

USSOUTHCOM Response to HASC Report on the 2009 NDAA

Section 1 - USSOUTHCOM Reorganization Update

As the House Armed Services Committee indicates in pages 410-411 of the Report on the 2009 National Defense Authorization Act, U.S. Southern Command (USSOUTHCOM) is reorganizing to become a more interagency-oriented organization. The Secretary of Defense authorized this reorganization in September 2007, and USSOUTHCOM's efforts are also highlighted as one of the Top 25 Department of Defense Transformation Priorities. Based upon this guidance from the Secretary of Defense and authority provided in Title 10, U.S. Code of Federal Regulations, Section 164, the Combatant Commander is modifying the organization of his command to better execute its mission.

A principal driver for the reorganization stems from the Commander's assessment of the regional security environment, based upon the underlying conditions that foster the security challenges of the USSOUTHCOM area of focus, such as narco-trafficking and other illicit-trafficking activities, and organized crime and gangs. Exacerbated by conditions of poverty, income inequality, and social exclusion, these security challenges are transnational in terms of impact and manifestation, and cross roles and mission lines of U.S. Government departments and agencies.

In this regard, the new USSOUTHCOM organizational structure (provisionally adopted in May 2008, and fully completed by 1 October 2008) is designed to allow the Command to collaborate proactively with the U.S. Government interagency community and with partner nations in the region—ultimately improving collective responses to regional and transnational security challenges.

Through expanded interagency participation, USSOUTHCOM also intends to improve the regional understanding and situational awareness of Command leadership and staff in order to execute the Command's mission more effectively. This cooperative participation will build on a strong track record of proven interagency partnerships already in place at the Command – much of which stems from decades of combined work on counternarcotics issues.

Although the reorganization will seek to better support the synchronization of the soft power elements of national security, USSOUTHCOM will remain a DoD geographic combatant command, with the vast majority of personnel and funding sourced by DoD. The fundamental mission remains unchanged – even with an increased focus on interagency approaches. USSOUTHCOM will continue to conduct military operations and security operations with an unbroken and capable military chain of command and authority.

The new organization has several components. Two deputies to the commander, one military and one civilian, will provide broad, senior-level management expertise in

order to synchronize USSOUTHCOM activities with Chief of Mission implementation of U.S. foreign policy and ongoing whole-of-government approaches in the region. USSOUTHCOM now has six main directorates—three mission directorates (Security and Intelligence, Stability, and Partnering) and three enabling or functional directorates (Policy and Strategy, Resources and Assessments, and Enterprise Support). Interagency representatives from over 17 U.S. Government departments and agencies are integrated throughout the new structure according to the function of the directorate, with many in key senior leadership roles. For example, the Partnering Directorate benefits from the integration of two senior interagency representatives – a State Department Senior Foreign Service Officer as the deputy, and a senior GS-15 representative from the U.S. Agency for International Development as a division chief.

7. The nascent “Partnership for the Americas Collaboration Center” will work toward developing the capability for interagency partners, country liaison officers, and other partners to interact (within appropriate authorities and security protocols) with the organization’s current operations and collaborate on mutually beneficial initiatives, programs, and exercises.

In concert with the USSOUTHCOM reorganization, the Combatant Commander established a new strategic planning process that ensures unity of effort as we work to achieve the goals and objectives contained within our interagency informed Command Strategy 2018 and Theater Campaign Plan (in development through the end of 2008). This strategic planning process is integral to the new organization and provides the corporate approach to focus and align all command activities and capabilities, prioritize critical resource requirements, and measure progress toward achieving the USSOUTHCOM mission. With an emphasis on interagency support and developed with interagency involvement, the Command Strategy 2018 and Theater Campaign Plan will also help enable a broader and critical cultural change in the Command which will result in an improved ability to work more efficiently with interagency partners.

Section 2 - HASC Concerns – USSOUTHCOM Centric

(1) The concept for how the four new, mission-centric directorates that are planned for SOUTHCOM will interface laterally with other COCOMs that maintain traditional joint directorate structures and vertically with the Joint Staff at the Pentagon;

- **Response #1:**

Communication and coordination with the Joint Staff and appropriate staff elements at other COCOMs by the three USSOUTHCOM mission-centric directorates (Security and Intelligence, Stability, and Partnering), and the three functional or support directorates (Policy and Strategy, Resources and Assessments, and Enterprise Support) has not surfaced as a problem since our restructuring. In fact, despite having similar organizational structures, COCOMs still approach functional responsibilities differently. A function performed in one COCOM’s J4 may be performed in another COCOM’s J5.

Within USSOUTHCOM's Policy and Strategy Directorate, for example, coordination is somewhat simpler due to increased focus on our core functions (Policy and Strategy), improved web-based products pointing people in the right direction based on mission and function, and an improved structure that allows for more collaboration between like activities and organizations. An example of COCOM-to-COCOM interaction is our development of a new Theater Campaign Plan (still in development) as dictated by the Guidance for the Employment of Force. Both USAFRICOM and USSOUTHCOM are conducting interagency prototype campaign planning efforts. The planning teams in these two COCOMs are trading data, conducting briefing sessions, and keeping each other informed of mutual progress.

Within USSOUTHCOM Security and Intelligence Directorate, coordination is relatively unchanged. An example of COCOM-to-COCOM interaction was the recent development of the Pandemic Influenza Contingency Plan with USNORTHCOM. Both USNORTHCOM and USSOUTHCOM conducted plan development elements with like functions located within the planning structures of each organization.

In the area of stability and building partnership capacity (in the Stability Directorate), coordination is transparent to the program managers as coordination among COCOMs continues to be based on the mission, regardless of where the program is embedded within the staff. There has never been any standardization on where humanitarian assistance programs were embedded within the COCOMs. Depending on the COCOM, humanitarian assistance programs can be found in the J3, J4, or J5. COCOM coordination has always been facilitated via the Defense Security Cooperation Agency (DSCA). Annual planning events and conferences hosted by DSCA have ensured all humanitarian assistance program managers maintain close coordination and collaboration among the COCOMs.

To facilitate our interaction with other Commands, we have developed a staff organization guide that shows how former J-code staff functions are aligned under the new Directorates. This guide is being widely distributed and is designed to facilitate understanding of the new USSOUTHCOM structure.

(2) The duties and responsibilities of the two proposed deputy commanders for SOUTHCOM;

- Response #2:

The new structure has two Deputies-to-the-Commander specifically designed to keep military command authorities distinct yet recognize the broader control and responsibility issues described below. The distinctions represent "portfolios of oversight" more than direct lines of control. It is understood that both Deputies-to-the-Commander will have some jurisdiction in the various aspects of the Command and what will make this system work is professional cooperation between the two deputies. The duties and responsibilities are as follows:

- **Military Deputy to the Commander (MDC)**
 - **Acting Commander** – The Military Deputy acts on behalf of, and represents, the Commander whenever necessary and appropriate. The Military Deputy is able to exercise command authority when required. In this capacity, the Military Deputy is first to stand in when the Commander cannot be present. Likewise, the Military Deputy is the “first among equals” with the Civilian Deputy, and as such, is vested with “final decision making authority,” which the Military Deputy exercises in the rare circumstances it is required. As Acting Commander, the Military Deputy, by default, oversees and supervises any areas that deal with or input the DoD Departmental processes and is the principal deputy overseeing the Executive Agents’ support across the enterprise, to include program analysis, resources, and requirements.
 - **Deliberate Planning** - The Military Deputy is the principal deputy for overseeing the development of numbered Contingency Plans tasked to USSOUTHCOM. The deliberate planning process is executed using a multifunctional, cross-staff Joint Planning Group concept.
 - **Crisis Action** - The Military Deputy is the principal deputy for supervising Crisis Action Planning and operational execution as led by Security and Intelligence Director and facilitated by the Partnership for the Americas Collaboration Center.
 - **Operations Execution** - The Military Deputy is the principal deputy for supervising the Partnership for the Americas Collaboration Center in its oversight, direction, and execution of operations as planned, programmed, and coordinated by the mission directorates. The Military Deputy executes decision-making authority in his capacity as the Acting Commander. Operations execution includes counternarcotics and counterterrorism activities.
 - **Uniformed Service Engagement** - As the second most senior uniformed officer in the command, the Military Deputy has the lead for engaging with the Joint Staff, the Department of the Army, Navy, and Air Force offices and officials whenever required. The Military Deputy takes the lead in the more technical elements of the Strategic Planning Process dealing with service capabilities and DoD resourcing.
- In terms of the traditional diplomatic, informational, military, economic, intelligence, and law enforcement (DIME+) elements of national power, military issues, including Title 10 command authorities, are handled by the Military Deputy.
- **The Civilian Deputy to the Commander (CDC) and Foreign Policy Advisor (POLAD)**

- **Senior Foreign Service Officer** - The Civilian Deputy serves on behalf of and represents the Commander whenever appropriate. The Civilian Deputy is a Senior Foreign Service Officer with the rank of Minister Counselor (two-star equivalent) from the State Department, and, for protocol purposes, ranks third at USSOUTHCOM. The Civilian Deputy is currently dual-hatted as the principal foreign affairs advisor to the Commander, but State and DoD have yet to make a final decision whether the positions will be separate or merged. He/she advises the Commander and other principals on the range of U.S. foreign policy issues relating to national security. He/she also serves as the primary liaison with the Department of State and all U.S. Chiefs of Mission and Mission personnel in the region.
 - **Regional Strategy** – The Civilian Deputy is the principal deputy responsible for overseeing the development and ongoing refinement of USSOUTHCOM regional strategy (Command Strategy, Theater Campaign Plan and Theater Security Cooperation).
 - **Strategic Communication** - The Civilian Deputy sits on the Strategic Communications Board, giving guidance on reviews of strategic communications initiatives, and influencing strategic communications plans and decisions.
 - **Interagency Engagement** – As the senior State Department official in the Command, the Civilian Deputy has the lead for engaging with the State Department and plays a key role in engaging with other agencies of the Executive Branch, state, local and tribal governments when necessary. The Civilian Deputy helps integrate interagency personnel into our USSOUTHCOM organization and processes.
 - **Public-Private Sector Engagement** – The Civilian Deputy assists the Command with outreach to non-governmental organizations, private voluntary organizations and private sector entities. In coordination with the Business Advisor to the Commander and the Partnering Director, the Civilian Deputy engages business, commercial and financial institutions with interests in the USSOUTHCOM Area of Focus.
- In terms of the traditional “DIME” (Diplomatic/Informational/Military/Economic) instruments of national power, the Civilian Deputy helps USSOUTHCOM with diplomatic, informational, and economic issues.
 - In terms of the traditional instruments of national power, the Chief of Staff, as the Combatant Commander’s execution agent, oversees information issues and related strategic communications efforts. The Military Deputy and the Civilian Deputy both sit on the Strategic Communication Board, where they give guidance on reviews of strategic communications initiatives, and where they can influence strategic communications plans and decisions. Ultimately, the Combatant Commander directs and has authority over USSOUTHCOM strategic communications activities.

(3) A description of the warfighting chain of command, as required under title 10, United States Code, from the commander of SOUTHCOM down to the proposed joint operations center of the security and intelligence directorate, as well as the coordination of this center with the proposed stability directorate and the inter-agency partnering directorate;

- **Response #3:**

The USSOUTHCOM chain of command runs from the Combatant Commander to the subordinate Joint Task Force and Component Commanders, as appropriate. Execution and control of command authority may be facilitated through the Security and Intelligence Directorate similar to the Operations section under the J-code system. The Directors of Security & Intelligence and Stability execute authority delegated by the Commander to conduct missions within their respective areas. The authorities of regional Chiefs of Mission, derived from their Presidential appointments, remain unchanged.

The Partnership for the Americas Collaboration Center (the Center) is the nucleus for information sharing for the Command – designed to be a robust coordination and synchronization center. It coordinates the full spectrum of collaborative planning, operations, and DoD intelligence activities, while serving as the conduit for executing the Combatant Commander's command and control functions within the region. This includes synchronizing collections and intelligence, surveillance, and reconnaissance management, as well as providing information flow as appropriate to partner nations and to ensure the priorities of the Command, the Department of Defense, and the nation. During contingency operations, the Center's staff will be augmented to support additional information management requirements required for these operations.

The Center coordinates with the Partnering Directorate in three primary areas – all centered on day-to-day activity or crisis coordination. The Center seeks the Partnering Directorate's assistance in contacting the correct interagency representatives or counterpart interagency operations centers that are not habitual partners. Additionally, Center staff requests Partnering Directorate staff to stand-in on a short term basis for interagency representatives in the event emergency working groups are needed to work through emergent planning or execution issues during a crisis. Finally, current operations (day-to-day) requests for information from the Center (which could not be answered by existing interagency representatives in the Center) would be coordinated through the Partnering Directorate in order to leverage their contacts and knowledge of interagency missions and key counterpart offices.

(4) SOUTHCOM's plan to manage and evaluate its internal transformation, including measures of progress;

- **Response #4:**

USSOUTHCOM's plan to manage and evaluate its internal transformation is linked to the five phase Strategic Planning Process at the Command. This process is used to align the organizational mission with the resources needed to meet our strategic goals, and is hinged on a biannual assessment using extensive measures of progress or effectiveness. This five-phase model ensures unity of effort throughout the Command so that every element is working toward the achievement of the objectives set forth in the command strategy.

Phase one is Command Strategy 2018, which describes a ten-year vision for the Command, with supporting goals and objectives. Phase two is the development of a Theater Campaign Plan, which articulates tasks and activities in the near-term to achieve the goals and objectives of the Command Strategy. In phase three, USSOUTHCOM develops a Prioritized Required Capabilities List and a Resource Constrained Activity Priorities List. Phase four involves a Joint Interagency Program Review to link resource requirements to programs and budgets. Phase five is the Commander's Strategic Assessment, which assesses progress and defines needed adjustments.

USSOUTHCOM's four strategic goals are to Ensure Security, Enhance Stability, Enable Partnerships, and Evolve our Enterprise. The fourth goal – of evolving our enterprise into an interagency-oriented organization – establishes a framework for monitoring and improving internal business processes so that the Command can be more effective and efficient.

Managing the implementation of the new organization and evaluation of its performance will be an evolving process. The Commander, USSOUTHCOM, has instructed his senior leadership team to define management objectives, organizational performance metrics, and longer-term "stretch" goals for guiding this evolution. It is anticipated that these measures of progress will be integrated into sustained management processes, and linked to Component Command management processes as well, in the first quarter of fiscal year 2009.

(6) The appropriateness of including the economic welfare of a region, in this case Central and South America and the Caribbean, within the core of the COCOM's mission;

- Response #6:

While not a "core mission," we believe the appropriateness of including regional economic issues in US Southern Command's mission analysis of the security environment stems from the linkages between security and stability of all nations in the region.

The potential for force-on-force military conflict between two or more nations in the region is relatively low and is projected to remain so through 2018. USSOUTHCOM remains postured nonetheless to respond to any change in the prospects for conventional cross-border conflict. The region faces many other challenges that threaten security and stability across the hemisphere. The foundation of society rests

upon the ability of a nation to provide security and stability for its people. Today, widespread poverty and inequality combined with social exclusion leave many searching for the means for simple survival. A lack of employment opportunity and competition for scarce resources contribute to an increase in crime and provide opportunities for gangs and terrorists to flourish.

These conditions threaten the security and stability of the entire region – which relates directly to the mission of USSOUTHCOM. While it is certainly not the mission of USSOUTHCOM to lead U.S. efforts to advance economic welfare within the region, we recognize a region of stable and economically prosperous countries helps ensure regional and hemispheric security and stability. USSOUTHCOM believes that the underlying challenges to security within Central and South America and the Caribbean in the 21st century relate primarily to the high incidence of poverty and other economic inequities at the family, community, and national level. Through its historical and ongoing programs that provide humanitarian and disaster assistance, promote respect for human rights and uniformed codes of military justice, and fight terrorism through improved military capabilities, USSOUTHCOM already plays a limited role in helping reduce the contributing causes of economic hardship.

Clearly, other USG agencies, primarily State and USAID, have the mandate to lead our national effort in providing economic assistance to partner nations. That said, increased collaboration between these agencies and USSOUTHCOM helps ensure that all U.S. government efforts are fully coordinated and mutually reinforcing. It is in USSOUTHCOM's interest to ensure our activities mesh with programs carried out by other agencies to avoid duplication and waste in a resource-constrained environment.

Section 3 - HASC Concerns – Foreign Assistance Related

(5) The role of the Department of State, the United States Agency for International Development, the Millennium Challenge Corporation, and other foreign assistance agencies in the delivery of assistance by SOUTHCOM and other COCOMs;

By law and in practice, the Department of State has the lead role in the development and implementation of US foreign policy, including setting priorities and allocating resources for foreign assistance. DoD executes many security assistance activities as the implementing partner for State Department under its Title 22 authorities, and it closely coordinates with State and USAID in implementing several Title 10 authorities. DoD works closely with State and USAID to ensure that its programs (including foreign assistance accounts such as Foreign Military Financing and International Military Education and Training) support U.S. foreign policy and development goals.

DoD has actively sought participation by State and USAID in its planning processes, and this effort has fostered better coordination. An example of this effort can be found in USSOUTHCOM's prototype campaign planning effort. Representatives from 11 U.S. Government departments and agencies met 26-27 June 2008, to discuss

how best to bring key interagency partners into the development of the USSOUTHCOM Theater Campaign Plan. This workshop and a similar USAFRICOM workshop are "prototype" campaign planning efforts designed to include other key departments and agencies in developing theater campaign plans. Participants noted the need to continue improving collaboration and coordination to more effectively use available resources to achieve National Security Strategy goals.

USSOUTHCOM has a close working relationship with Department of State in the programming and coordination of Security Assistance (SA) funding and programs execution, specifically Foreign Military Financing, International Military Education and Training, and the Global Peace Operations Initiative, which is funded through the Peacekeeping Operations account. SA programs support U.S. national security and foreign policy objectives and increase the ability of our partner nations to deter and defend against regional threats, promote the sharing of common defense burdens, and help foster regional stability. These programs enable delivery of defense articles and services to our Western Hemisphere partner nations, training of international students in U.S. service schools, and provision of defense guidance and assistance. To ensure compliance with appropriate laws and policy guidance, USSOUTHCOM coordinates program execution with OSD, JCS, the Defense Security Cooperation Agency, the Military Services, and our 25 Security Cooperation Offices in the region.

The Section 1206 authority provides a "dual-key" tool for State and DoD to respond to emergent threats and opportunities by helping partner nations build capacity to conduct counterterrorism operations or to participate in stability operations where U.S. forces are present. Embassies and Country Teams develop proposals jointly for use of these funds based on identified capability gaps. In all cases, these activities must have the formal approval of both the Chief of Mission and the Combatant Commander before they are transmitted for Secretary of State and Secretary of Defense approval.

Close coordination among State, USAID, and DoD also takes place through the Section 1207 process. Projects selected for 1207 funding are nominated by the Country Team, and they are prioritized by the Combatant Commands, Joint Staff, and regional bureaus and offices in DoD, State, and USAID. Funding decisions are determined collaboratively by a Selection Committee comprised of senior representatives from the Department of State Coordinator for Reconstruction and Stabilization, Director of Foreign Assistance, USAID, OSD Policy, and the Joint Staff. The 1207 authority has fostered the development of a flexible, whole-of-government approach to respond rapidly to emerging crises.

Both authorities preserve the Secretary of State's statutory and traditionally exercised role with respect to foreign assistance by providing, for example in 1206, for the explicit concurrence of the Secretary of State on all activities; and in 1207, for the transfer of DoD Operations and Maintenance resources to State at the Secretary of State's request.

DoD seeks to integrate its Title 10 humanitarian assistance efforts with State and USAID and requires that DoD projects complement, rather than duplicate or replace, the work of other U.S. Government agencies, host nation authorities, international organizations, or local or international nongovernmental organizations. To ensure maximum compliance with this guidance in its region, USSOUTHCOM has entered into a very close working relationship with other U.S. Government agencies throughout the Area of Focus. This involves program briefings to all USAID mission directors during theater in-briefs and at regional conferences and in-country program consultations with U.S. Country Teams.

In addition, USSOUTHCOM and USAFRICOM now have full-time Office of Foreign Disaster Assistance (OFDA) Liaison Officers stationed at the headquarters to facilitate preparedness, planning, and disaster response operations. USSOUTHCOM has also fostered a very close relationship with the regional Office of Foreign Disaster Assistance – Latin America and the Caribbean (OFDA-LAC) office in San Jose, Costa Rica. This relationship has resulted in open sharing of disaster response information to ensure coordinated disaster response activities and close coordination in disaster preparedness capacity building projects funded through the Overseas Humanitarian Disaster and Civic Aid (OHDACA) grant.

USSOUTHCOM has no functional involvement with the Millennium Challenge Corporation.

(7) The role the Department of Defense generally, and the COCOMs more particularly, should have in establishing foreign assistance policy as part of the foreign assistance process at the Department of State or as part of the inter-agency process led by the National Security Council;

Overall foreign policy, including foreign assistance policy, is clearly under the purview of the Department of State. DoD has a role to play in the establishment of policy for and the execution of security assistance.

Title XXII of the U.S. Code of Federal Regulations states that "Under the direction of the President, the Secretary of State shall be responsible for the continuous supervision and general direction of economic assistance, military assistance, and military education and training programs," while the Secretary of Defense has the primary responsibility for "the determination of military end-item requirements" for military assistance.

The Combatant Commands play a critical role in helping to determine and prioritize military requirements for security assistance and in implementing security assistance activities. COCOMs also can provide valuable insights into the underlying causes of instability, including underdevelopment, which can be useful to DoD and State in formulating foreign assistance policy, but the COCOMs have no direct policy-making role. At USSOUTHCOM interagency representatives contribute to analysis of issues that

undermine security, help identify assistance gaps, and advocate for U.S. Government partners to respond as appropriate.

The Office of the Secretary of Defense and the Joint Staff provide the DoD policy voice at the NSC and throughout the interagency process. Informed by the COCOMs, OSD and the Joint Staff represent DoD in the foreign assistance budget process to ensure that security assistance requirements are adequately communicated and represented in the foreign assistance budget process.

Section 4 - HASC Concerns – DoD/COCOM Lessons Learned

(8) The Department's plan to incorporate lessons learned from SOUTHCOM's inter-agency transformation into other COCOMs aside from United States African Command. (sic)"

USSOUTHCOM shares and will continue to share lessons learned from its interagency transformation process with counterpart Combatant Commands. Building upon a strong bilateral exchange with USAFRICOM, Command staff share insights and learn in turn from related interagency partnering efforts and interagency coordination at USNORTHCOM, USJFCOM, and other Combatant Commands. There is no DoD requirement for the other COCOMs to transform their organization as USSOUTHCOM and USAFRICOM have done; however, they may apply lessons where appropriate at the Commander's discretion.

Section 5 - Summary – Way Ahead for Reorganization

While retaining the full capability to conduct its primary mission of military operations, U.S. Southern Command's restructuring allows it to adapt to 21st century challenges and better support interagency partners where appropriate. Addressing these multifaceted challenges requires flexible mechanisms capable of responding quickly – and maintaining focus over the long run. By better understanding other agency and department's authorities and capabilities and staying within our own, USSOUTHCOM leadership and staff are better postured to improve the use of limited resources and readiness training.

The Secretary of Defense established an October 1, 2008 deadline for transition of USSOUTHCOM to a more interagency-oriented organization, and the Command met this objective. Following this transition, the Commander, USSOUTHCOM will continue to appraise the alignment of the organization to the demands of the region, and will periodically assess whether further adjustments are required in consultation with the Secretary of Defense, interagency partners, and Congress.

U.S. Southern Command's efforts to harmonize operations and activities with interagency partners greatly enhance the potential for improved regional approaches. The Department of Defense will continue to support this measured collaboration with

interagency partners as demonstrated at U.S. Southern Command, and will provide status updates to Congress on a regular basis.