Reference." *IBM*. 2005.
<http://www.websphereusergroup.org.uk/downloads/05feb/Mark%20Ketteman%20-%20W3%20IBMs%20On%20Demand%20Workplace%20-%20A%20WebSphere%20Portal%20Reference.pdf>.
- Kichak, Nancy H. "National Security Professional Development." *Statement before the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia, Committee on Homeland Security and Government Affairs, United States Senate*. Washington, DC: 20 April 2009.
http://www.opm.gov/News_Events/congress/testimony/111thCongress/04_30_2009.asp.
- Kirkner, Rob and Steve Sharfstein. *Aligning Traditional Collective Bargaining with Non-Traditional Labor Relations*. Interagency Labor Relations Forum. Washington, DC, 2001.
<http://www.ilrf.net/docs/AligningBargaining.pdf>.
- "The Kirkpatrick Philosophy." *Kirkpatrick Partners*.
<http://www.kirkpatrickpartners.com/OurPhilosophy/tabid/66/Default.aspx>.
- Koerner, Penny and Karen Spracher. "National Security Professional Development: Full Steam Ahead." *DoD Executive Management Training Center*. Southbridge, MA, April 28, 2010,
<http://www.cpms.osd.mil/ASSETS/58D993EE8EF84B8C8D40882764257732/2.6%20NSPD%20Full%20Steam%20Ahead.pdf>.
- Kotter, John P. "Leading change: why transformation efforts fail." *Harvard Business Review*. 96. 2007.
- Lawrence, Paul R. and Nitin Nohria, *Driven: How Human Nature Shapes Our Choices*. San Francisco, CA: Jossey-Bass, 2002.
- Levy, Angela N. "A Look at Federal Employee Unions," *Oh My Gov*, 2 February 2009.
http://ohmygov.com/blogs/general_news/archive/2009/02/02/a-look-at-federal-employee-unions.aspx.



- Lidy, A M. *A Snapshot of Emerging U.S. Government Civilian Capabilities to Support Foreign Reconstruction and Stabilization Contingencies*. Alexandria, VA: Institute for Defense Analyses, 2006. <http://www.crs.state>.
- Lidy, A M. *Joint Interagency Evaluation: Manning a Civil Reconstruction and Response Capability*. Alexandria, VA: Institute for Defense Analyses, 2006.
- Locatis, Michael, *Colorado State First Responder Authentication Credential Standards*. Reference 07-200. Denver, CO: Governor's Office of Information Technology, 2008. <http://www.colofirechiefs.org/CSFCA%20Documents/COFRAC>.
- Losey, Stephen. "Intelligence leaders fault joint-duty programs." *Federal Times*. Washington DC: April 6, 2010. <http://www.federaltimes.com/article/20100406/AGENCY02/4060311/-1/RSS>.
- Lynn, William S. "Executive Support for the Defense Senior Leader Development Program Class of 2010." *Civilian Personnel Management Service*. Washington, DC, <http://www.cpms.osd.mil/ASSETS/7C05287B1CCA495288EE21D07CAB8B41/DEPSECEEF%20Endorsement%20of%20DSLDP.pdf>.
- Manning, Timothy W. "Memorandum for: All Fema Employees, Establishment of a National Credentialing Program." *Department of Homeland Security*. Washington, DC, 24 August 2010. <http://www.scfirechiefs.com/Memo%20to%20FEMA%20employees.pdf>.
- McConnel, John M. *Intelligence Community Directive Number 610: "Competency Directories for the Intelligence Community Workforce."* Office of the Director of National Intelligence. 1 September 2008. <http://www.fas.org/irp/dni/icd/icd-610.pdf>.
- McGinn, Gail. *DoD Directive 1430.16, "Growing Civilian Leaders."* Washington, DC: Department of Defense, 19 November 2009. <http://www.dtic.mil/whs/directives/corres/pdf/143016p.pdf>.
- McGuire, John B. et al. *Transform Your Organization-Global Organizational Development White Paper Series*. Center for Creative Leadership, 2009. <http://www.ccl.org/leadership/pdf/solutions/TYO.pdf>.
- McNerney, Michael J. "Stabilization and Reconstruction in Afghanistan: Are PRTs a Model or a Muddle?" *Parameters*. Winter 2005-2006. Carlisle Barracks, PA: US Army War College, 32-46. <http://www.carlisle.army.mil/USAWC/parameters/Articles/05winter/mcnerney.htm>.
- Metter, Evan and Vlad Gyster, Rob Lamson. "Enterprise 2.0 and HR: Realizing the Potential." *IHRIM Journal*. Vol. 12, No. 5, 2008. http://www.towersperrin.com/tp/getwebcachedoc?country=usa&webc=USA/2009/200901/IHJour_XII_No5_p03_08.pdf.



- Meyerson, Debra and Joanne Martin, "Culture Change: An Integration of three different views." *Journal of management Studies*. Vol. 24, No. 6, November, 1987, 623-648.
- Murlidhar, Namrata. "HR Begins to tap the Potential of Social Business Software." *Workforce Solutions Review Online*. September 2010
http://www.ihrimpublications.com/WSR_Online_Archives/HR_Begins_to_tap_the_Potential_of_Social_Business_Software.php.
- Murphy, Patrick W. and Thomas Vandal. "Winning in Iraq by working together." *Washington Times*. 15 July 2010. <http://www.washingtontimes.com/news/2010/jul/15/winning-in-iraq-by-working-together/>.
- National Security Professional Development Integration Office. *National Strategy for the Development of Security Professionals*. 17 May 2007.
<http://www.cpms.osd.mil/ASSETS/13DCDB52B7D7453A9F78343E46F11F99/National%20Strategy%20for%20Professional%20Development.pdf>.
- National Wildfire Coordinating Group. *About Ross*. Resource Ordering and Status System. July 2009. <http://ross.nwcg.gov/aboutross.html>.
- Navas, Jr., William A. "Statement for the Record of Major General (retired) William A. Navas, Jr. Committee on Homeland Security and Governmental Affairs." Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia, U.S. Senate. Washington, DC, 30 April 2009,
http://hsgac.senate.gov/public/index.cfm?FuseAction=Files.View&FileStore_id=03d86a15-cad9-4582-a8ae-42172615a6ba.
- "Navy Reenlistment Incentives." *About.com*.
<http://usmilitary.about.com/od/navy/l/blreenlist.htm>.
- Neary, Patrick C. "Intelligence Reform, 2001–2009: Requiescat in Pace?" *Studies in Intelligence* Vol. 54, No. 1. Washington, DC, March 2010. <https://www.cia.gov/library/center-for-the-study-of-intelligence/csi-publications/csi-studies/studies/volume-54-number-1/PDFs-Vol.-54-No.1/U-%20Studies%2054no1-IntelReform2001-2009-Web.pdf>.
- Nelson, Kurt. *Motivation and the Brain: How incentives affect the brain and motivation*. The Lantern Group. 2009. <http://lanterngroup.biz/papers/motivebrain.pdf>.
- Nohria, Nitin, and Boris Groysberg, Linda-Eling Lee. "Employee Motivation, a Powerful New Model." *Harvard Business Review*. Vol 86, No. 10, October 2008, 133-134.
- NSPD Training and Education Portal. Civilian Personnel Management Service.
<http://www.cpms.osd.mil/forms/lpdd/nspd/training>.
- Obama, Barack. Creating Labor-Management Forums to Improve Delivery of Government Services. Executive Order 13522. 14 December 2009.



- Office of Personnel Management, *Incentives and Employee Recognition*. Washington, DC, September 2005. http://www.opm.gov/hcaaf_resource_center/assets/Tal_tool1.pdf.
- Office of Personnel Management. "Executive Development Plan Template." *Office of Personnel Management*. <http://www.opm.gov/ses/references/EDPTemplate.pdf>.
- Office of Personnel Management. "A Closer Look at Nonmonetary Awards" Washington, DC: OPM Archive, April 1996. <http://www.opm.gov/perform/articles/003.asp>.
- Office of Personnel Management. "Emerging Issues in Employee Incentives and Recognition." Washington, DC: OPM Archive, October 1998
<http://www.opm.gov/perform/articles/207.asp>.
- Office of Personnel Management. "IAG Minutes March 1999." Washington, DC: OPM Archive, March 1999. <http://www.opm.gov/perform/articles/1999/399iagmn.asp>.
- Office of Personnel Management. "Time-off Awards: Reviewing the Basics." Washington, DC, June 1999). <http://www.opm.gov/perform/articles/1999/jun99-4.asp>.
- Office of Personnel Management. "Using "Non-monetary items" as Incentive Awards." Washington, DC: OPM Archive, January 1999.
- Office of Personnel Management. *A Status Report on Personnel Demonstration Projects in the Federal Government*. December 2006.
- Office of Personnel Management. *Federal Awards Statistics for Fiscal Year 2008*. Washington, DC.
- Office of Personnel Management. *Human Resources Flexibilities and Authorities in the Federal Government*. Washington, DC, January 2008. <http://www.opm.gov/omsoe/hr-flex/>.
- Office of Personnel Management. *Migration Planning Guidance (MPG)*, Washington, DC. <http://www.opm.gov/egov/documents/mpg/overview.asp>.
- Office of Personnel Management. *Strategic Management of Human Capital Second Quarter FY 2005 Update*. Washington, DC, 25 April 2005.
<http://apps.opm.gov/humancapital/stories/2005/Quarter2.cfm>.
- "Office of the Coordinator for Foreign Policy Advisors (PM/POLAD)." *Department of State*, Washington, DC. <http://www.state>.
- Office of the Director of National Intelligence, *The US Intelligence Community and the President's National Security Professional Development Initiative Implementation Plan*. October 2008.



- Office of the Director of National Intelligence. *Joint Duty Assignment Program Frequently Asked Questions*.
http://www.oni.navy.mil/cipo/PDF/joint_duty/JDA%20Frequently%20Asked%20Questions.doc.
- Olivo, Kenneth “Reserve Joint Officer Qualification System – Getting It Right.” *Strategy Research Project*. Carlisle Barracks, PA: US Army War College, 15 March 2008.
<http://www.dtic.mil/cgi-bin/GetTRDoc?AD=ADA478984&Location=U2&doc=GetTRDoc.pdf>.
- "Pay Equity." *The Vanguard*. Vol. 2, Issue 2. Washington, DC: American Foreign Service Association, May 2008.
- Pendleton, John H. “Interagency Collaboration Practices and Challenges at DoD’s Southern and Africa Commands.” Statement before the Subcommittee on National Security and Foreign Affairs, Committee on Oversight and Government Reform, U.S. House of Representatives. Washington, DC, 28 July 2010. <http://www.gao.gov/new.items/d10962t.pdf>.
- Perito, Robert. “The U.S. Experience with Provincial Reconstruction Teams in Afghanistan – Lessons Identified,” *Special Report 152*. Washington, DC: United States Institute of Peace, October 2005 <http://www.usip.org/resources/us-experience-provincial-reconstruction-teams-afghanistan-lessons-identified>.
- Perito, Robert. “The U.S. Experience with Provincial Reconstruction Teams in Afghanistan: Lessons Indentified.” *Special Report 152*. Washington, DC: United States Institute of Peace, October 2005. <http://www.usip.org/pubs/specialreports/sr152.pdf>.
- Perito, Robert. “The US Experience with Provincial Reconstruction Teams in Iraq and Afghanistan.” *Statement for the House Armed Services Committee, Subcommittee on Oversight and Investigations, U.S. House of Representatives*. Washington, DC, October 17, 2007. <http://www.usip.org/publications/us-experience-provincial-reconstruction-teams-iraq-and-afghanistan>.
- Pink, Daniel H. *Drive: The Surprising Truth About What Motivates Us*. New York, NY: Riverhead Books, 2009.
- Polk, Robert and Merriam Mashatt. “From Deploying Individuals to Deploying Departments.” *Prism*, No. 1, No. 3. Washington DC: NDU Press, July 2010.
<http://www.ndu.edu/press/from-deploying-individuals.html>.
- Polson, Cheryl J., and John M. Persyn, O. Shawn Cupp. “Partnership in Progress: A Model for Development of a Homeland Security Graduate Degree Program.” *Homeland Security Affairs*. Vol. 6, No. 2. May 2010. www.hsaj.org/pages/volume6/issue2/pdfs/6.2.3.pdf.
- “Project Announcement Visibility Effort.” NASA. <https://smith.hq.nasa.gov/pave/login.cfm>.



- Project on National Security Reform, *State/Local Issue Team Solution Set*. Arlington, VA, 30 October 2008. <http://www.pnsr.org/data/files/additional%20research/state>.
- Project on National Security Reform. *Forging a New Shield*, Arlington, VA, November 2008. http://pnsr.org/data/files/pnsr_forging_a_new_shield_report.pdf.
- Project on National Security Reform. *Recalibrating the System: Toward Efficient and Effective Resourcing of National Preparedness*. Arlington, VA, December 2009. http://www.pnsr.org/data/files/pnsr_national_preparedness_system.pdf.
- Project on National Security Reform. *Towards Integrating Complex National Missions: Lessons from the National Counterterrorism Center's Directorate of Strategic Operational Planning*. Arlington, VA, 2010. http://www.pnsr.org/data/files/pnsr_nctc_dsop_report.pdf.
- Rehorn, W.L. "Joint Officer Utilization, Selection and Command" *Strategy Research Report*. Carlisle Barracks, PA: US Army War College, 30 March 2007. <http://www.dtic.mil/cgi-bin/GetTRDoc?AD=ADA468946&Location=U2&doc=GetTRDoc.pdf>.
- Rittel, Horst and Melvin Webber; "Dilemmas in a General Theory of Planning," *Policy Sciences* Vol. 4, No. 2. June 1978. 155–169.
- Rosenberg, Alyssa. "Obama Labor Relations Proposal Draws Praise." *Government Executive*. Washington, DC, 14 August 2009. <http://www.govexec.com/dailyfed/0809/081409ar1.htm>.
- Rudner, Glen. "Qualifications, Credentials, and the Need for Speed," *DomPrep Journal*. Vol. 5, No. 8. August 2009, 14-15. <http://www.domesticpreparedness.com/pub/docs/DPJournalAug09.pdf>.
- Ruiz, Moses T. *Sharpening the Spear: The United States' Provincial Reconstruction Teams in Afghanistan*. Texas State University-San Marcos, Dept. of Political Science, Public Administration Program. 2009. <http://ecommons.txstate.edu/arp/297>.
- Scheider, Paul A. DHS Directive System Directive Number 250-01, "Rotational Assignments." Washington, DC: Department of Homeland Security, 13 November 2007. www.dhs.gov/xlibrary/assets/foia/mgmt_rotational%20assignments_md%20250-01.pdf.
- Schein, Edgar H. "Innovative Cultures & Organizations" *Information Technology and the Corporation of the 1990s: Research Studies*. Ed. Thomas J. Allen & Michael S. Scott Morton. New York, NY: Oxford University Press, 1994.
- Schein, Edgar H. "Leadership and Organizational Culture." *The Leader of the Future*. Ed. Frances Hesselbein, Marshall Goldsmith, & Richard Beckhard. San Francisco, CA: Jossey-Bass, 1996. <http://www.hss.doe.gov/deprep/archive/oversight>.
- Schein, Edgar H. *Organizational and Managerial Culture as a Facilitator or Inhibitor of Organizational Learning*. Working Paper 3831. Cambridge, MA, 29 June 1995.



<http://dspace.mit.edu/bitstream/handle/1721.1/2581/SWP-3831-33296477.pdf;jsessionid=0A1FFE5A8475E1BA555CBDF5B4585D72?sequence=1>.

Senge, Peter et al. *The Dance of Change : The Challenges of Sustaining Moment in Learning Organizations*. New York, NY: Doubleday, 1999.

Sharp, Walter. *CJCS Instruction 1330.5*, "Joint Officer Management Program." Washington, DC, 1 May 2008. www.ndu.edu/jrac/docUploaded/CJCSI%201330-05.pdf.

Singer, Larry. "Web 2.0 and Social Networking Ideas for Government CIOs," *Government Technology*. 10 March 2008. <http://www.govtech.com/policy-management>.

Skinner, Danielle. "Senior Pentagon State Department Officials Discuss ' Militarization of Foreign Polity ' at Congressional Hearing." *US Africa Command*. August 1, 2008, <http://www.africom.mil/getArticle.asp?art=1959>.

Smeaton, Jo "IBM's Own Intranet: Saving Big Blue Millions," *Intranet Journal*. 25 September 2002. http://www.intranetjournal.com/articles/200209/ij_09_25_02b.html.

SpaceBook. White House. October 2010. <http://www.whitehouse.gov/open/innovations/spacebook>.

Special Inspector General for Iraq Reconstruction. *Applying Iraq's Hard Lessons to the Reform of Stabilization and Reconstruction Operations*. Arlington, VA, February 2010. <http://www.sigir.mil/files/USOCO/ApplyingHardLessons.pdf#view=fit>.

Special Inspector General for Iraq Reconstruction. *Hard Lessons: The Iraq Reconstruction Experience*. Arlington, VA, 2009. http://www.sigir.mil/files/HardLessons/Hard_Lessons_Report.pdf.

Special Inspector General for Iraq Reconstruction. *Iraq Reconstruction: Lessons in Human Capital Management*. Arlington, VA, January 2006. <http://www.crs.state>.

Springer, Linda M. "Federal Pay Policies and Administration." *Statement before the Subcommittee on Federal Workforce, Postal Service, and the District of Columbia, U.S. Senate*. Washington, DC, 31 July 2007. <http://oversight>.

St. Laurent, Janet A. "Status: Improve the Timely and Accurate Delivery of Compensation and Medical Benefits to Deployed Civilians," *Statement before the Subcommittee on Oversight of Government Management, Committee on Homeland Security and Government Affairs, U.S. Senate*. Washington, DC, 14 April 2010. <http://www.gao.gov/new.items/d10615t.pdf>.

Stecher, Brian M. and Frank Camm, Cheryl L. Damberg, Laura S. Hamilton, Kathleen J. Mullen, Christopher Nelson, Paul Sorensen, Martin Wachs, Allison Yoh, Gail L. Zellman, with Kristin J. Leuschner. *Toward a Culture of Consequences: Performance-Based Accountability Systems for Public Services*. Santa Monica, CA: RAND Education, 2010.



<http://www.rand.org/pubs/monographs/MG1019>.

Steitz, David E. "Release: 10-162, NASA Announces Three New Centennial Challenges." NASA. Washington, DC, 13 July 2010. http://www.nasa.gov/home/hqnews/2010/jul/HQ_10-162_New_Centennial_Challenges.html.

Stolovitch, Harold D. *Incentives, Motivation and Workplace Performance: Research & Best Practices*. New York, NY: Incentive Research Foundation, Spring 2002. <http://www.loyaltyworks.com/incentive-program-research-articles/ispifullpdf.pdf>.

"Student Loan Repayment Program Fact Sheet." *Office of Personnel Management*. <http://www.opm.gov/oca/pay/studentloan>.

Sviokla, John. *The Rise of the Networked Organizations*. Chicago, IL: Diamond Consultants, Spring, 200., http://exchange.diamondconsultants.com/pdf/Network_Org_White_Paper.pdf.

Szayna, Thomas S. *Integrating Civilian Agencies in Stability Operations*. Santa Monica, CA: RAND, 2009. <http://www.rand.org/pubs/monographs/MG801/>.

Tharp, Bruce M. *Four Organizational Culture Types- Haworth Organizational Culture White Paper*. Holland, MI: Haworth, April 2009. http://www.haworth.com/en-us/Knowledge/Workplace-Library/Documents/Four-Organizational-Culture-Types_6.pdf.

The Homeland Security and Defense Education Consortium Association. Lithia, FL. <https://www.hsdeca.org/>.

Thie, Harry J, Margaret C. Harrell, Roland J. Yardley, Marian Oshiro, Holly A. Potter, Peter Schirmer, and Nelson Lim. *Framing a Strategic Approach for Joint Officer Management*. Santa Monica, CA: RAND National Defense Research Institute, 2005. <http://www.rand.org/pubs/monographs/MG306/>.

Thompson, James and Rob Seidner. *Federated Human Resource Management in the Federal Government: The Intelligence Community Model 2009*. Human Capital Series. Washington, DC: IBM Center for the Business of Government, 2009. <http://www.businessofgovernment.org/report/federated-human-resource-management>.

Thompson, James R. "National Security Reform: Implementing a National Security Service Workforce" *Statement to the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia, U.S. Senate*. Washington, DC, 30 April 2009. http://hsgac.senate.gov/public/index.cfm?FuseAction=Files.View&FileStore_id=53914fed-5911-4ff3-86ba-e5a95b7f769d.

Towers Watson. *2010 Global Talent Management and Rewards Survey Report*. <http://www.towerswatson.com/talent-management>.



- Tuggle, Ronald. "National Security Professional Development: Current State of Play. Defense Leadership Summit." *DoD Executive Management Training Center*. Southbridge, MA: 27 April 2010.
<http://www.cpms.osd.mil/ASSETS/CDE1CCFAC6C94B3DBCE8C9E3262A06D7/2.3%20NSPD%20Current%20State%20of%20Play.pdf>.
- U.S. Agency for International Development. *Automated Directives System*, "ADS 601 - Funding Source Policy, Functional Series 600 – Budget and Finance." Washington, DC, 10 February 2004. <http://www.usaid.gov/policy/ads/600/601.pdf>.
- U.S. Agency for International Development. *Human Capital Strategic Plan, 2004- 2008: Building a New Generation*. Washington, DC, August 2004.
http://pdf.usaid.gov/pdf_docs/PDACA455.pdf.
- U.S. Agency for International Development. *Provincial Reconstruction Teams in Afghanistan: An Interagency Assessment*. Washington, DC, June 2006.
http://pdf.usaid.gov/pdf_docs/PNADG252.pdf.
- U.S. House of Representatives. 110th Congress. H.R. 1084. Reconstruction and Stabilization Civilian Management Act of 2008. Washington, DC, 2008.
<http://purl.access.gpo.gov/GPO/LPS91857>.
- U.S. House of Representatives. *Agency Stovepipes vs. Strategic Agility: Lessons We Need to Learn from Provincial Reconstruction Teams in Iraq and Afghanistan*. Committee on Armed Services, Subcommittee on Oversight and Investigations. Washington, DC, April 2008, http://armedservices.house.gov/pdfs/Reports/PRT_Report.pdf.
- U.S. House of Representatives. *Deploying Federal Civilians to the Battlefield: Incentives, Benefits, and Medical Care*. Committee on Armed Services, Subcommittee on Oversight and Investigations, Washington, DC, April 2008.
<http://armedservices.house.gov/pdfs/Reports/CiviliansonBattlefieldReport.pdf>.
- U.S. House of Representatives. Office of the Law Revision Counsel. *10 U.S. Code, Section 668 Definitions*. 1 February 2010. <http://uscode.house.gov>.
- U.S. House of Representatives. Office of the Law Revision Counsel. TITLE 31 , SUBTITLE II , CHAPTER 15 , SUBCHAPTER III , § 1531.
- U.S. House of Representatives. Office of the Law Revision Counsel. *5 U.S. Code, Chapter 54*. 1 February 2010. <http://uscode.house.gov/download/pls/05C54.txt>.
- U.S. Merit Systems Protection Board. *Managing for Engagement, Communication, Connection and Courage*. Washington, DC, July 2009. http://www.doi.gov/hrm/MSPB_Response.pdf.
- United States Institute of Peace. Conference Report on "Reconstruction and Stabilization Operations: The Challenge Before Us." Washington, DC, 23 March 2005.



<http://www.crs.state>.

Walker, David. *Post-hearing Questions Related to Proposed Department of Defense (DOD) Human Capital Reform*. Washington, DC: Government Accountability Office, 3 July 2003. <http://www.gao.gov/new.items/d03965r.pdf>.

Weick, Karl E. and Kathleen M. Sutcliffe, *Managing the Unexpected: Resilient Performance in an Age of Uncertainty*. San Francisco, CA: Jossey-Bass, 2007.

“What is Pave?” *Career Management Office*. Washington, DC: NASA. <http://www.hq.nasa.gov/office/codecc/Pages/pave.htm>.

White House. *Budget of the United States Government, FY2011*. Washington, DC, 2010. <http://www.whitehouse.gov/omb/budget>.

White House. *Federal Response to Hurricane Katrina: Lessons Learned*. Washington, DC: 2006. <http://library.stmarytx.edu/acadlib/edocs/katrinawh.pdf>.

White House. *National Security Strategy*. Washington, DC, 2010. http://www.whitehouse.gov/sites/default/files/rss_viewer/national_security_strategy.pdf.

Yasin, Rutrell "National security and social networking are compatible." *Government Computer News*, 23 July 2009. <http://gcn.com/Articles/2009/07/23/Social-networking-media-national-security.aspx?Page=2#>.

Zemke, Ron “Systems Thinking: Looking at how systems really work can be enlightening—or a wake-up call.” *Training*. Vol. 38, No. 2. 2001, 40-46.

Zients, Jeffrey. *Memorandum M-10-11*, “Guidance on the Use of Challenges and Prizes to Promote Open Government.” *Memorandum for the heads of executive departments and agencies*. Washington, DC: Office of Management and Budget, 8 March 2010. http://www.whitehouse.gov/sites/default/files/omb/assets/memoranda_2010/m10-11.pdf.





10. Annexes

10.1 FEDERAL GOVERNMENT SOURCES

The PNSR team interviewed individuals and received data from the following departments and agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Health & Human Services
Department of Homeland Security
Department of the Interior
Department of Justice
Department of State
Department of Transportation
Department of the Treasury
Government Accountability Office
National Security Professional Development - Integration Office
Office of the Director of National Intelligence
Office of Management and Budget
Office of Personnel Management

10.2 STATE AND LOCAL ENTITIES CONSULTED

The PNSR Homeland Security Team conducted a score of interviews throughout August and September 2010 and in October circulated a draft-for-comment. This final input to the PNSR 1054 Study reflects all inputs received. Instrumental in this process were the National Governors Association and the National Emergency Management Association, and its National Homeland Security Consortium, who connected the Team to a number of officials in positions to provide representative points of view across state- and local-level homeland security communities of practice. The Team interviewed these officials and others, including representatives from DHS and the private sector and nongovernmental organization (NGO) communities. Among those interviewed by the PNSR Homeland Security Team were:

Robert J. Bodisch, Deputy Director, Texas Homeland Security, Texas Department of Public Safety

CAPT Richard Cashdollar, USCG (Ret.), Former Public Safety Director, City of Mobile (AL)



Randall C. Duncan, MPA, CEM(R), Chair, U.S. Government Affairs Committee, International Association of Emergency Managers

Tom Gilboy, Chief, Preparedness Branch, Emergency Management Institute

MG Timothy J. Lowenberg, ANG, Adjutant General, State of Washington

Robert Smith, Director of Strategic Development, Association of Public-Safety Communications Officials International

Byron E Thompson, Jr., Deputy Director, Mississippi Office of Homeland Security

John Thompson, Deputy Executive Director, National Sheriffs' Association

Joseph E. Wainscott, Jr., Executive Director, Indiana Department of Homeland Security

10.3 FULL TEXT OF SECTION 1054 FROM THE 2010 NDAA LEGISLATION

SEC. 1054. STUDY ON A SYSTEM FOR CAREER DEVELOPMENT AND MANAGEMENT OF INTERAGENCY NATIONAL SECURITY PROFESSIONALS.

(a) Study Required-

(1) **DESIGNATION OF EXECUTIVE AGENCY**- Not later than 30 days after the date of the enactment of this Act, the President shall designate an Executive agency to commission a study of the matters described in subsection (b) by an appropriate independent, nonprofit organization. The designated Executive agency shall select the organization and commission the study not later than 90 days after the date of the enactment of this Act.

(2) **QUALIFICATIONS OF ORGANIZATION SELECTED**- The organization selected shall be qualified on the basis of having performed related work in the fields of national security and human capital development, and on the basis of such other criteria as the head of the designated Executive agency may determine.

(b) Matters to Be Examined - The study required by subsection (a) shall examine matters pertaining to a system for the development and management of interagency national security professionals including, at a minimum, the following:

(1) **PROFESSIONAL DEVELOPMENT**- The skills, education, training, and professional experiences desired in interagency national security professionals at various career stages, as well as the feasibility, benefits, and costs of developing a pool of personnel necessary to enable interagency national security professionals to undertake such professional development opportunities.

(2) **COORDINATION**- Procedures for ensuring appropriate consistency and coordination among participating Executive agencies, such as methods for identifying positions and



personnel that should be included in the system, and coordination of treatment in personnel and human resource systems, including performance review and promotion policies.

- (3) **FUNDING**- Potential mechanisms for funding an interagency national security professional development program.
 - (4) **MILITARY AND STATE AND LOCAL GOVERNMENT PERSONNEL**- The feasibility of integrating, coordinating, or supplementing the systems and requirements regarding experience and education for military officers with an interagency national security professional system, as well as potential means of, and benefits and drawbacks of, including State and local government organizations and personnel in the system.
 - (5) **INCENTIVES TO PARTICIPATE**- Incentives and requirements that could be implemented to encourage personnel and organizations to fully participate in the system across various career levels.
 - (6) **CURRENT EFFORTS**- The effectiveness of, and lessons learned from, major current efforts at developing interagency national security professionals.
- (c) Report- A report containing the findings and recommendations resulting from the study required by subsection (a), together with any views or recommendations of the President, shall be submitted to Congress not later than December 1, 2010.
- (d) Definitions- In this section:
- (1) The term `Executive agency' has the meaning given such term by section 105 of title 5, United States Code.
 - (2) The term `employee' has the meaning given such term by section 2105 of title 5, United States Code.

The term `interagency national security professional' means an employee of an Executive agency who plans, coordinates, or participates in activities relating to the national security of the United States that require significant interaction and engagement with other Executive agencies.





11. Index

A

Acquisition Corps38
 American National Standards Institute 186, 194
 American Red CrossXXI, 182
 appropriations 11, 117, 127, 145, 168
 Army..XXI, 53, 97, 180, 182, 189, 239, 259, 261, 263, 266,
 267
 Association of Public-Safety Communications Officials
 185, 194, 274
 authority iii, iv, x, xiii, 15, 32, 33, 36, 40, 42, 48, 61, 62, 63,
 67, 77, 78, 79, 80, 103, 110, 113, 120, 121, 126, 135,
 138, 144, 162, 164, 193, 200, 207, 214, 215, 217, 224,
 230

B

backfill.....46, 162, 166
 best practices...4, 37, 69, 108, 144, 145, 188, 200, 210, 237,
 244
 branding xii, 65, 66, 87, 131, 156, 165
 budget .. iv, v, vi, 21, 30, 31, 40, 60, 96, 108, 117, 126, 138,
 139, 145, 151, 156, 199, 221, 222, 257, 271
 budget line item 108, 117, 145

C

capabilitiesV, ii, iii, v, vi, xi, 1, 8, 17, 20, 21, 22, 23, 24, 32,
 35, 40, 57, 59, 66, 77, 80, 85, 88, 93, 95, 105, 110, 114,
 116, 118, 120, 121, 123, 124, 131, 135, 136, 139, 143,
 155, 160, 172, 182, 186, 187, 191, 198, 199, 212, 213,
 227, 237, 240, 245, 251
 Center for Domestic Preparedness..... 178, 191
 Center for Homeland Defense and Security..XXI, 178, 179,
 180, 191, 246, 255
 certification...35, 36, 38, 160, 172, 174, 185, 187, 193, 200,
 210, 249
 Chairman of the Joint Chiefs216
 Chief of Staff of the Army97
 Classification Act of 194951
 Coast Guard 53, 178, 246
 Colorado State First Responder Authentication Credential
 StandardsXXI, 186, 192, 263
 combatant command... XXI, 32, 33, 76, 109, 118, 198, 206,
 216
 regional combatant command.....32, 76
 command and control..... 16, 68

Command and General Staff College... XXI, 180, 181, 182,
 189
 communities of practicev, xii, 37, 49, 68, 69, 71, 80, 84, 85,
 95, 96, 98, 106, 136, 138, 142, 153, 156, 174, 242, 273
 compensation30, 51, 164, 192, 215
 competencies.... XIII, vi, 21, 42, 83, 85, 107, 110, 139, 150,
 160, 194, 197, 200, 203, 212, 229, 240, 251
 Comprehensive Preparedness Guide 101 183, 211
 Congress.....iii, v, xii, 2, 3, 10, 11, 27, 30, 41, 60, 62, 67, 74,
 77, 79, 80, 81, 83, 84, 94, 97, 102, 106, 107, 108, 119,
 126, 138, 144, 162, 163, 168, 175, 178, 179, 192, 193,
 206, 214, 217, 219, 221, 250, 253, 254, 256, 270, 275
 coordination ...vi, ix, 2, 3, 11, 13, 15, 16, 19, 23, 25, 34, 36,
 37, 39, 40, 42, 55, 59, 60, 69, 77, 82, 88, 92, 93, 94, 95,
 106, 108, 115, 119, 126, 127, 129, 131, 133, 139, 142,
 144, 171, 178, 186, 187, 188, 193, 196, 203, 207, 230,
 241, 243, 274
 cost..... 27, 28, 30, 31, 37, 42, 58, 60, 63, 97, 115, 127, 129,
 130, 131, 132, 142, 162, 166, 167, 168, 174, 241, 242
 counterinsurgency 98
 counterintelligence 187
 credential 38
 critical infrastructure/key resources...36, 37, 101, 111, 147,
 172, 174, 185, 189, 190, 192, 245
 culture .. V, ii, v, xi, 7, 28, 33, 36, 43, 47, 57, 63, 64, 65, 66,
 67, 71, 75, 77, 99, 119, 120, 122, 124, 128, 136, 138,
 147, 154, 161, 178, 184, 191, 203, 205, 210, 213, 217,
 237, 240, 244, 246

D

Davis, Rep. Geoff..... xii, 10, 41
 Defense Acquisition University 39, 178
 Defense Acquisition Workforce Improvement Act 38
 Defense Advanced Research Projects Agency . XXI, 67, 68,
 84, 257
 Defense Senior Leader Development Program XXI, 23,
 203, 256, 257, 263
 demonstration projects 49, 132
 Department of Agriculture ...XXIV, 4, 7, 24, 25, 30, 31, 46,
 67, 149, 181, 196, 222, 238, 239, 273
 Department of Commerce ...XXI, 4, 23, 30, 31, 46, 69, 197,
 222, 238, 239, 273
 Department of DefenseXXI, 3, 4, 19, 23, 25, 27, 31, 32, 33,
 38, 45, 46, 50, 53, 54, 55, 60, 62, 67, 76, 78, 93, 97,
 101, 109, 118, 141, 146, 149, 150, 162, 168, 171, 178,
 179, 181, 183, 187, 188, 189, 193, 197, 198, 201, 203,
 204, 205, 206, 207, 208, 209, 210, 215, 217, 218, 222,
 224, 227, 238, 239, 254, 255, 256, 257, 258, 259, 260,
 261, 262, 263, 266, 270, 271, 273

Department of Energy XXI, 4, 23, 31, 32, 46, 152, 153, 178, 198, 222, 238, 239, 273
Department of Health and Human Services..X, XXII, 4, 23, 25, 56, 178, 184, 188, 189, 192, 199, 238, 239
Department of Homeland Security X, XXI, 4, 7, 16, 23, 31, 33, 34, 35, 36, 37, 38, 39, 40, 41, 46, 53, 54, 55, 62, 78, 101, 110, 111, 148, 152, 172, 173, 174, 175, 176, 177, 179, 181, 182, 183, 184, 190, 191, 192, 194, 199, 201, 209, 210, 211, 212, 222, 224, 233, 238, 239, 249, 255, 258, * 263, 267, 273, 274
Department of Justice XXI, 4, 24, 38, 47, 55, 175, 200, 222, 238, 239, 273
Department of State .. XXI, XXIV, 4, 19, 24, 25, 27, 31, 40, 42, 46, 51, 55, 93, 141, 149, 150, 152, 198, 201, 205, 206, 207, 208, 209, 221, 222, 258, 260, 265, 273
Department of the Interior XXI, 4, 24, 30, 149, 200, 238, 239, 273
Department of the Treasury XXIII, 4, 32, 46, 149, 196, 202, 209, 220, 221, 222, 224, 238, 239, 273
Department of Transportation... XXI, 4, 24, 25, 46, 47, 201, 202, 222, 238, 239, 273
DHS Bottom-Up Review Report184
DHS Transition Incident Management Training.....174

E

education i, ii, iv, v, ix, xiii, 2, 3, 4, 8, 13, 16, 17, 18, 19, 20, 22, 23, 24, 29, 32, 33, 34, 36, 37, 38, 39, 41, 46, 56, 57, 59, 69, 73, 74, 75, 79, 81, 85, 91, 92, 93, 94, 95, 96, 98, 103, 104, 105, 108, 109, 110, 111, 112, 113, 115, 116, 117, 118, 119, 121, 122, 123, 125, 128, 129, 130, 135, 137, 139, 141, 142, 143, 146, 148, 153, 162, 165, 166, 167, 171, 175, 178, 179, 180, 181, 182, 187, 188, 190, 191, 192, 193, 194, 197, 200, 201, 203, 204, 207, 214, 216, 217, 231, 236, 241, 242, 244, 246, 274, 275
Emergency Management Institute ... XXI, 38, 178, 200, 274
employee engagement.. 29, 47, 59, 62, 63, 70, 96, 108, 144, 163, 164, 237
entrepreneurship67
evaluation iii, iv, x, 4, 21, 28, 42, 47, 50, 58, 60, 66, 73, 74, 75, 104, 105, 111, 114, 123, 125, 129, 133, 137, 141, 142, 155, 180, 215
Executive Leadership Development Program.....23, 198
Executive Order XXI, iii, 2, 3, 13, 16, 18, 19, 27, 32, 34, 36, 49, 59, 73, 74, 75, 81, 88, 97, 98, 135, 136, 137, 146, 175, 196, 197, 210, 222, 223, 230, 232, 240, 241, 254, 264

F

failures x, xiv, 10, 15, 45, 111, 139, 237
FBI National Academy and National Executive Institute 178
Federal Emergency Management Agency .XXII, 22, 31, 35, 37, 38, 55, 93, 110, 141, 148, 151, 172, 174, 178, 179, 182, 184, 185, 186, 190, 191, 193, 200, 224, 238, 239, 245, 260
Federal Information Processing Standards.. XXII, 186, 192, 193
Federal Law Enforcement Training Center.....178

field interoperability77, 117, 119, 147
finance.....i, v, xiv, 11, 19, 21, 27, 28, 30, 31, 44, 46, 64, 67, 96, 127, 137, 138, 164, 184, 231, 239, 240
float102, 130, 162, 166, 167
Foreign Service 110, 148, 160
funding .. XIII, iii, iv, vi, ix, x, xii, xiii, 4, 19, 20, 30, 31, 32, 40, 42, 46, 48, 51, 60, 74, 77, 78, 81, 83, 84, 88, 91, 92, 94, 97, 103, 104, 108, 112, 114, 116, 117, 119, 123, 126, 127, 135, 137, 139, 143, 144, 145, 146, 151, 152, 162, 164, 167, 168, 179, 192, 197, 208, 211, 227, 231, 243, 246, 275
funding stream 40
Performance Management Fund 168
Planning, Programming, Budget, and Execution .. XXIV
program cost 167
revolving fund..... 117, 145, 168
working capital fund 117
future system 41, 48, 58

G

Gallup Organization 63
General Schedule 127, 145, 203, 214, 220, 224
Goldwater-Nichols ActIII, 15, 25, 45, 213, 215, 217
Government Accountability Office . XXII, 4, 41, 43, 45, 53, 58, 60, 66, 76, 218, 222, 260, 261, 271, 273

H

hazardous materials XXII, 188
Human Resource Information System. XXII, 19, 27, 57, 94, 95, 107, 116, 119, 126, 142, 143, 144, 149, 150, 151, 153, 155, 156, 262
human resources 18, 19, 20, 27, 29, 45, 62, 64, 70, 107, 126, 129, 131, 132, 149, 151, 154, 155, 158, 160, 186, 214, 215, 242, 261, 263, 264, 275

I

incentivesiv, v, vi, ix, xiii, 20, 27, 29, 30, 33, 42, 46, 62, 63, 64, 71, 74, 75, 80, 84, 88, 95, 96, 103, 107, 108, 109, 116, 117, 118, 130, 133, 136, 137, 138, 144, 146, 156, 162, 163, 164, 166, 206, 212, 225, 231, 238, 242, 264
Incentive Research Foundation 63, 269
non-tangible incentive..... 63
recognition program..... 62, 64, 84
Incident Command System XXII, 185, 194, 245
Information Sharing Enterprise 36, 173, 175
inherently governmental functions 229
innovation... 8, 49, 57, 63, 67, 68, 69, 80, 94, 132, 151, 189, 205, 243, 259
Integrated National Security Professional system ..XXII, iii, iv, v, x, xi, xii, xiii, xiv, 3, 4, 35, 41, 49, 52, 55, 57, 58, 62, 63, 65, 66, 67, 71, 73, 75, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 91, 93, 94, 95, 96, 97, 101, 102, 103, 104, 105, 106, 107, 108, 109, 110, 111, 112, 113, 114, 115, 116, 117, 119, 120, 121, 122, 123, 124, 125, 126,



127, 129, 130, 131, 133, 135, 136, 137, 138, 139, 141, 142, 143, 144, 145, 146, 148, 153, 166, 167, 168, 172, 173, 174, 184, 189, 190, 191, 192, 193, 225, 239, 240, 242, 249, 250, 251

Intelligence Community Directive XXII, 54, 107, 143, 155, 213, 263

interagency V, XIII, i, ii, iii, iv, v, vi, ix, x, xi, xiv, 1, 2, 3, 4, 7, 10, 11, 13, 16, 18, 19, 20, 21, 23, 25, 26, 27, 28, 29, 32, 33, 34, 35, 36, 39, 40, 41, 43, 46, 47, 49, 50, 52, 53, 54, 55, 58, 59, 60, 61, 62, 64, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 85, 88, 91, 92, 94, 95, 96, 97, 98, 103, 104, 105, 106, 107, 108, 109, 110, 111, 112, 113, 114, 115, 116, 117, 118, 119, 120, 121, 122, 123, 126, 127, 128, 129, 130, 135, 136, 137, 138, 139, 142, 143, 146, 147, 148, 151, 154, 162, 164, 166, 167, 168, 171, 172, 173, 175, 178, 183, 184, 188, 191, 196, 197, 198, 199, 200, 201, 202, 203, 204, 206, 207, 208, 209, 210, 211, 212, 215, 216, 227, 229, 240, 242, 243, 244, 245, 249, 250, 274, 275

assignments 20, 25, 26, 27, 28, 29, 46, 47, 59, 79, 94, 95, 98, 109, 116, 142, 143, 146, 154

training 103, 118, 119, 146

Interagency Policy Committee...XXII, v, xii, 18, 19, 20, 39, 50, 52, 54, 67, 76, 77, 78, 80, 84, 92, 139, 164, 175, 211

Intergovernmental Personnel Act...XXII, 99, 110, 126, 144, 184

intrinsic incentive.....29, 96, 164

investment. ii, xiii, 27, 73, 97, 107, 108, 110, 111, 119, 127, 136, 147, 148, 214, 240

J

joint assignments 25, 54, 56, 97, 98, 109, 146, 204, 216, 217

joint doctrinal instruction.....98, 146

joint duty..... 31, 46, 52, 54, 55, 200, 202, 213, 216

Joint Duty Assignment List..... XXII, 204

joint military system.....III

Joint Officer Management Program .XXII, 54, 204, 255, 258, 259, 261, 268, 269

Joint Operations CenterXXII, 100, 101, 187, 245

Joint Professional Military Education.... XXII, 204, 216, 258

Joint Qualified Officer.....204

Joint Staff 32, 109, 118

Joint Forces Command204

joint task force 33, 109, 118, 217

Joint Terrorism Task Force.....XXII, 38, 100, 110, 148, 244

Joint-Interagency Task Force..... XXII, 76

jointness..... 25, 33, 58, 60, 189, 210

K

key enablers.....xi, 49

L

leadership support.....45, 217

legislation.....v, ix, x, xiii, 4, 10, 32, 33, 41, 43, 78, 81, 103, 107, 108, 112, 119, 128, 138, 152, 168, 192, 230

Title 10..... 187

Title 50..... 56, 102, 196

lessons learned ... 3, 4, 15, 20, 41, 45, 48, 49, 62, 71, 85, 88, 126, 132, 136, 144, 152, 162, 186, 208, 218, 275

local V, XIII, i, iv, v, vi, ix, xii, 1, 2, 3, 4, 13, 17, 20, 28, 29, 31, 32, 33, 34, 35, 36, 37, 38, 39, 42, 50, 51, 53, 61, 69, 73, 78, 84, 86, 88, 91, 98, 99, 100, 101, 110, 115, 116, 126, 135, 136, 137, 139, 144, 147, 148, 164, 171, 172, 174, 175, 178, 179, * 182, 183, 184, 187, 188, 189, 190, 191, 192, 193, 194, 197, 198, 201, 207, 208, 211, 220, 231, 236, 240, 244, 245, 246, 250, 251, 273, 275

M

management V, XIII, iii, iv, v, ix, x, xi, xiii, 2, 3, 4, 5, 7, 16, 19, 21, 22, 24, 27, 29, 34, 35, 36, 37, 39, 45, 49, 50, 55, 56, 57, 59, 60, 61, 62, 71, 74, 77, 78, 79, 80, 81, 83, 84, 86, 94, 95, 97, 100, 102, 106, 107, 111, 112, 113, 114, 115, 116, 117, 119, 120, 121, 123, 126, 127, 132, 137, 138, 142, 144, 145, 146, 148, 150, 151, 154, 155, 161, 171, 173, 174, 175, 178, 181, 182, 185, 186, 188, 189, 190, 192, 196, 200, 201, 202, 205, 208, 210, 216, 217, 220, 222, 223, 224, 227, 237, 241, 245, 249, 264, 268, 269, 274

mandate iii, xi, xiii, 2, 40, 41, 50, 74, 102, 104, 106, 107, 114, 119, 120, 123, 174, 207, 222, 231

memorandum of understanding...XXIII, 106, 107, 115, 116, 126, 143, 144, 162, 201, 205, 206, 232

Merit Systems Protection Board.....62, 160, 163, 270

metrics.iii, ix, xi, 18, 47, 58, 59, 60, 80, 86, 87, 95, 96, 105, 133, 141, 144, 203, 211, 215, 232

military ... III, XIII, iii, vi, ix, x, xi, xii, xiii, xiv, 1, 2, 3, 4, 7, 10, 15, 17, 19, 20, 23, 24, 25, 27, 32, 33, 38, 39, 40, 42, 45, 50, 51, 53, 54, 73, 74, 78, 82, 86, 88, 91, 97, 98, 103, 106, 109, 112, 115, 117, 118, 119, 120, 121, 126, 127, 128, 133, 136, 139, 143, 144, 146, 147, 149, 160, 164, 175, 187, 188, 203, 204, 205, 206, 207, 208, 213, 215, 216, 217, 231, 236, 249, 250, 261, 275

military command

combatant command ...XXI, 33, 109, 118, 198, 206, 216

U.S. Northern CommandXXIII, 180, 181, 187

military education

Command and General Staff College..... XXI, 180, 181, 182, 189

Defense Acquisition University 39, 178

Defense Senior Leader Development Program . XXI, 23, 203, 256, 257, 263

National Defense University ...IX, XXIII, 8, 15, 23, 128, 152, 162, 167, 178, 203, 254, 256, 257, 261, 266

Professional Military Education.....23, 198, 204, 217

U.S. Army Command and General Staff College ... XXI, 180, 182, 189

U.S. Army General Staff School..... 189

U.S. Coast Guard Academy 178

military officer

flag officer..... 32, 205

general officer 33, 216

military officers.....4, 32, 97, 98, 109, 118, 206, 275

military, state, local.....164

N

National Defense Authorization Act.. V, XXIII, iii, 2, 3, 39, 52, 54, 74, 97, 204, 208, 216, 217, 218, 250, 253, 274
 National Defense University IX, XXIII, 8, 15, 23, 128, 152, 162, 167, 178, 203, 254, 256, 257, 261, 266
 National Domestic Preparedness Consortium.... XXIII, 178, 191
 National Guard 118, 187, 188
 National Guard State Partnership Program188
 National Incident Management System ... XXIII, 24, 36, 37, 38, 173, 174, 183, 185, 186, 187, 189, 192, 193, 194, 199, 210, 211, 245, 258
 National Infrastructure Protection Plan.. XXIII, 36, 53, 173, 186, 193
 National Response Framework XXIII, 24, 35, 36, 37, 38, 53, 56, 100, 173, 174, 183, 189, 190, 197, 198, 210, 211, 258
 national security.... III, V, XIII, i, ii, iii, iv, vi, x, xi, xii, xiii, xiv, 1, 2, 3, 4, 7, 8, 10, 11, 13, 15, 16, 17, 18, 19, 20, 21, 23, 24, 25, 26, 27, 28, 29, 31, 32, 33, 34, 35, 36, 37, 39, 40, 41, 42, 45, 46, 47, 49, 50, 51, 52, 55, 56, 57, 59, 60, 61, 67, 69, 73, 74, 75, 76, 78, 79, 80, 81, 84, 85, 86, 87, 88, 91, 92, 93, 94, 95, 96, 97, 98, 100, 101, 102, 104, 105, 108, 110, 112, 114, 117, 119, 120, 121, 122, 123, 124, 125, 127, 128, 129, 130, 135, 136, 137, 139, 142, 144, 146, 147, 148, 149, 150, 153, 160, 162, 164, 167, 171, 172, 173, 175, 183, 187, 196, 197, 198, 199, 200, 201, 202, 206, 209, 211, 221, 227, 229, 240, 242, 243, 244, 246, 247, 249, 250, 251, 274, 275
 National Security Education and Training Consortium XXIII, 18, 19, 93, 244
 National Security Personnel System.... 45, 61, 62, 217, 218, 219, 224, 225, 256, 260, 261
 National Security Professional. XIII, XXII, XXIII, ii, iii, iv, v, vi, vii, ix, x, xi, xii, xiii, xiv, 2, 3, 4, 5, 7, 8, 10, 13, 15, 16, 17, 18, 19, 20, 21, 22, 25, 26, 27, 29, 30, 31, 32, 33, 34, 35, 37, 38, 39, 41, 45, 46, 47, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 62, 64, 67, 73, 74, 75, 76, 78, 79, 80, 81, 82, 83, 86, 87, 88, 89, 91, 93, 94, 95, 96, 97, 99, 101, 102, 103, 104, 105, 106, 107, 108, 109, 110, 111, 112, 113, 115, 116, 117, 120, 121, 122, 123, 124, 125, 126, 127, 129, 130, 131, 135, 136, 137, 138, 139, 141, 142, 143, 144, 145, 148, 150, 152, 153, 155, 162, 163, 164, 167, 170, 171, 172, 174, 175, 176, 177, 183, 184, 186, 187, 188, 189, 190, 191, 193, 194, 196, 197, 198, 199, 200, 201, 202, 210, 211, 212, 235, 239, 240, 242, 243, 244, 245, 246, 247, 249, 250, 251, 254, 255, 256, 257, 258, 259, 262, 264, 265, 270, 273
 National Security Professional Development ... XXIII, ix, 4, 13, 16, 17, 18, 19, 20, 22, 23, 24, 30, 31, 32, 33, 34, 35, 39, 40, 41, 46, 48, 49, 50, 51, 52, 53, 57, 58, 59, 75, 76, 77, 80, 91, 92, 95, 107, 110, 142, 149, 150, 151, 152, 153, 155, 156, 162, 171, 172, 174, 183, 188, 190, 191, 196, 197, 198, 199, 200, 201, 202, 203, 210, 211, 240, 251, 254, 255, 256, 257, 258, 262, 264, 265, 270, 273

National Security Professional Development
 Implementation Plan . 18, 19, 20, 30, 32, 33, 35, 59, 172, 174, 183, 190, 199, 200, 201, 251, 255, 256, 258
 National Security Professional Development Integration Office.. XXIII, 13, 19, 31, 34, 35, 46, 50, 51, 58, 76, 77, 80, 152, 188, 190, 198, 200, 201, 264
 National Security Staff. 7, 19, 39, 40, 46, 47, 76, 77, 78, 79, 92, 104, 211, 212
 National Security Strategy.....XIII, ii, 1, 2, 8, 10, 11, 13, 53, 135, 197, 209, 271
 National Strategy for the Development of Security Professionalsix, 11, 13, 34, 35, 50, 91, 171, 188, 190, 191, 264
 Naval Postgraduate School... XXIII, 31, 151, 178, 179, 180, 191, 246, 255, 259
 Naval War College..... 107
 Navy 53, 264

O

Office of Management and Budget ..XXIII, v, 4, 18, 41, 46, 139, 223, 243, 271, 273
 Office of Personnel Management...IX, XXIII, 4, 18, 22, 30, 38, 45, 60, 62, 68, 78, 94, 95, 106, 107, 116, 126, 132, 133, 142, 143, 144, 149, 150, 151, 152, 154, 156, 157, 158, 162, 164, 171, 172, 219, 220, 223, 224, 240, 241, 244, 249, 254, 257, 265, 269, 273
 Office of the Director for National Intelligence XXII, XXIII, 4, 27, 39, 46, 47, 55, 60, 78, 101, 106, 110, 111, 148, 155, 156, 175, 178, 199, 200, 209, 222, 239
 Office of the Secretary of Defense 260
 Operation Desert Storm..... 215
 Operation Iraqi Freedom 215
 organizational culture... 13, 18, 28, 43, 63, 64, 66, 154, 207, 211
 organizational incentive 67, 84, 107, 163
 oversight.iii, iv, v, 11, 41, 42, 48, 66, 74, 75, 77, 78, 91, 92, 103, 104, 105, 107, 114, 119, 120, 123, 127, 135, 137, 151, 178, 230, 267, 268

P

patterns of work..... iv, vi, 55, 71, 74, 137, 139
 pilot iv, v, vi, ix, x, xi, xiii, 73, 75, 80, 81, 84, 86, 87, 95, 112, 116, 126, 131, 132, 133, 138, 142, 148, 208, 214, 215, 224, 237, 242, 246, 247
 position versus people designations
 rank in person..... 51
 rank in position 51
 Posse Comitatus Act..... 187
 Post-Katrina Emergency Management Reform Act of 2006XXIV, 37, 175, 192
 professional development...vi, ix, 2, 3, 4, 13, 17, 18, 20, 22, 23, 25, 27, 29, 31, 32, 33, 34, 36, 37, 38, 41, 42, 46, 64, 67, 75, 84, 88, 93, 94, 95, 96, 99, 100, 105, 110, 111, 115, 120, 125, 133, 141, 142, 148, 160, 162, 171, 173, 174, 175, 181, 182, 187, 188, 189, 191, 192, 198, 200, 201, 202, 203, 211, 225, 231, 246, 274, 275



Professional Military Education.....XXII, 23, 198, 204, 217, 258
 Provincial Reconstruction Team.... XXIV, 7, 40, 77, 80, 98, 207, 253, 254, 259, 260, 266, 267, 270

Q

Quadrennial Defense ReviewXXIV, 1, 162, 258
 Quadrennial Homeland Security Review...XXIV, 1, 36, 37, 172, 173, 190, 211, 258

R

rank..... 27, 32, 51, 73, 74, 204, 216
 rotation.....83, 93, 94, 95, 106, 110, 115, 126, 141, 142, 241
 rotational assignments . iii, 22, 24, 25, 26, 27, 28, 29, 31, 38, 39, 46, 79, 94, 95, 96, 99, 100, 101, 106, 110, 115, 116, 126, 130, 131, 142, 143, 147, 162, 183, 184, 190, 199, 201, 225, 240, 244, 245

S

salary.....27, 62, 130, 131, 158, 166, 205, 217, 241
 Scope of career system
 Geographic 103, 159, 206
 security clearance.... ix, 28, 91, 95, 101, 126, 130, 142, 150, 190, 193, 196, 232
 Skelton, Rep. Ike.....xii, 10, 41, 217
 social networking.. xi, 49, 57, 58, 69, 70, 71, 84, 85, 94, 95, 116, 131, 142, 143, 150, 152, 153, 154, 155, 246, 247, 271
 spending.....97, 117, 145
 state V, XIII, iii, iv, v, vi, ix, xii, 1, 2, 3, 4, 8, 13, 17, 20, 28, 29, 31, 32, 33, 34, 35, 36, 37, 38, 39, 42, 49, 51, 53, 59, 61, 69, 73, 74, 78, 84, 86, 88, 91, 92, 93, 98, 99, 100, 101, 110, 112, 115, 116, 126, 129, 130, 135, 136, 137, 139, 144, 147, 148, 152, 164, 171, 172, 174, 175, 178, 179, 182, 183, 184, 186, 187, 188, 189, 190, 192, 193, 194, 197, 198, 208, 222, 231, 236, 237, 240, 244, 245, 246, 251, 254, 256, 258, 261, 263, 265, 267, 268, 271, 273
 strategic collaboration.....77
 system elements49, 215

T

terminology49, 52, 71, 84, 162, 173
 tracking iv, xii, xiii, 26, 27, 35, 57, 74, 77, 79, 101, 109, 116, 117, 131, 137, 143, 149, 150, 152, 153, 172, 193, 202, 211
 training ... XIII, i, ii, iv, v, ix, xii, xiii, 1, 2, 3, 13, 15, 16, 17, 18, 19, 20, 22, 23, 24, 25, 28, 31, 32, 33, 34, 35, 36, 37, 38, 40, 41, 46, 47, 54, 56, 57, 59, 60, 69, 73, 74, 75, 79, 81, 82, 85, 91, 92, 93, 94, 95, 96, 103, 104, 105, 107, 108, 109, 110, 111, * 112, 113, 115, 116, 117, 118, 119, 121, 122, 123, 125, 126, 130, 135, 137, 139, 141, 142, 143, 146, 148, 151, 153, 162, 166, 167, 171, 174, 175, 178, 182, 185, 187, 188, 189, 190, 192, 193, 194, 198, 199, 200, 201, 202, 203, 205, 207, 208, 209, 211, 215, 217, 218, 219, 231, 236, 242, 244, 246, 249, 264, 274
 web-based 130
 transformation efforts. 15, 41, 45, 49, 85, 88, 136, 237, 238, 262
 tribaliv, v, ix, 2, 4, 13, 17, 34, 35, 36, 38, 53, 73, 86, 99, 101, 110, 115, 116, 126, 135, 137, 139, 144, 147, 148, 171, 172, 174, 179, 188, 190, 193, 194, 197, 244, 245, 246, 250, 251
 tuition 117, 130, 162

U

U.S. Agency for International Development ... XXIV, 4, 24, 50, 208, 209, 222, 270
 U.S. Army Command and General Staff College. XXI, 180, 182, 189
 U.S. Army General Staff School 189
 U.S. Coast Guard Academy 178
 U.S. Northern Command.....XXIII, 180, 181, 187
 union 61, 62, 220, 221, 222, 223, 224
 United States Institute of Peace IX, 253, 259, 266, 270
 Urban Area Security Initiative.XXIV, 37, 99, 100, 174, 189

W

weapons of mass destruction XXIV, 178, 188
 World War II..... 205, 216

