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NOMINATION OF STEPHANIE O'SULLIVAN TO BE PRINCIPAL DEPUTY DIRECTOR OF NATIONAL INTELLIGENCE

HEARING

BEFORE THE

SELECT COMMITTEE ON INTELLIGENCE

OF THE

UNITED STATES SENATE

ONE HUNDRED TWELFTH CONGRESS

FIRST SESSION

THURSDAY, FEBRUARY 3, 2011

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NOMINATION OF STEPHANIE O'SULLIVAN TO BE PRINCIPAL DEPUTY DIRECTOR OF NATIONAL INTELLIGENCE

THURSDAY, FEBRUARY 3, 2011

U.S. SENATE,
SELECT COMMITTEE ON INTELLIGENCE,
Washington, DC.

The Committee met, pursuant to notice, at 2:30 p.m., in Room SD–562, Dirksen Senate Office Building, the Honorable Dianne Feinstein (Chairman of the Committee) presiding.

Committee Members Present: Senators Feinstein, Wyden, Udall of Colorado, Chambliss, Burr, Risch, Blunt and Rubio.

OPENING STATEMENT OF HON. DIANNE FEINSTEIN, CHAIRMAN, A U.S. SENATOR FROM CALIFORNIA

Chairman FEINSTEIN. The hearing will come to order.

The Committee meets today to consider the President's nomination of Ms. Stephanie O'Sullivan to be the Principal Deputy Director of National Intelligence. So, welcome, Ms. O'Sullivan.

Before turning to the nomination, let me first publicly welcome the six new members of the Committee, who aren't here yet but hopefully will be coming along shortly. We are joined on the Committee by Senators Conrad, Udall, and Warner on our side, and Senators Coats, Blunt, and Rubio on the Republican side. So we have six new members of this Committee, which I think both the Vice Chairman and I very much look forward to.

I note that Senator Coats is returning to the Committee, having served here in the 105th Congress. I also want to congratulate Senator Saxby Chambliss on his Vice Chairmanship. We've worked together on this Committee since you joined, Senator, in 2002. And I look forward to a close, good, positive working relationship, and all I can say is so far, very good.

Vice Chairman CHAMBLISS. Thank you.

Chairman FEINSTEIN. Before turning to the nomination, I would also like to note two important matters that are before us this month.

On February 16th, the Committee will be holding its annual worldwide threat hearing. That hearing provides the leaders of the intelligence community with an opportunity to present to the Committee and the public their assessment of current and projected national security threats to the United States. The Committee will be interested in exploring with them their assessments of the vast changes sweeping through the Middle East and North Africa.

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On February 28 three important authorities under the Foreign Intelligence Surveillance Act—the so-called business records, roving wiretap, and lone-wolf provisions—will sunset. That's three weeks from now, essentially, unless the Congress acts to extend them.

The Attorney General and the Director of National Intelligence have written to the congressional leadership in support of legislation that I've introduced to extend these authorities to December 31, 2013. The whole PATRIOT Act comes up for review—it sunsets—in 2013. That's really the time to look at the entire Act and make some decisions as to whether there should be reforms, changes, amendments, whatever, at that time.

I'm very concerned that these three sections, which are really vital for ongoing operations, essentially default, and I think that would place our nation in some increased insecurity. So I am hopeful that this will be Rule Fourteened to the floor and we can have a straight up or down vote on a straight three-year extension of those three provisions.

And now to the nomination. Ms. O'Sullivan was nominated to be Principal Deputy Director to DNI Clapper on January 5th of this year. If confirmed, she will be the second-most senior intelligence professional in the government, with the significant responsibility to assist DNI Clapper in his management and direction of the entire community.

Director Clapper has laid out his goal for his office to force a better fusion in the intelligence community between intelligence collection and analysis, and to make the whole greater than the sum of its parts. Ms. O'Sullivan has stated that she shares this goal and has agreed to take on the challenge to see it accomplished.

The importance of this mission has been underscored this week by the instability and protests in the Middle East. The President, the Secretary of State, and the Congress are making policy decisions on Egypt, and those policymakers deserve timely intelligence analysis. I have doubts whether the intelligence community lived up to its obligations in this area, which is an issue that the Committee will continue to examine as time passes.

Now, that's not, thankfully, a question aimed at Ms. O'Sullivan. As an Associate Deputy Director of the CIA, her role is akin to that of the chief operating officer, ensuring that the agency functions effectively and efficiently. She has served in this role since December of 2009, transforming Director Panetta's objectives into actions.

Prior to this position, Ms. O'Sullivan headed CIA's Directorate of Science and Technology for four years. In that role she managed the CIA's technical innovation and support to case officer operations. While almost everything in this area is highly classified and unfortunately can't be discussed here, the Committee has taken a real interest in several of these programs and found them to be on the cutting edge of science and unique assets to the community.

Ms. O'Sullivan spent over 14 years combined in the Directorate of Science and Technology. She was formerly in the Office of Naval Intelligence, and before that she worked at TRW, now part of Northrop Grumman.

As a nominee to be Principal Deputy DNI, Ms. O'Sullivan has answered numerous pre-hearing questions and met with Members.

Her answers to those questions will be posted today on the Committee's website.

So I look forward to your statement and answers to Members' questions, and hope that we will be able to get you confirmed quickly and painlessly through the Senate. I know that DNI Clapper very much shares in that hope as well.

I'll now turn to our distinguished Vice Chairman and then, if you will, give you an opportunity to introduce your family and make any opening remarks you would care to make.

Ms. O'SULLIVAN. Thank you, Madam Chairman.

Chairman FEINSTEIN. Thank you. Mr. Vice Chairman.

OPENING STATEMENT OF HON. SAXBY CHAMBLISS, VICE CHAIRMAN, A U.S. SENATOR FROM GEORGIA

Vice Chairman CHAMBLISS. Thank you, Madam Chairman. First of all, let me say that at the hearing the other day when you were unable to be with us I made the comment—and I want to make it again—about the fact that I appreciate, as a member of this Committee, particularly on the minority side, the way that you have conducted yourself as Chairman in both our classified and unclassified hearings, and all other aspects of serving as Chairman.

You have made sure that every member of the Committee—it didn't make any difference which side of the aisle we were on—had total input into whatever the issue was, and I commend you for that and want to make sure you know that I feel personally very strongly about the fact that we are going to have a very strong working relationship. We've had the opportunity to work together before. And it's going to be interesting times that we have to deal with, but I thank you for your leadership.

Chairman FEINSTEIN. Thank you. I appreciate that.

Vice Chairman CHAMBLISS. Ms. O'Sullivan, I join the Chair in congratulating you on your nomination. You have a distinguished career and we appreciate your willingness to serve in the number-two job in the intelligence community.

In your responses to the Committee's questions, you describe the many serious threats our nation faces. And as we watch the events in the Middle East unfold, we are reminded of how important good and timely intelligence is to staying ahead of the rapid changes in our world. A big part of your new job will be to make sure that our intelligence community collectors and analysts live up to this task.

As you and I talked yesterday, information sharing is of critical importance. It's important to get the information, but then it's also extremely important to make sure that it gets into the hands of those people who are making the decisions, including yourself in this position. And I want to make sure that we continue to give the due diligence to the sharing of information within the community. Of course, we have a major oversight of that, but as the number-two person at DNI, you are going to have a major role in that particular issue too.

As you noted, the ongoing threat from al-Qa'ida in the Arabian Peninsula, the same group responsible for the failed Christmas Day attack, is high on our radar screen. Amplifying this concern is the fact that former Guantanamo Bay detainees have joined AQAP. How to handle the remaining Gitmo detainees and ensuring that

host countries actually monitor already-released detainees remain critical problems.

We know the IC plays an important role in this area. Congress, too, has its own oversight responsibilities. I expect that in your new position you will help make sure this Committee has all the information we have asked for and need to fulfill our responsibilities. Today and in the coming months, I look forward to hearing your views on other oversight matters, including the ODNI's reorganization under Director Clapper and how it will improve the IC's collection and analysis.

As the budget debate heats up here in Washington, we'll look for your ideas on how the IC can run more efficiently and cost-effectively. The days of bloated government budgets, including for the IC, must be behind us. This Committee has a good track record in taking firm stances on budget issues, and I expect that trend to continue in this Congress.

These are just a few of the issues facing the IC and the ODNI. We look forward to hearing your ideas today, and we look forward to a speedy confirmation process and to continue to work with you. I thank you.

Ms. O'SULLIVAN. Thank you, Mr. Vice Chairman.

Chairman FEINSTEIN. Thank you very much, Mr. Vice Chairman.

Ms. O'Sullivan.

STATEMENT OF STEPHANIE O'SULLIVAN, PRINCIPAL DEPUTY DIRECTOR OF NATIONAL INTELLIGENCE-DESIGNATE

Ms. O'SULLIVAN. Madam Chairman, Vice Chairman Chambliss and distinguished members of the Committee, it is an honor to appear before you today as the President's nominee for the position of Principal Deputy Director of National Intelligence.

I also want to thank you for welcoming my family. I am pleased that my husband Patrick, my parents Adam and Barbara, and my brother-in-law Timothy could join me. Their support and grounding have been essential to my ability to serve in public service throughout my career.

That service encompasses almost 30 years spent in or supporting our country's intelligence community. During that time I have served in private industry, the Department of Defense, and the Central Intelligence Agency. I have delivered systems and new capabilities in every intelligence discipline. I have worked across the intelligence cycle, from research to operations, and I have worked across the intelligence community in partnerships that delivered more than either of us could have alone.

I fully comprehend both the challenge and the grave responsibility bestowed upon the Director of National Intelligence and, if confirmed, would strive to meet both the challenges and fulfill the responsibilities of the office.

The DNI is charged with protecting our country in a time where we are collectively facing a daunting set of threats and challenges. In this environment, a strong and effective DNI and its leadership has never been more important. If I am confirmed, I look forward to supporting Director Clapper's goals to better integrate the intelligence community and to ensure that the community is efficient in both its structure and its operation.

I also look forward to supporting the DNI and the intelligence community's imperative to keep Congress fully and currently informed. The oversight process is the basis by which the intelligence community maintains the trust of the Congress and the people that we serve. Moreover, oversight is a valuable contribution to improving the quality of intelligence. If confirmed, I will ensure that the intelligence community is meeting its statutory obligations to fully and currently inform the congressional oversight Committees of intelligence activities.

Thank you again for the opportunity to appear before you today, and for your consideration of my nomination. I look forward to answering your questions.

[The prepared statement of Ms. O'Sullivan follows:]

OPENING STATEMENT OF STEPHANIE L. O'SULLIVAN, NOMINEE FOR THE POSITION OF PRINCIPAL DEPUTY DIRECTOR OF NATIONAL INTELLIGENCE

Madam Chairman, Vice Chairman Chambliss, and distinguished members of the Committee, it is an honor to appear before you today as the President's nominee for the position of Principal Deputy Director of National Intelligence (PDDNI). I also want to thank you for your time and consideration of my nomination and of my record in public service.

That service encompasses almost thirty years spent in, or supporting our country's Intelligence Community. During that time I have served in private industry, the Department of Defense, and the Central Intelligence Agency. I have delivered systems and new capabilities in every intelligence discipline. I have worked across the intelligence cycle from research to operations and learned the value of innovation in each of them. I have worked across the Intelligence Community in partnerships that produced more than either party could have alone and experienced the potential that can be found in an integrated enterprise. I fully comprehend both the challenge and the grave responsibility bestowed upon the Director of National Intelligence (DNI) and if confirmed, would strive to meet the challenges and fulfill the responsibilities of the office.

The DNI is charged with protecting our country through the provision of timely, objective, and accurate intelligence to policymakers and the effective management and integration of the Intelligence Community. The DNI is also responsible for ensuring that the Intelligence Community, as it fulfills its obligations, complies with the direction of the President and with our country's laws and Constitution.

In order to implement these responsibilities, the DNI integrates intelligence capabilities and products, sets priorities, and allocates resources. The DNI also leads the community in initiatives designed to improve its effectiveness and efficiency. The PDDNI assists the DNI in carrying out his or her duties and responsibilities. The PDDNI supports the DNI's policies to include integrating intelligence, leading the U.S. Intelligence Community, and protecting U.S. national security. The PDDNI also acts and exercises the powers of the DNI upon the absence or disability of the DNI. If I am confirmed, I look forward to supporting Director Clapper's goals to better integrate the Intelligence Community and ensure the Community is efficient in both its structure and operations.

Given the threats and challenges facing the Intelligence Community, it has never been more important for the DNI to exercise strong and effective leadership. As a nation, we are facing a daunting number of threats ranging from terrorism, to the development and proliferation of Weapons of Mass Destruction, to cyber security. In the face of these competing imperatives, the ability of the DNI to adjudicate and set priorities is essential.

DNI leadership is also needed to address the management challenges faced by the Intelligence Community. The DNI's leadership will be required in defining a path forward for information sharing that recognizes, and appropriately balances, the inherent risks without jeopardizing the gains we have achieved through deeper integration. DNI leadership on efficiency and effectiveness initiatives will be key to optimizing the Intelligence Community's budget and resources in the face of inevitable constraints. Finally the DNI has one additional leadership duty, to lead the men and women of the Intelligence Community. Working with our Congressional oversight committees, the DNI must both support their efforts to protect our country and challenge them to give their best.

Accomplishing all of this will require that the DNI has a strong and effective leadership team. DNI Clapper has generally defined responsibilities within his leadership team such that the PDDNI will serve as the Chief Operating Officer for the Intelligence Community as well as the Office of the DNI (ODNI). Internally the PDDNI will be focused on the management and oversight components of the DNI's office, while the Deputy Director for National Intelligence for Intelligence Integration (DDNI/II) focuses on the ODNI components responsible for integrating analysis and collection. Externally, the DDNI/II is focused on supporting the National Security Staff and policymakers, while the PDDNI will be focused on the Intelligence Community components and the DNI's oversight and reporting responsibilities. If confirmed as PDDNI, I would also have full visibility into, and understanding of, intelligence matters such that I would be prepared to act for the DNI in his absence.

I believe that the DNI has assembled a leadership team that builds on the strength of our community. I believe that my own background in technology, development and acquisition, and clandestine operations, as well as my experience at CIA will complement the DNI's own experience and that of his leadership team.

I will close by addressing the Intelligence Community's imperative to support Congressional oversight. I believe in and value the Congressional oversight process, and if confirmed as PDDNI, I will fully support the Intelligence Community's notification and reporting obligations to our oversight committees in Congress. The oversight process is the basis by which the Intelligence Community maintains the trust and confidence of Congress and the people we serve. Keeping the congressional oversight committees currently and fully informed of significant intelligence activities, anticipated intelligence activities and intelligence failures is fundamental to the system of checks and balances embedded in our government and the only way an intelligence organization can effectively operate within our open society. Moreover, oversight is a valuable contribution to improving the quality of intelligence and the effective, efficient operation of the Intelligence Community. If confirmed, I will ensure that the Intelligence Community is meeting its statutory responsibilities to fully and currently inform the Congressional oversight committees of intelligence activities.

Thank you again for the opportunity to appear before you today. I am happy to answer your questions.

Chairman FEINSTEIN. Thank you very much, Ms. O'Sullivan. There are several standard questions that I might ask you, so I'm just going to go through them very quickly. I think you can answer them with one word.

Do you agree to appear before the Committee here or in other venues when invited?

Ms. O'SULLIVAN. Yes.

Chairman FEINSTEIN. Do you agree to send officials from the Office of the Director of National Intelligence and elsewhere in the intelligence community to appear before the Committee and designated staff when invited?

Ms. O'SULLIVAN. Yes.

Chairman FEINSTEIN. Do you agree to provide documents or any other materials requested by the Committee in order for it to carry out its oversight and legislative responsibilities?

Ms. O'SULLIVAN. Yes.

Chairman FEINSTEIN. Will you ensure that the Office of the Director of National Intelligence and officials elsewhere in the intelligence community provide such material to the Committee when requested?

Ms. O'SULLIVAN. Yes.

Chairman FEINSTEIN. Do you agree to inform and fully brief, to the fullest extent possible, all members of this Committee of intelligence activities and covert actions rather than only the Chairman and Vice Chairman?

Ms. O'SULLIVAN. Yes.

Chairman FEINSTEIN. Thank you very, very much. And I have a couple of questions.

On August 20, DNI Clapper established the position of Deputy Director of National Intelligence as the new third-ranking position in the Office of DNI, and he eliminated the four deputy DNI positions that had existed previously. The same day, DNI Clapper also announced that Robert Cardillo, former Deputy Director for Analysis at the DIA, would serve as the first Deputy DNI for Intelligence Integration.

In your written responses to our Committee's pre-hearing questions, you stated that "the PDDNI is responsible for ensuring the adequate and appropriate resources, policies and process to maximize intelligence integration." But you also wrote, "The DDNI too is responsible for the integration of intelligence across the intelligence community."

Who is in charge of making sure intelligence information is integrated and shared across the intelligence community? Would it be you, if you're confirmed, or is it Mr. Cardillo?

Ms. O'SULLIVAN. The Director of National Intelligence has set the agenda, and he has the primary responsibility. Both Robert Cardillo and I will fully support his objective of doing that. So I would feel bound to answer that call, and I would feel that that would be a primary responsibility that I carried.

Chairman FEINSTEIN. Now I'm confused. You're saying that he has the primary responsibility.

Ms. O'SULLIVAN. General Clapper has the primary responsibility, and both of us will be supporting him in that role.

Chairman FEINSTEIN. Well, who makes sure that intelligence is integrated and shared across the community? Which person?

Ms. O'SULLIVAN. That would probably fall into my area of primary responsibility as I understand the structure of the office. Robert Cardillo's primary role is in integrating collection and analysis and identifying intelligence gaps, which are then passed to the rest of the community to effect solutions. I would be responsible for overseeing the process of the trades and implementation across the rest of the community.

Chairman FEINSTEIN. Good. Now that's very clear and on the record, so thank you.

I wanted to ask you a question on contractors, if I can find it here. We have been increasingly concerned about the IC's heavy dependence on contractors. The actual numbers are classified at the secret level, but past DNIs and agency heads have all generally agreed that there's an over-reliance on contractors that have put inherently governmental work in the hands of the private sector.

As you know, the law is that if the work is inherently governmental, it must be done by a government employee, not a contractor. And contractors have increased costs, roughly 70 percent per position. In other words, it is much more expensive to do it that way, and it means that the government does not develop and obtain its own expertise. It's delegated out at 70 percent greater cost.

Your answers to the Committee's pre-hearing questions state your belief that contractors can help the government meet its short-term needs. You wrote, "If the immediate security of the nation or United States citizens or our interests are threatened, then the surge use of contractors is an appropriate consideration." Now, this budget is likely to have cuts, as you may guess. Will you make

reducing the use of contractors within the IC a priority, if confirmed?

Ms. O'SULLIVAN. Madam Chairman, if confirmed, I would pledge to take a very close look at those contractors. The key word in my response was "surge" use. That does not mean sustained forever. Contractors bring unique and valuable skills and they fill surge needs, but we should take a look at it periodically, on an ongoing basis, to make sure that they are not just continuing out of inertia.

Chairman FEINSTEIN. Well, as long as you know and take a look at the gross numbers, which are astonishing.

Ms. O'SULLIVAN. I would pledge to do that.

Chairman FEINSTEIN. And, in fact, the department has pledged itself to, I believe to a 5-percent reduction of contractor use a year, which, candidly, is rather de minimus. So I would like to ask that you look at that, and we will be calling on you in the future to question you further on it.

Ms. O'SULLIVAN. I have experience doing that already.

Chairman FEINSTEIN. Okay, thank you.

Mr. Vice Chairman.

Vice Chairman CHAMBLISS. Thank you.

Ms. O'Sullivan, the Committee has been reviewing the disposition of Gitmo detainees and the process used to decide whether to detain or release these detainees. As the recidivism rate continues to rise, we need to make sure that transfer countries really do have eyes on any released detainees. The Committee is still waiting for some key documents from the administration on this issue. Will you commit to working with the Committee to help us get all the documents that we have requested?

Ms. O'SULLIVAN. If confirmed, I would pledge to make available all the information that this Committee needs to the best of my ability, including on this issue.

Vice Chairman CHAMBLISS. The ODNI has acknowledged that the DNI acted in a policy role in the decisionmaking process for transferring detainees. Do you believe that's an appropriate role for the DNI and if so, why?

Ms. O'SULLIVAN. The process by which we are working the Gitmo detainee is a cross-community process. Intelligence officers inform that process. They also have a say as to the risk involved. So it's appropriate that the community informs the interagency process as to what the risks are and the capabilities of liaison countries.

Vice Chairman CHAMBLISS. So do you think the DNI is an appropriate person to be on that policymaking side?

Ms. O'SULLIVAN. I think he is appropriate to consult.

Vice Chairman CHAMBLISS. Okay. Let me just express a concern that has been brought up from time to time since creation of the DNI. It's something you and I talked about a little bit yesterday, and that's the size of the DNI. I don't want to put you in a position of saying the DNI is too big or not big enough but certainly one of the problems that we've had in the intelligence community is sometimes wading through the bureaucracy.

I would just urge you that in your position as General Clapper's right-hand person that you look at the size and the scope of the work being done by the DNI and if we can from the policy side help make decisions and work with you with regard to either trimming

it down or making it more efficient I'd just urge you to think outside the box and let us help you do that.

Lastly, since the Wikileaks disclosure began the tug between the need to know versus the need to share has come under increased scrutiny. What are the key factors that you believe should be considered in resolving this tension between need to know and need to share?

Ms. O'SULLIVAN. To your first question on the size of the DNI, I agree with you that it would be difficult for me to make a substantive assessment looking at the DNI's office from the outside. However, if confirmed I would pledge to do what I have always done when I'm responsible for leading a group of intelligence community men and women. I would make sure that their efforts are not wasted because they are duplicative.

I would make sure that their efforts had an impact and I would make sure that they had the tools and resources needed to do the job that you expect of them. I would look at the cadre mix, the skills mix across the organization, and that would include looking at the size of the organization. I would do this because every single person in the intelligence community wants to feel that they are making an impact and having a bottom-line addition to the community. They want to feel value added. They deserve that their work is value added, and that means taking a careful look at what we're asking them to do.

On your second question about intelligence sharing, need to share and need to know are not and cannot be mutually exclusive for the intelligence community. We definitely have intelligence sources that must be protected. Lives are indeed at stake. We also cannot afford to give up the gains that we have made—the very real gains we have made—via deeper integration and sharing that we've had since 9/11.

That has been important to keeping our country safe and it has really truly meant that we are able to do things that we weren't in the past. There are things that we can do to balance those two competing objectives and the way forward I think has been laid out by the DNI's staff working with the intelligence community and is focused on looking at access across the community, looking at the configuration of systems so that it's not possible anymore to have a CD that you put in a computer and walk out with lots of data and is focused on audit and monitoring, and we have started moves in all of those directions to implement capabilities which I think will make us stronger and not sacrifice our duty to share.

Vice Chairman CHAMBLISS. Well, thank you very much and thanks for the great work you've done in the past with the community and we look forward to continuing to work with you.

Ms. O'SULLIVAN. Thank you, Vice Chairman.

Chairman FEINSTEIN. Thank you, Mr. Vice Chairman.

Senator Burr.

Senator BURR. Thank you, Madam Chairman.

Ms. O'Sullivan, welcome, and I say on behalf of all of us thank you for your commitment to the country and to the effort up to this point, and I for one hope this is an expeditious process, that we move on and that we can have you within the DNI with your expertise, which I think are invaluable to us.

Let me follow up on what Senator Chambliss raised and specifically go to one area. I think we can all agree that there is duplication within the DNI as it relates to analysts. Now, there's not a part of the IC community that analysts aren't crucial to their work, and I guess I would ask you is there a point we can get to where we have over-analyzed an issue? Do you have the lack of confidence in the rest of the IC community that you strongly feel that there's a need to continue to grow analysts within the DNI, or is that an area that you'd feel comfortable relying on the products that come from the rest of the intelligence community?

Ms. O'SULLIVAN. The DNI's role is that of setting standards, making best practices move between organizations, doing common training and sharing the skills that we have across the community. It's a valuable role and it needs to be there. We also need the DNI's function, and we've had it for a long time in the community in the body of the NIC, to integrate analysis that comes from all the disparate and different skill sets of the community—an imagery analyst piece versus a SIGINT analyst piece versus what would come from an all-source analyst or a military analyst. To get the full picture for intelligence, somebody needs to integrate that and the DNI has picked up that ongoing community responsibility. I do not believe that they have added unnecessarily to it. That integration job is a very, very big job.

Senator BURR. In most cases would you agree that within the DNI they take that raw data that is available and analyze that to get their own snapshot?

Ms. O'SULLIVAN. I think they take the raw data that's available and see what happens when you put it together.

Senator BURR. Let me ask you, if I could—one of the frustrations I go through as a member of the Committee—and I might speak on behalf of the entire Committee—is we're asked to do oversight on the intelligence community. In most cases we're denied access to raw data. I would ask you, if confirmed today, would you do everything you can, in the instances that we feel we need the raw data, as a Committee to be supplied the raw data to do our oversight job?

Ms. O'SULLIVAN. I would indeed, if confirmed, pledge to do everything possible to get the information that you need to do your job to the best of my ability. Now, I understand that there are sometimes competing jurisdictions across committees and that the raw information may fall into that bucket. But, again, I would pledge to do everything possible to make this Committee's role of oversight of intelligence effective.

Senator BURR. I would hope, with the coordinating role that you see Director Clapper in, that he could overcome those territorial boundaries and make sure, especially within the IC community, that we have the tools we need.

Ms. O'SULLIVAN. Director Clapper is quite persuasive.

Senator BURR. Let me ask you one last question if I could, and this is really regarding the 2007 NIE. That Estimate was on Iran's nuclear program and former CIA Director Jim Woolsey said publicly that this was the worst and most irresponsible National Intelligence Estimate ever, that confused its headlines with its footnotes, and the headline was that Iran had stopped its nuclear

weapons program, but the footnote said oh, by the way, it's still enriching uranium.

In my view, an additional problem was that key judgments of this NIE were publicly released. Now, this has not only complicated our intelligence efforts within our allies and our partners but it could also serve to have a chilling effect on future NIEs. If analysts believe that there's a chance that any part of their work might be made public they could alter or hold back their fullest analytical assessments from policymakers.

What's your personal view as it relates to publicizing the National Intelligence Estimates?

Ms. O'SULLIVAN. The men and women of the intelligence community are responsible for informing policymakers in the decisions that they have to make. We are committed to providing the most fulsome views to those policymakers, including all of the footnotes, including all the debates.

The policymakers then make the decisions for how best to take that information forward and use it. Of course, we are concerned for the security and sensitivities that you noted and we would make those sensitivities clear as part of our production of the product.

Senator BURR. Would you agree that that could affect the analytic product if too much of that became public?

Ms. O'SULLIVAN. I think that the analysts in this intelligence community are more devoted to making sure that policymakers have the information on their desk; that they would not withhold anything because of that.

Senator BURR. Great. Thank you very much, Madam Chairman.

Ms. O'SULLIVAN. Thank you.

Chairman FEINSTEIN. Thank you very much.

Senator Rubio.

Senator RUBIO. Thank you, Madam Chair.

Thank you, Ms. O'Sullivan.

Really one main question. How would you assess the state of affairs in collecting and analyzing intelligence from detainees that we're capturing around the world?

Ms. O'SULLIVAN. I believe what we're doing across the community—including with our partnerships with DOD and law enforcement—that we're getting the best access to the information we can.

When we can get access to people we are getting the information that we need. The capabilities and tools that we have are effective in supporting that.

Senator RUBIO. The other question I had, I think, as we're watching events in the Middle East unfold, are there any lessons you take in terms of long-term strategic analysis that we could learn with regard, for example, to what's happening in Egypt in terms of long-term planning for our different intelligence community agencies?

Ms. O'SULLIVAN. The events in Egypt are rapidly unfolding and the intelligence community is working full out to track them on the ground. But the minute that things started earlier on in Tunisia, the intelligence community started looking at the longer-term strategic impacts.

That's a balance that we always pursue. We set aside and value as part of our trade craft the stand-back look and the projection of things and trends as they go forward, as well as our obligation to keep the policymakers currently informed of events as they unfold. So I don't think that we would ever lose sight of that.

And of course, we will always do after-action looks to see if there was something more that we should have done as we look back.

Chairman FEINSTEIN. Thank you, Senator.

Senator Wyden.

Senator WYDEN. Madam Chair, I appreciate this hearing. And I also want to say how great it is to see you back as a picture of good health as we begin this hearing and we are glad you're here.

Ms. O'Sullivan, let me ask you, picking up on Senator Rubio's question, because I think the whole question of Egypt and what we knew when is critical.

Can you tell me when the intelligence community first alerted the President and other policymakers that Egyptian street protestors were likely to threaten President Mubarak's hold on power?

Ms. O'SULLIVAN. The IC has assessed for some time that the political stagnation in these countries has been untenable in the long run and briefed that up to policymakers. Our experts have been closely following the drivers of change from economic instability and conditions to the youth bulge in these areas and other societal factors that underlie the current crisis.

We will continue to monitor developments as we go forward. And we will continue to feed, in a continuous process, indicators of additional instability across the region.

Senator WYDEN. That's helpful, but that's not the question I asked. The question I asked was when did the intelligence community first alert the President and policymakers that protestors were likely to threaten President Mubarak's hold on power?

Ms. O'SULLIVAN. We have warned of instability. We didn't know what the triggering mechanism would be for that, and that triggering mechanism happened at the end of the last year.

Senator WYDEN. So did you give him a sense at the end of last year—I mean, if you don't want to give me a specific date—I am interested in when the President was told how serious this was. I mean, if you tell me it was the end of last year or last week or last month—you don't have to give me a specific, you know, specific date, but this goes again to the function of intelligence. And to me, the intelligence community's primary job is to collect information from people who know important things. And you can't just gaze into a crystal ball and try to guess what can't be predicted.

But I do want to get a general sense of when you all told the President that we were faced with something that was as serious as what we have seen in recent days.

Ms. O'SULLIVAN. I'm afraid I'm not going to be able to satisfy your specific question. My duties involved a more general understanding of the debates that were going on and not the face-to-face briefing of the President over this past year.

Senator WYDEN. You were told yesterday I was going to ask this question, weren't you?

Ms. O'SULLIVAN. Not in this detail, sir.

Senator WYDEN. All right. Because I think—I'm told by staff that we notified you specifically, because I wanted to get into this area. So I think it's unfortunate we're not getting more specifics, given the fact you were put on notice.

Speaking more broadly, do you think it's realistic to expect U.S. intelligence agencies to have deep coverage of every country in the world, or should policymakers just expect to focus really on high priority countries and issues?

Ms. O'SULLIVAN. The intelligence community has to have coverage of every area of the world that we possibly can in preparation for those hot spots that policymakers need to focus on. We don't get to relax our vigilance on global coverage as we chase the current unfolding crisis.

Senator WYDEN. What's the role of the DNI in all this? When the DNI, for example, lays out certain priorities for intelligence collection and analysis, how will you expect the various agencies to react?

Ms. O'SULLIVAN. The DNI has a very critical role. The DNI adjudicates between competing requirements and then allocates resources aligned to those top priority requirements.

And the classic example you've just laid out is one that we frequently wrestle with, which is how do we cover the whole world and maintain the crisis collection and assessments on ongoing and unfolding events.

Senator WYDEN. Let's see if I can get one other question in, Madam Chair, and that's the role of the DNI in relations with the CIA.

The Congress created the position of DNI so that there'd be somebody who was responsible for looking across all of the various intelligence agencies to make sure the enterprise was as effective as possible. And one of the questions that those of us on the Committee ask every time we confirm a new Director or a Deputy Director of National Intelligence is how well is the concept working.

So from your vantage point as a senior manager at the CIA, how well is the concept of a Director of National Intelligence working in practice?

Ms. O'SULLIVAN. I can tell you unequivocally, as a member of the senior management team at CIA, that we are fully on board with the DNI's leadership and vision for the community. It resonates with us, his vision; with all the men and women of the community it resonates. His vision focused on mission and integration works. It makes sense to everyone.

We went through a lot of stand-up pains in the community, but in my assessment and my experience over the last year or so—and especially as Director Clapper has come on and laid out his vision—I believe that most of that is behind us.

Senator WYDEN. Thank you, Madam Chair.

Chairman FEINSTEIN. Thank you very much, Senator Wyden.

Senator Blunt.

Senator BLUNT. Thank you, Madam Chair.

Ms. O'Sullivan, thanks for coming by and having a chance to visit yesterday. And I'm pleased to be here with a Missourian nominated for such a high and important position in the security of our country.

You've been at the CIA for what, the last 15 years?

Ms. O'SULLIVAN. Since 1995.

Senator BLUNT. So you've been there during the entire time that we've changed structure from——

Ms. O'SULLIVAN. That's correct.

Senator BLUNT [continuing]. From 2001 until today.

A handful of years ago, what was your job at the CIA—four or five—the last job before the one you have now?

Ms. O'SULLIVAN. I was the Director of Science and Technology at CIA.

Senator BLUNT. So in all places—I was actually going to ask Senator Wyden's question, because I thought you probably have had as good a view of this from inside as almost anybody. And I heard your answer yesterday, which you gave the same answer again today. And I hope your optimism's well founded.

What do you think about DNI Clapper's—how's the reorganization that he is in the midst of going to impact the way that the DNI responsibilities are handled differently than they have been before the reorganization?

Ms. O'SULLIVAN. His reorganization reflects his vision.

So it's focused on integration. It's focused on efficiency in both the structure that he is standing up and the management team that he has, which is why he's restructured the way he has. And so it resonates because it's true from top to bottom. He's walking the talk in his own organization, as well as laying the path for the community.

Senator BLUNT. And how would you describe his vision as different? Is he so very focused on integration as the principal responsibility, or how would you see his vision for what the job is, as opposed to maybe what the job has been doing before?

Ms. O'SULLIVAN. Well, I'm very thankful for all the people who came before in these jobs, because there was a lot of heavy lifting that had to be done. So we're standing on their shoulders. But what General Clapper is able to do now—because I think the community is at that point, and the vision he has brought starts with mission. And mission is what motivates the men and women of the intelligence community. That's why we are here every day. That's why they make the sacrifices they do.

And so when you start with mission and you lay that out and then show how integration can make that mission more effective, you can get extraordinary things out of the people in this community. And that's why I think it's resonating, and that's why I'm optimistic.

Senator BLUNT. And what is the principal mission of the DNI?

Ms. O'SULLIVAN. To protect our country.

Senator BLUNT. To protect our country. And the DNI's unique role in that is what?

Ms. O'SULLIVAN. The DNI has the responsibility of integrating the community. He has the responsibility of being the intelligence advisor to the President, carrying forward all the information that the intelligence community brings. He has a responsibility of making sure that the intelligence community acts in compliance with the laws and the Constitution and values of our country, as well as making sure that all of the intelligence community keeps Con-

gress and our oversight Committees completely and currently informed. That's the start of the list, but not all of it.

Senator BLUNT. Thank you. Thank you, Madam Chairman.

Chairman FEINSTEIN. Thank you very much, Senator.

Senator Udall.

Senator UDALL. Thank you, Madam Chair.

Good afternoon, Ms. O'Sullivan. I, too, like Senator Blunt, want to thank you for taking the time to pay me a visit yesterday, and it helped me prepare for the hearing today.

I think we discussed yesterday I sit on the Armed Services Committee and have an interest in that interaction between the intelligence community and the military, particularly outside of war zones. I believe there's some need to clarify those relationships.

Do you think that there are areas where we need new guidelines or new agreements between the IC and the—I'll use some more acronyms—the DOD, intelligence community and the Department of Defense?

Ms. O'SULLIVAN. I believe that, particularly in war zones, we operate quite effectively together, largely because our combined and joint mission is so clear. There aren't competing requirements. We're all pointing at the same thing.

As far as additional guidance or structures, the DNI has worked very closely with the DOD and the SecDef to set up a number of bodies to work through CONOPS, policy, resource allocation, requirements allocation. So all of those lower-level structures are being put in place to make sure that we work as effectively back here as we do out in the field.

Senator UDALL. This isn't necessarily the time to do this, but I think at some point perhaps we could more specifically pursue that question, say, for example, in Egypt, what sort of coordination was occurring there between what our defense analysts see and perceive and those in the ODNI world as well.

Let me move to energy security. I think in your written response you mentioned energy security, along with climate change, as concerns that would have national security implications. What specific actions would you envision the IC taking now to make energy security a real priority, given what we're seeing in the Middle East and the potential for this unrest and instability to spread?

Ms. O'SULLIVAN. As I was stating earlier, our analysis of the trends and the instability and impacts includes economic indicators. Energy security is a huge driver of that. It underlies a lot of the decisions and risks that are made, decisions that are made as we go forward.

The analysts in the community have stood up. All of them have long-term strategic analysis plans that include looking at those longer-term issues, such as energy security, and including climate change, for which we've stood up a climate change center.

Senator UDALL. Again, I look forward to working more with you if you're confirmed.

Let me turn to cybersecurity. Senator Feinstein led a very worthwhile and informative CODEL to China a year ago in May, and one of the subjects that we discussed in a series of meetings with the Chinese was cybersecurity. I know in your written responses to the pre-hearing questions, I think you said, "The current balance favor-

ing cyberactors who desire to exploit our vulnerabilities is likely to increase over the next five years."

You've got an engineering and science and tech background. Can you identify areas in which we can be working harder and maybe in a more focused way to address cybersecurity threats?

Ms. O'SULLIVAN. You put your finger on one of the most complex and evolving threats that our country faces. It is indeed an increasing threat because, as you said, the advantage goes to the attacker in the cyber world. The IC in this endeavor has some very unique skills and capabilities that we can contribute. We have a couple of responsibilities and obligations as well. We track and identify cyber threats and warn of them. In addition, we have a responsibility to protect our own networks.

It is in the course of that endeavor that we probably have some of the most valuable things that we can share, because our networks for a long time have faced both sophisticated and persistent attacks. So we've learned a great deal in the course of defending them. And NSA in particular brings a lot of very unique skills, which we are working and sharing, under the direction of the DNI, across the national security community.

Senator UDALL. So it's no secret that it's much easier to go on offense. It's much harder to defend networks and assets in cyber.

Ms. O'SULLIVAN. Particularly in an open society.

Senator UDALL. Yes, our strength is sometimes our weakness, but vice versa as well.

Ms. O'SULLIVAN. That's what we're here to defend.

Senator UDALL. CYBERCOM is standing itself up, and I'm curious if you'd have any thoughts in regard to the intelligence community's relationship with CYBERCOM. And, more specifically, do you have any concerns that laws and guidelines governing this area are lagging behind either the threat or our capabilities?

Ms. O'SULLIVAN. CYBERCOM is standing up. And so what we're primarily going through now is setting up the interface structures between us, making sure that we hook up all the different parts of the community as this new organization steps forward and begins to take a more and more active role.

So at the time I don't see any particular laws or authorities that are required. But, if confirmed, I would certainly pledge to bring back to you anything that I discover.

Senator UDALL. Well, thank you.

Madam Chair, I operate in the spirit of you never get in trouble for something you didn't say, although my wife would disagree with me on occasion. But I do look forward to working on the Committee with the Chairwoman and with the Vice Chairman on cyber security and the important challenges we face there. But I also think we have some real opportunities if we get out front.

So, again, Madam Chair, thank you for the time.

Chairman FEINSTEIN. Well, thank you very much, Senator Udall.

Ms. O'SULLIVAN. Thank you.

Chairman FEINSTEIN. Senator Risch. I know. And I practiced.

Senator RISCH. The former Vice Chairman used to help me out. [Laughter.]

Chairman FEINSTEIN. I know.

Senator RISCH. I will pass. Thank you.

[Laughter.]

Chairman FEINSTEIN. Oh. I'm embarrassed.

I would like to ask one question. When I came on this Committee around 2001, it was right after the Peru shootdown incident. And this all struck us very, very strongly.

Since that time, you have been chair of the Peru Air Bridge Denial Program accountability board. And the report, which was classified, has been unclassified and released. And essentially the Peruvian military and the CIA, which was involved in identifying the Bowers plane, admitted to the mistake but claimed the proper procedures had been followed and the plane had refused orders to land.

The IG report found that the CIA may have misled Congress and the Justice Department by withholding information about the drug interdiction program. And there were other problematic incidents, more than 10, where planes were shot down and operational rules were violated as part of the CIA program.

Now, it's my understanding that the board, which you chaired, conducted an examination of the conduct of 23 officers and recommended administrative penalties for 16 retired and current officers. In 2009 Director Panetta accepted the board's specific recommendations, which remain classified personnel decisions. But nonetheless, a substantial period of time had passed, and I am very concerned about misinforming the oversight committee, which I think is really untenable to have happen.

What are your thoughts, having gone through this experience, to prevent what happened here from ever happening again and to really face up to an error and certainly testify or make an accurate report to the oversight committee about it?

Ms. O'SULLIVAN. What we found that led to the behaviors that were cited in the IG report were numerous instances of people asserting compliance with procedures rather than documenting them in detail. It was sloppy and incomplete reporting. As a result of that, the board made several systemic recommendations, some of which were urged by the members of this Committee, to implement a lessons learned program.

And so what we've done is we've just finished the first running of the lessons learned program based on this as a case study, and we're focused on the management cadre because they are the ones who set the standards for what are acceptable reporting levels.

We also as a board agreed that the gravest offenses committed by the people that were sanctioned were those that touched on the grave responsibility of people to report accurately and completely to Congress. And we reserved our stiffest penalties for the people that we found had been careless in those duties. We feel that that is a startling standing lesson learned to all of our future management officers and are working hard to make sure that they all hear that lesson.

Chairman FEINSTEIN. Well, I very much appreciate that. And, you know, I hope that because of your work that something like this will never happen again, not only the shootdown, which killed innocent people, but the misrepresentation to this Committee and to the other Committee in the other house as well.

Do you feel that this Committee can be assured that this will never happen again?

Ms. O'SULLIVAN. I think that you can be assured that you have our pledge to do everything possible to make sure that we don't make mistakes of omission, that people provide full and complete reporting instead of assertions of fact, which is what this Committee needs to be able to do their oversight duties.

Chairman FEINSTEIN. That's right. That's right. And I thank you. I know this is painful work, but it's also very important. So I thank you for that.

Mr. Vice Chairman, any other questions?

Vice Chairman CHAMBLISS. Just quickly. I want to go back to the question Senator Wyden asked you about when did the President know and what did he know with respect to Egypt. We're going to have a lot of lessons learned—or at least the opportunity to have a lot of lessons learned at the conclusion of this process, however long it takes or wherever it may go. And as part of our oversight duty we need to make sure that we are asking the hard and tough questions of the community with respect to the job that our folks are doing on the ground and the quality of information that's getting to the number one customer, which is the President.

So what I would ask that you do, based upon the answer you gave and his follow-up question and the answer to that, I would like for you to go back and you know the people that know the specific answer.

Ms. O'SULLIVAN. Yes.

Vice Chairman CHAMBLISS. And I would like for you to give the Committee in writing the timetable that the community advised the President of the seriousness of the situation surrounding President Mubarak, what we knew and when the President was told about the fact that he may be—or that this situation may evolve into one of the type of activity that we in fact have seen over the last week or so. And if you would do that in the next 10 days, I would appreciate that very much.

Ms. O'SULLIVAN. Any shortfall in the response was entirely mine based on my own background and lack of involvement in the process of notification.

Vice Chairman CHAMBLISS. And I understand that. But it's a question that's been asked and that we do need the answer to.

Chairman FEINSTEIN. I think that's right. Thank you, Mr. Vice Chairman.

Anyone else have any other questions they would like to ask?

Vice Chairman CHAMBLISS. Mr. Risch always has questions.

[Laughter.]

But he keeps them to himself sometimes.

Chairman FEINSTEIN. It's good to see you again, too.

Ms. O'Sullivan, let me thank you for being here. I think you've answered the questions. There will be some questions in writing. I trust you're answering them as well. And we look forward to processing this as soon as we can.

So thank you very much, and the Committee is adjourned.

[Whereupon, at 3:25 p.m., the Committee adjourned.]

Supplemental Material

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SELECT COMMITTEE ON

INTELLIGENCE

UNITED STATES SENATE

Prehearing Questions
For
Stephanie O'Sullivan

Upon her Nomination to be
Principal Deputy
Director of National Intelligence

Office of Director of National Intelligence

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Responsibilities of the Principal Deputy Director of National Intelligence

QUESTION 1:

A. Explain your understanding of the responsibility of the Principal Deputy Director of National Intelligence (PDDNI):

- To assist the Director of National Intelligence (DNI) in carrying out the DNI's duties and responsibilities; and
- To act in the DNI's place in the DNI's absence.

If you believe that the PDDNI has any additional responsibilities, please describe them.

ANSWER: Pursuant to the National Security Act of 1947, as amended, the Principal Deputy Director of National Intelligence shall assist the Director of National Intelligence in carrying out the duties and responsibilities of the DNI. The PDDNI shall also act and exercise the powers of the DNI upon the absence or disability of the DNI. The DNI has delegated to the PDDNI all authorities of the DNI that may be legally delegated. Thus, the core responsibilities of the PDDNI are:

- Integrating Intelligence: Ensure that the Intelligence Community has access to and shares the greatest amount of information, consistent with the protection of sources and methods, to enable the Intelligence Community to provide consumers and partners with objective, high-quality intelligence information and analysis based on all available expertise and sources of information.
- Leading U.S. Intelligence: Managing the U.S. Intelligence Community by setting priorities so that existing collection and analytic capabilities and investments to improve collection and analysis are optimized.
- Protecting U.S. National Security: Help to keep the United States safe and further the US national security interests by bringing to bear the full capabilities of the U.S. Intelligence Community to detect, warn of, and prevent attack; and to provide timely, objective and accurate intelligence to inform national policy-makers and military leaders.

B. Is it your understanding that you and the DNI will divide responsibilities and that you will have a specific portfolio as PDDNI? If so, please describe this portfolio as you understand it. If not, please describe what you believe your primary responsibilities and activities will be, and on what areas you will concentrate.

ANSWER: If confirmed, I will support the DNI and his policies in whatever tasks he wishes me to undertake. I anticipate that I will serve a role similar to that of a Chief Operating Officer and my initial focus areas will be the operations of the DNI's office, Intelligence Community coordination, and information sharing. If confirmed, I anticipate

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that I will reinforce the DNI's intelligence integration initiatives and focus on IC resource challenges.

C. What do you expect to be your specific management responsibilities within the ODNI? Is it your understanding that anyone will report to you directly if you are confirmed?

ANSWER: If confirmed, my responsibilities would likely center around the day-to-day activities within the IC and I would be the one to ensure the ODNI remains responsive to the various elements of the IC. I anticipate that ODNI management and oversight offices would report to the PDDNI.

D. What will your role and responsibilities be in relation to the Deputy Director of National Intelligence for Information Integration (DDNI/II) and the officials who report to him?

ANSWER: If confirmed as PDDNI, I would oversee the ODNI staff and interactions with the 16 IC elements. The DDNI/II is responsible for the integration of intelligence across the Intelligence Community. The PDDNI is responsible for ensuring the adequate and appropriate resources, policies, and process to maximize intelligence integration.

QUESTION 2:

A. Explain your understanding of the role of the DNI in overseeing elements of the Intelligence Community (IC) that reside within various departments of the federal government, and for elements that are not housed within other departments.

ANSWER: The DNI plays a critical role in overseeing the performance of each element of the Intelligence Community and its contribution to the national intelligence effort. Constructive oversight is essential to ensuring that the intelligence elements and the wider community work together to meet mission objectives.

It is my view, and one shared by Director Clapper, that the DNI should focus principally on improving efficiency and effectiveness across the enterprise, not on critiquing the day-to-day operations of the IC elements. To be an effective leader on key, cross-cutting issues, however, the DNI must be equipped with a thorough understanding of the roles, capabilities and activities of each IC element. For this reason, my knowledge of the CIA and its unique attributes and challenges, as well as my experience working with intelligence community partners, will effectively complement Director Clapper's extensive background in defense intelligence.

B. What issues have you become aware of through your general observation, professional experience, or through your preparation for your confirmation, with respect to the role of the DNI in overseeing the Central Intelligence Agency (CIA)? What is your understanding of these issues?

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ANSWER: The DNI's role in overseeing the CIA has been a subject of much attention and debate since the DNI's inception. Nonetheless, the DNI has clear authority under the National Security Act to direct the CIA to perform such functions and duties related to intelligence affecting the national security as may be required, direct the allocation of NIP appropriations to the CIA, ensure CIA compliance with the law and recommend to the President a nominee for CIA Director (with the advice and consent of the Senate).

In my current position, I have engaged with the ODNI on a number of issues and found that ODNI and CIA share the same views on commitment to protecting our Nation, to our Nation's values, and to public service. Director Clapper's clarity regarding our common mission and the ODNI's oversight and integration objectives are fully supported within CIA's management team.

C. What issues have you become aware of through your general observation, professional experience, or through your preparation for your confirmation, with respect to the role of the DNI in overseeing intelligence elements of the Department of Defense (DoD)? What is your understanding of these issues?

ANSWER: The DNI plays an important role in overseeing intelligence elements of the Department of Defense, ensuring that the appropriate balance is struck between their defense and national missions, and ensuring compliance with the Constitution and laws. Additionally, the DNI must ensure that the activities of the other intelligence elements support the needs and complement the activities of our armed forces.

I have worked with DoD extensively in joint organizations, in shared development programs, and as partners in operations. Although there are differences in culture and roles, I have always found that the whole is greater than the sum of its parts.

D. What issues have you become aware of through your general observation, professional experience, or through your preparation for your confirmation, with respect to the role of the DNI in overseeing intelligence elements of other departments of the United States government? What is your understanding of these issues?

ANSWER: The DNI guides and oversees elements of the IC that reside in other government departments through the exercise of specific statutory authority to provide budget guidance to those elements, approve and present the NIP budget to the Congress, approve the transfer and reprogramming of funds, and, under certain circumstances, transfer personnel among the intelligence agencies.

The contributions of the IC elements that reside outside of the DoD and CIA are critical to the success of the larger enterprise. These elements bring both unique insights and unique mission needs. Continuing integration of these organizations into the IC will entail security, counterintelligence, and information assurance steps that will continue to demonstrate that, as a community, we can accomplish the integration to great effect.

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E. Do you believe additional legislation is needed to clarify or strengthen the authorities and responsibilities of the DNI with respect to the IC?

ANSWER: I do not believe that additional legislation is needed to strengthen DNI authorities at this time. I share Director Clapper's view that the strength of the DNI's relationship to the White House and to key Intelligence Community entities, including the Director of the CIA, is perhaps the most important determinant of the DNI's success in leading and managing the IC. As a veteran of the CIA, I bring strong relationships with CIA leadership that are founded on mutual trust and respect. If confirmed, I will build upon these relationships to forge a stronger bond and reinforce the sense of common purpose between the two organizations.

I also believe that by focusing on mission integration and issues of common concern, developing a workforce with increased community experience, and coordinating and managing the needs and requirements of the IC agencies through budget development and resource allocation, the DNI can leverage his existing statutory authorities with maximum effect.

QUESTION 3:

A. Explain your understanding of the obligations of the DNI under Sections 502 and 503 of the National Security Act of 1947.

ANSWER: Section 502 of the National Security Act requires that the DNI and the heads of all departments and agencies involved in intelligence activities keep the congressional intelligence committees fully and currently informed of all intelligence activities. This requirement includes any significant anticipated intelligence activity and any significant intelligence failure. The congressional intelligence committees must be provided with information or material concerning these intelligence activities that is requested by the committees, and the recently enacted Intelligence Authorization Act for Fiscal Year 2010 also now requires that the legal basis under which the activity is being conducted be provided to the committees. Such notifications are to be made to the extent consistent with due regard for the protection of sensitive intelligence sources and methods.

Section 503 of the National Security Act requires that the congressional intelligence committees be kept currently and fully informed of all covert actions. The intelligence committees must be provided with information or material concerning such covert actions upon request from either of the intelligence committees, and the FY 2010 Intelligence Authorization Act also now requires that this include the legal basis under which the covert action is being conducted. In extraordinary circumstances notification of a covert action can be limited to the Speaker and Minority Leader of the House, the Majority and Minority Leaders of the Senate, and the Chair and Vice Chair/Ranking Member of the Senate and House Intelligence Committees and such other members of the Congressional leadership included by the President. The FY 2010 Intelligence

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Authorization Act now requires that when access to a covert action finding or notification is limited to the Members of Congress named above, that within 180 days all Members of the intelligence committees be provided access to the finding or notification, or that a statement of the reasons it is necessary to continue to limit access be provided. Additionally, in the event that access to a covert action finding or notification is limited, all other members of the Intelligence Oversight committees shall be provided with a general description of the finding or notification.

B. Does the PDDNI have any responsibility to ensure that all departments, agencies, and other entities of the United States Government involved in intelligence activities in general, and covert action in particular, comply with the reporting requirements in Sections 502 and 503 of the National Security Act of 1947?

ANSWER: The PDDNI assists the DNI in carrying out his statutory authorities under the National Security Act, which includes ensuring compliance with the Constitution and laws of the United States. Soon after enactment of the FY 2010 Intelligence Authorization Act, Director Clapper issued a memorandum to the heads of all IC components describing the new congressional notification requirements and asking the head of each element to review its internal procedures to ensure that each IC element is in full compliance with the letter and the spirit of the law. If confirmed, I will assist the DNI in the very important responsibility of ensuring that all IC elements are in full compliance with the requirements of Sections 502 and 503.

C. What lessons do you believe should be learned from the experiences of the last several years concerning the implementation of Sections 502 and 503, including the decisions not to brief the entire membership of the congressional intelligence committees on significant intelligence programs at their inception such as the Central Intelligence Agency (CIA) detention, interrogation and rendition program and the National Security Agency (NSA) electronic communications surveillance program (often referred to as the "Terrorist Surveillance Program" or "TSP")? With the benefit of hindsight, do you believe these decisions were wise?

ANSWER: I am aware that in past years notification to Congress of certain sensitive intelligence programs was limited to the Gang of 8. Although the National Security Act permits limited notification in extraordinary circumstances, I agree with Director Clapper that limited notification should be, and are, exceedingly rare. Oversight by the congressional intelligence committees is vital and helps to ensure that intelligence activities are effective and efficient, have solid legal foundations, and protect the privacy and civil liberties of our citizens.

D. Under what circumstances, if any, do you believe notification should be limited to the Chairman and Vice Chairman or Ranking Member of the congressional intelligence committees?

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ANSWER: Sections 502 and 503 provide that congressional notification must be made to the extent consistent with due regard for the protection from unauthorized disclosure of classified information relating to sensitive intelligence sources and methods or other exceptionally sensitive matters. However, this is not a limit on whether the intelligence committees must be kept informed about intelligence matters but rather provides flexibility on how and when to bring extremely sensitive matters to the committees' attention. In addition, Section 503 permits the President to limit access to a Covert Action finding or notification to meet extraordinary circumstances affecting the vital interests of the U.S. I agree with Director Clapper that limited notification should be extremely rare and should be done only in the most exceptional circumstances.

National Security Threats

QUESTION 4:

A. What do you view as the principal threats to national security with which the IC must concern itself in the coming years? Please explain the basis for your views.

ANSWER: The vast array of interlocking national security threats points to an increasingly complex international security environment. While the United States is not faced by any one dominant military threat, the multiplicity of potential threats and actors behind them - both state and non state - constitute a bigger challenge. The principal threats to U.S. national security—drawn from the DNI's annual threat testimony—demonstrate the extent of the breadth and depth of these threats.

Terrorism will remain at the forefront of our national security threats over the coming year. Al-Qa'ida's (AQ) core in Pakistan continues to represent the most significant threat to US and allied interests worldwide. AQ in Pakistan remains intent on attacking the West and continues to prize attacks against the US homeland and our European allies above all else. We are also witnessing the expansion of the threat AQ affiliates pose to the homeland.

AQ in the Arabian Peninsula followed last year's failed 25 December homeland attack with an attempt in October to send explosives via cargo shipments. AQ ally Tehrik-i-Taliban Pakistan was responsible for the 1 May failed Times Square bombing, exemplifying the threat this AQ ally poses to the homeland. AQ is persistently seeking, training, and deploying operatives to advance attacks against targets in the West. An accompanying critical challenge will be the efforts of the external groups to recruit and radicalize sympathizers in the homeland and mobilize them into action.

In Afghanistan, the Taliban-led insurgency, despite tactical defeats and operational setbacks in 2010, will threaten US and international goals. Additionally, terrorist groups in Yemen and Somalia continue to take advantage of instability to operate and train in these areas.

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Ongoing efforts of nation-states to develop and/or acquire WMD constitute a major threat to the safety of our Nation and our allies. North Korea's nuclear weapons and missile programs pose a serious threat to the security environment in East Asia. The Iranian regime continues to flout UN Security Council restrictions on its nuclear program. The election crisis and most recent round of UN sanctions almost certainly have not altered Iran's long-term foreign policy goals—namely Iranian sovereignty, territorial integrity, and projection of power.

China's "rise" appeared to accelerate over the past year, as perceptions grew of Beijing being a potentially more troublesome international actor. Last year was marked by significant improvements in US-Russian relations, though Moscow still has potent counterintelligence and other potentially threatening capabilities. Recent positive trends in Latin America, such as deepening democratic principles and economic growth, are challenged in some areas by rising narco-violence, populist efforts to limit democratic freedoms, and slow recovery from natural disasters. The current balance favoring cyber actors who desire to exploit our vulnerabilities is likely to increase over the next five years.

B. In your opinion, how has the IC performed in adjusting its policies, resource allocations, planning, training, and programs to address these threats?

ANSWER: In general, I believe the IC is making progress in setting and adjusting priorities, re-allocating collection assets, and beginning to focus on nontraditional security issues. Nevertheless, mastery of our more complex and diverse world remains a challenge. We are balancing support to US military forces operating in two theaters support to policymakers in an increasingly complex world, the imperative to prevent and disrupt Homeland attacks, and growing nontraditional concerns.

Efforts to respond to the attempted Detroit attack exemplify the IC's adjustments to a key threat. Watch-listing procedures were adjusted and NCTC established the Pursuit Group to prioritize and pursue terrorist threat threads for follow-up by intelligence, law enforcement, and homeland security communities.

Through the use of the National Intelligence Priority Framework, and implementation of IC country-specific collection plans that integrate collection activities and bring out the best of each intelligence discipline, the IC has made continual adjustments to how its resources are allocated to address national priorities. The IC continues to evolve its training programs to ensure that its officers are equipped to perform their missions. With Congress' support, the IC has been provided the financial resources and policies that have enabled the IC to perform its mission in ways that are needed to confront these threats.

C. If not otherwise addressed, discuss your view of the appropriate IC roles and responsibilities with respect to the issues of climate change and energy security, and how well the IC has performed in these areas.

ANSWER: For several years, we have featured the national security concerns emanating from climate change, energy, and other resources in the DNI's Annual Threat Assessment. I

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believe the IC must continue to devote resources to building a stronger basis on which to collect and analyze the national security implications of climate change and the security of foreign nations' sources and supplies of energy. These are issues that likely will only take on greater policy importance in the future. We are building a strong foundation in these nontraditional areas and leveraging our deep expertise in new ways. For example, the CIA's Center on Climate Change and National Security employs energy experts with deep expertise and experience examining the energy and climate nexus and identifying national security implications of newly emerging energy technologies.

Management Challenges Facing the Intelligence Community

QUESTION 5:

Apart from national security threats discussed in answer to Question 4, what do you consider to be the highest priority management challenges facing the ODNI and the IC at this time?

ANSWER: High priority management challenges are those that most significantly affect the IC's ability to provide timely, accurate and insightful intelligence. The National Intelligence Strategy sets forth the vision for an IC that is integrated, agile, and exemplifies American values. If confirmed as the PDDNI, I will support the DNI in working with the IC and the ODNI to address IC management challenges tied to meeting the goals and objectives of our National Intelligence Strategy.

The IC can improve our effectiveness through increased mission integration. Under the leadership of the national intelligence managers and IC functional managers, we can provide the best unified intelligence to national policy and decision makers, and support the ongoing needs of national, military, diplomatic, homeland security, and law enforcement activities.

The IC must continue to ensure National Intelligence Program resources are directed toward the IC's highest priorities. An integrated planning, programming, budgeting, and evaluation system must also mature so we can assess how efficiently we deliver capability, as well as determine how effectively those capabilities meet expected mission outcomes.

The need to share information responsibly remains a compelling priority, and the United States is safer because of the progress the IC has made so far. The IC must continue to share information more effectively, finding the necessary balance between sharing information and protecting information.

Finally, we must promote a professional, high-quality workforce through effective recruitment, retention, training, and related practices. We need an IC workforce that is diverse in the broadest sense of the word – in background, culture, gender, ethnicity, age, and experience.

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Resources in a Challenging Budget Environment

QUESTION 6:

A. Given the Nation's current financial situation, what are your views on the intelligence budget in the short-, medium-, and long-term?

ANSWER: In this time of economic constraint, prioritizing intelligence resources against our most important intelligence needs is critically important. The IC faces a constant challenge of responding with agility to a landscape of complex and rapidly changing threats, while maintaining longer-term investments in research and development to improve our capabilities through technological innovation.

To address this challenge, we must continue to be vigilant in ensuring intelligence resources are optimized. To this end, the IC must persist in its efforts to continually measure performance as a means to use resources efficiently, and effectively, and to improve internal controls and oversight. If confirmed, I will support the DNI's efforts to use an integrated planning, programming, budgeting, and evaluation system to ensure National Intelligence Program resources are directed toward the IC's highest priorities and deliver effective and efficient capabilities.

B. From your experience as Assoc. Exec. Director of the CIA, please describe your understanding of the requirements and appropriate practice in obtaining Congressional concurrence for reprogrammings and releases from reserves.

ANSWER: An intelligence agency may obligate or expend appropriated funds for an intelligence activity only if Congress specifically authorizes those funds for such activity. If the need arises to realign CIA funds, we must notify ODNI, OMB and Congress prior to executing an above-threshold reprogramming in the following manner. The agency first submits a written reprogramming request to ODNI and OMB; upon approval the reprogramming action is sent to the appropriate Congressional oversight committees with a 30 day notification period. The notification period may be reduced to 15 days if the request includes an urgent national security rationale. The agency may complete the reprogramming if the committees do not raise any objections or after satisfying Committee concerns.

If the need arises for a release from the CIA reserve, after ODNI and OMB approval, a notification is sent to the intelligence authorization and appropriation committees. It is customary for CIA to wait 15 days after notification and CIA does not complete the release from the reserve if any committee objection cannot be satisfied.

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Office of the Director of National Intelligence (ODNI)

QUESTION 7:

There has been considerable debate in Congress concerning the appropriate size and function of the ODNI. Congress has considered proposals to cap the size of the ODNI. In answering the questions below, please address the staff functions of the ODNI and the specific components of the ODNI, where appropriate, such as the National Counterterrorism Center.

A. What is your view of the ODNI's size and function?

ANSWER: The IRTPA and separate management decisions created an ODNI composed of a number of different kinds of activities. These include the IC-wide and broader responsibilities such as NCTC, the National Intelligence Council, the Intelligence Advanced Research Projects Activity, the Center for Security Evaluation, the National Intelligence University, among others, as well as more traditional Executive Branch staff components. The community-wide support components make up over half of the organization and some of these could be moved outside the ODNI and subordinated to IC components to provide services of common concern to the larger Community. Given the responsibilities of the DNI in statute and Executive Order, it is critical that the ODNI be appropriately staffed - both in numbers and skills mix. I can assure you that, if confirmed, I will always support efficiency efforts as well as doing all I can to maintain the skills of the ODNI staff.

B. Do you believe that the ODNI has sufficient personnel resources to carry out its statutory responsibilities effectively?

ANSWER: Assuming that the NCTC receives the increase in its structure (the request for positions in the Overseas Contingency Operations submission), from what I understand, ODNI has sufficient resources to execute its responsibilities. However, it is important to note that the Intelligence Authorization Act for Fiscal Year 2010 added significant new duties and responsibilities to the ODNI. The impact that these new responsibilities have on the current resources of the Office will need to be monitored closely.

C. In your view, what are the competing values and interests at issue in determining to what degree there should be a permanent cadre of personnel at the ODNI, or at any of its components, and to what degree the ODNI should utilize detailees from the IC elements?

ANSWER: Continuity is an important consideration in determining the need for a permanent cadre of personnel. Some functions require a sense of stability, institutional knowledge, and long-range vision that a permanent cadre can be expected to provide. For example, the Office of the Chief Financial Officer has a clear need for this type of continuity in executing the DNI's authority for management of the National Intelligence Program. On the other hand, there is considerable merit to having qualified detailees fill a substantial number of positions. Detailees come to the ODNI with fresh perspectives

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and the technical skills appropriate for a senior-level government organization. In addition, their experience at the ODNI earns support for the ODNI construct – both institutionalizing the organization of the ODNI and fostering a sense of community in the IC. I would also suggest that having a healthy number of rotational personnel promotes a continuing influx of new ideas and perspectives that are not constrained by ODNI structural interests.

D. Recently, the ODNI Inspector General released a report on intelligence community management challenges. Have you had an opportunity to review that report? If you have, what is your reaction to this report's conclusions and recommendations? Do you disagree with any of them? Which recommendations do you believe should be high priorities for the ODNI or for the PDDNI in particular?

ANSWER: I have not reviewed that DNI IG Report, but I plan to review it and provide the committee my views if confirmed.

E. Some officials in the intelligence agencies do not believe that the ODNI is adding sufficient value to justify its large staff and budget. Do you hold that view? If not, what do you intend to do to reverse that perception?

ANSWER: I believe that the ODNI, led by Director Clapper with its focus on integration and mission, does add value. If confirmed, I would be a strong advocate for the ODNI, and at the same time work closely with the ODNI staff and components to ensure their interaction with the Community is open, professional, and Community-oriented. I would leverage the Deputy Executive and Executive Committees, and maintain an open door with the senior agency officials to ensure clear, timely, and effective communication. I will strive to ensure agency positions on issues are appropriately represented within the ODNI and among the IC components. If confirmed, I will push to show that ODNI does make a difference and is focused on facilitating intelligence integration, investment, and effectiveness – three objectives of the ODNI that I am certain any IC leader would approve.

F. What are your views of the reorganization of the ODNI that DNI Clapper has recently implemented?

ANSWER: From what I have seen, I am very supportive of his changes. I could not agree more that a principal focus of the ODNI is to ensure intelligence integration and, to that end, his emphasis in this area is particularly important.

QUESTION 8:

A. Describe your understanding of the role played by National Intelligence Managers (NIMs) under DNI Clapper's reorganization plan.

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ANSWER: The DNI established National Intelligence Manager (NIM) positions, organized under the DDNI/II, to execute his authorities to perform intelligence mission management and to serve as principal substantive advisors for intelligence related to designated countries, regions, topics, or functional issues. The NIMs are responsible for end-to-end intelligence mission integration within their area of responsibility and serve as the designated representative of the DNI, acting under DNI authorities.

NIMs are typically partnered with a National Intelligence Officer (NIO) for analysis related to their specific area of responsibility. They are also partnered with a National Intelligence Collection Officer (NICO) and a National Counterintelligence Officer (NCIO) for intelligence collection and counterintelligence support.

The NIMs are responsible for developing and then leading community implementation of Unified Intelligence Strategies (UIS) that establish objectives, priorities, and guidance for the IC to ensure timely and effective collection and analysis pertaining to his/her area of responsibility. They also participate on the National Intelligence Mission Management Council (NIM-C)- the DNI's senior governance body for the review, adjudication and approval of the Unified Intelligence Strategies.

B. Describe your understanding of the role played by National Intelligence Officers (NIOs) under DNI Clapper's reorganization plan.

ANSWER: The role of the National Intelligence Officer remains intact as it was spelled out in the Intelligence Reform and Terrorism Prevention Act, existing relevant Intelligence Community Directives, and in many other documents. NIOs are responsible for producing finished intelligence analysis in support of the NIMs. NIOs are matrixed from the NIC to their respective NIM, but remain full members of the NIC, with all incumbent authorities and responsibilities. They are expected to meaningfully engage at both the NIM and NIC venues.

C. Describe your understanding of the role played by National Intelligence Collection Officers (NICOs) under DNI Clapper's reorganization plan.

ANSWER: The National Intelligence Collection Officers (NICOs) provide collection management expertise to their assigned NIM and are responsible for developing a coordinated IC collection strategy in support of the NIM's intelligence mission management and UIS development responsibilities.

D. Describe your understanding of the role played by National Counter Intelligence Officers (NCIOs) under DNI Clapper's reorganization plan.

ANSWER: The National Counterintelligence Officers (NCIOs) provide counterintelligence expertise to their assigned NIM and are responsible for developing a coordinated IC counterintelligence strategy in support of the NIMs' intelligence mission management and UIS responsibilities.

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QUESTION 9:

A. Do you believe the mission of the National Counterintelligence Executive (NCIX) needs to be changed? If so, how? If not, why not?

ANSWER: I agree with Director Clapper's recent expansion of the NCIX. He moved the Security office out of the Policy and Strategy office to work under the Director of NCIX. This move marries security with counter-intelligence to address the confluence of tough issues within these functions. Beyond putting Security in NCIX, I am not aware of any additional changes that are required. The NCIX mission as articulated in both statute and DNI policy is well suited to the national security challenges we face today.

B. What should be the role of NCIX in light of insider threats and other issues raised by WikiLeaks?

ANSWER: NCIX is supporting the DNI and the Administration in dealing with the WikiLeaks compromise and plays an important role in understanding and mitigating the full range of WikiLeaks issues. WikiLeaks has proven much more than a technology issue involving removable media; it is ultimately about the integrity of employee/users as they decide to compromise their privilege of access to classified information.
The DNI's recent decision to combine both counterintelligence and security under the NCIX now brings together the key elements of an Insider Threat Detection Program. The IC needs to instill proactive measures before a major compromise such as WikiLeaks occurs. With regard to Insider Threats, the NCIX supports the National Insider Threat Working Group and has produced materials to assist U.S. Government departments and agencies in improving their Counterintelligence and Security programs. Along with OMB and the Information Security Oversight Office, the NCIX will initiate inspections of each federal government agency and department which handles classified information, as noted in the OMB memorandum of November 28, 2010.

WikiLeaks and Information Sharing

QUESTION 10:

After 9/11, the Intelligence Community moved quickly to remedy information sharing problems.

A. Has information sharing expanded too broadly beyond those with a "need to know"?

ANSWER: The concept of "need to know" and "need to share" cannot be seen as mutually exclusive. We must continue to meet both standards in a world where sharing information with those who need it, and protecting sources and methods, are both absolutely critical. The IC is committed to making improvements in its systems, processes, and policies in reaction to the WikiLeaks disclosures to increase the security of

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the Community's information and protect against unauthorized disclosures while continuing to ensure that those who require information receive it.

B. What ideas do you have to help make sure the IC does not curtail information sharing too much as a response to WikiLeaks?

ANSWER: WikiLeaks represents the magnitude of the potential danger when technology, opportunity, and malevolent human motivation combine. The IC's response strategy must build on three mutually reinforcing elements addressing the complex nature of the issues raised by the disclosures: who gets Access to what data (including the "need to know" concept); stronger control over Technical Systems Configurations, which addresses the technical availability of information and ease with which it can be misappropriated, manipulated, or transferred; and, Audit and Monitoring to ensure information accesses granted to IC officers are properly used.

C. What are your views on implementing audit systems to identify IC employees who use their computers in suspicious ways?

ANSWER: Audit and Monitoring efforts are key elements in any Insider Threat program because of the continual feedback they provide, and the confidence we gain in knowing what is happening to the information we do share. As Insider Threat detection, audit, and monitoring capabilities, tools, and activities are implemented, appropriate policies, procedures, and related measures are also required to ensure compliance with applicable laws and protection of privacy and civil liberties.

Cyber Security

QUESTION 11:

If confirmed, will you have any cyber security responsibilities?

ANSWER: If confirmed, I will assist the DNI in his cyber security responsibilities, and to ensure the ODNI has the resources needed to support intelligence integration relevant to cyber security. The DNI has tasked the DDNI/II to implement policies and initiatives to ensure appropriate resource allocation and integration of cyber security efforts and initiatives within the intelligence community. Under the DDNI/II, the NIM for Cyber supports the National Cyber Executive to ensure provision of indications and warning information to the Department of Homeland Security, in conjunction with the Secretary of Defense, regarding threats ongoing or directed from outside the United States. Additionally, and again in conjunction with the Secretary of Defense, the Director of National Intelligence contributes to Information Assurance by overseeing programs which protect National Security Systems against intrusion and attack.

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QUESTION 12:

The Obama Administration is moving forward with a major initiative to improve government cyber security, the Comprehensive National Cybersecurity Initiative (CNCI).

A. Are you familiar with the 2009 White House review of this initiative?

ANSWER: Yes. The 2009 review of the CNCI was part of a larger, Presidentially directed 60-day comprehensive "clean-slate" assessment of U.S. policies and structures for cybersecurity. Cybersecurity policy included strategy, policy, and standards regarding the security of and operations in cyberspace, and encompassed the full range of threat reduction, vulnerability reduction, deterrence, international engagement, incident response, resiliency, and recovery policies and activities, including computer network operations, information assurance, law enforcement, diplomacy, military, and intelligence missions as they relate to the security and stability of the global information and communications infrastructure. The Administration assessed that the Federal government should continue to go forward with CNCI implementation.

B. Do you have a view on how well the initiative is being executed?

ANSWER: The DNI remains responsible for monitoring and coordinating on a quarterly basis the implementation of the CNCI on behalf of the President, and this responsibility is fulfilled by working closely with the Cybersecurity Coordinator and other elements of the Executive Office of the President. During FY 2010, the DNI assessed that the overall execution of the CNCI was progressing satisfactorily.

C. What changes to the CNCI and the intelligence community's role within it would you recommend that the Administration consider?

ANSWER: I do not have any proposed changes at this time. If confirmed, I will examine this issue closely and provide the committee with my views.

D. What are the major privacy or civil liberties issues concerning the CNCI that you believe need to be addressed?

ANSWER: I understand that attorneys, civil liberties, and privacy officials have been consulted as part of the CNCI since its inception, and that, as we go through the implementation stages of the CNCI, the IC and the other government agencies involved are taking care to identify and address privacy and civil liberties issues as they arise.

The CNCI calls on the IC to use its lawful authorities to discover foreign cyber threats and to share information on those threats rapidly with U.S. Government organizations – namely, DHS - for purposes of protecting U.S. government civilian networks. It also calls for USG network intrusion alerts to be provided to the IC so that it can better direct its intelligence efforts.

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Privacy and civil liberties issues can arise in a variety of ways. For example, as intrusions are detected and alerts shared with the IC, care must be taken to ensure that the alert contains only as much information as the IC is authorized to receive. Moreover, as the IC seeks to discover foreign cyber threats by pursuing its intelligence mission, it must continue to apply the rules that have always protected the privacy and civil liberties of United States persons. In doing so, it must take into account how those rules apply in "cyberspace," even if the rule was first developed before the technology to which the rule is being applied was developed.

These are familiar challenges for the IC, though they arise in new ways given the ever-increasing pace of technological change.

E. What should be the IC's role in helping to protect US critical infrastructure and commercial computer networks?

ANSWER: Computer network defense is crucial to the U.S., its critical infrastructure, and to the operations of the Intelligence Community, and we place considerable emphasis on knowing what the current and emerging cyber threats are to our equities. The Intelligence Community is, therefore, well positioned to support the cyber threat information sharing efforts led by the Department of Homeland Security with U.S. critical infrastructure owners and operators to enhance their cyber threat awareness.

F. What cyber threat information (classified or unclassified) should be shared with managers of the Nation's critical infrastructure to enable them to protect their networks from possible cyber attack?

ANSWER: Actionable information on cyber threats and incidents obtained by the Intelligence Community, with proper minimization of sources and methods, and protection of privacy and civil liberties, is being shared with partner owners and operators of the Nation's critical infrastructure and key resource sectors through the Department of Homeland Security. In instances wherein threat information cannot be made unclassified, there are programs under the CNCI led by the Department of Homeland Security that are geared toward clearing representatives from the critical infrastructure sectors to be eligible to receive classified information, as well as making federal facilities holding the classified information accessible to the cleared representatives. These early efforts need to be sustained and expanded as appropriate to ensure that cyber threat and incident information derived by the Intelligence Community is being fully leveraged toward enhancing critical infrastructure cybersecurity.

Science & Technology and Research & Development

QUESTION 13:

A. How do you assess the state of science and technology (S&T) activities within the IC?

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ANSWER: As the committee is aware, I have had the opportunity to be a part of the IC S&T community and have an insider's perspective on the strengths and weaknesses, along with the special opportunities, of that community. The IC's S&T activities are powerful mission enablers that leverage high quality academic, commercial, and governmental personnel and resources to ensure ongoing intelligence preeminence. Without the capabilities that these mission enablers provide, we cannot reliably verify treaties, defeat Improvised Explosive Devices (IEDs), thwart terrorists before they can strike, and protect our networks. The S&T community is utilizing the strengths of individual agencies as well as solving problems collaboratively through entities such as the Congressionally established National Intelligence Science and Technology Council (NISTC). Recently, NISTC members established an IC S&T investment framework to assist agencies with a long-term, coordinated strategy to become better stewards of their funding. Despite these efforts, the IC S&T community can do more. If confirmed, I will work with the Assistant Director for National Intelligence for Acquisition, Technology and Facilities (ADNI/AT&F) to ensure a proper emphasis on collaboration, an appropriate planning and budgetary role, and to ensure that the IC S&T community has adequate resources both to maintain IC leadership and influence where appropriate, and to adapt or adopt technology where it is available from outside the IC.

B. Please explain your record of achievement to improve S&T management at the CIA as the former head of the Directorate of Science and Technology? (Please submit a classified response if necessary to augment the unclassified response.)

ANSWER: During the past several years, research activities at CIA have improved substantially. This is mainly due to the quality of the personnel and to the leadership's focus on scientific excellence. There has been a marked increase in cutting edge technology which has been developed through research and development and successfully transitioned to operations. Although Intelligence Community and CIA's research resources are constrained, innovative and nontraditional approaches (Post Doc Program, In-Q-Tel, IARPA) have allowed us to broaden the base of research we can leverage.

DS&T's acquisitions and operations have also delivered innovative new capabilities and technical operations that have closed collection gaps. Many of these efforts were enabled by key partnerships throughout the Intelligence Community. New initiatives in the directorate broke down internal stovepipes, enhanced our counterintelligence posture, and strengthened cross community mission management. DS&T's management team is effective and worked corporately to solve challenges. DS&T continued to attract, recruit and retain high quality officers – including making sorely needed advances in diversity recruitment.

C. What changes, if any, need to be made in the IC with regard to S&T?

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ANSWER: S&T remains at the core of our Nation's ability to collect, process, analyze, and exploit information about a dangerous world. The IC must continue to evolve its capabilities to keep pace with accelerating technological change and increasingly sophisticated threats. It must also maintain a robust and sustained investment program in the research and development of new and emerging technologies, broaden its relationships with domestic and international partners, and strengthen the abilities of its human capital. Adequate funding for the IC along with a stable funding base for our technology partners in academia, industry and other areas of the government is crucial to ensure the long term fiscal health of the IC S&T enterprise. Along with this stabilization, is the requirement that we continue to push advanced capabilities into fielded systems as quickly as possible. The IC also must continue to ensure that an ongoing balancing of competing solution sets is performed so that breakthroughs, for example a new type of a more capable sensor, can be flexibly acquired and fielded on a reduced timeline. I will, if confirmed, work alongside the ADNI/AT&F to advocate for programs to speed S&T breakthroughs into the hands of end-users.

QUESTION 14:

The SSCI has been clear in its recommendations for increased IC research & development (R&D) funding and in its support for the Intelligence Advanced Research Projects Activity (IARPA).

A. What is your philosophy of the role of R&D in the IC?

ANSWER: R&D is a critical element in the ability of the IC to execute its mission. Mission enablement and enhancement through R&D efforts is often the differentiator between successful and unsuccessful outcomes. Consequently, a robust and consistent R&D program is critical to the ongoing success of the IC. Consistent with this, and with the recognition that budgets are limited and require prioritization, the IC R&D program should focus on those unique capabilities that support critical intelligence requirements, which are intrinsically necessary to the IC or have little to no development activity in other realms. In areas of technology where the IC is a small player in an overall marketplace, we will leverage the investments of others rather than replicating their efforts. The emphasis needs to be on technology maturation prior to building a dependency into a Major Systems Acquisition (MSA) or procurement so any required upfront R&D investment is accomplished early enough to ensure downstream operational success.

B. What do you envision will be your top priorities with respect to R&D in the IC?

ANSWER: R&D continues to be a central pillar of the IC's ability to protect the Nation, now and into the future. If confirmed, I will work with the ADNI/AT&F to ensure that our R&D efforts focus on mission outcomes, collaborative problem solving, and relentless innovation. Achieving these goals requires an emphasis on technology insertion as a central tenet of our business practices as well as working closely with our

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R&D partners. Critical evolving technology areas, such as data analytics, quantum information science, cybersecurity, computational linguistics, neurosciences, and biometrics are all enablers of the technology revolution that we are enveloped within. Making good decisions about where to lead and where to follow in technology is critical to maintaining our information advantage over our adversaries.

IC Missions and Capabilities

QUESTION 15:

A. Explain your understanding of strategic analysis and its place within the IC, including what constitutes such analysis and what steps should be taken to ensure adequate strategic coverage of important issues and targets.

ANSWER: Strategic analysis addresses a potential or future issue or trend that could have significant regional or global consequence--intended or unintended--for US national security interests. This general framework could include an analysis of how relatively narrow, cross-cutting events could have much broader multi-country or multi-region relevance. There is a constant and understandable tension between the press of immediate analytic demands--"the tyranny of the taskings"--and the necessity for broader current and long-term strategic analysis. This tension is particularly relevant today given the appropriate demands for IC support from policymakers and military commanders. Notwithstanding immediate analytic demands, IC managers have made resources available for current and long-term strategic analysis, including the National Intelligence Council's National Intelligence Estimates (NIEs) and the NIC unit established specifically for long-term analysis and use of analytic games. The IC must continue to provide resources and improve its ability to anticipate and identify emerging challenges—and opportunities. In addition to strategic analysis produced at the corporate level under NIC auspices, each all source analysis agency develops and implements a strategic program of analysis. These research programs are driven by senior policymakers' most critical intelligence questions and highlight those in-depth research and analysis projects that the agencies commit themselves to addressing.

B. Have you had the opportunity to review any long-range analysis recently produced by the IC and, if so, what is your view of such analysis?

ANSWER: The IC has come a long way in providing even more sophisticated insight into long-term analysis. For example, recent products have gone beyond simply projecting trends, but also have included assessing alternative futures, scenario analysis and game simulations (e.g. North Korea, Iraq and Afghanistan). The IC has focused, for example, on the issues and trends we assess based on our interactions with the most senior levels of policymakers will shape the future security environment--e.g. economic instability, state failure, the ebb and flow of democratization, emergence of regional powers, changing demographics and social forces, climate change, pandemic disease and the spread of disruptive technologies. To address these challenges a complex, integrated skill set is required. On the one hand, there is a need for intelligence officers with broad knowledge

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who excel analytically—spotting subtle or hidden trends, noticing patterns across regions and links across sectors, offering competing hypotheses to explain events and future possibilities, and understanding how politics, economics, and technology interact. At the same time, indicators of long-term problems are, at times, evident in near-term developments. This argues against a wall or a sharp separation between near- and long-term analyses and favors a pro-active interaction.

C. What is your view of the initiative to produce unclassified analysis such as *Global Trends 2025: A Transformed World*? What lessons are there from this effort that might inform future attempts at long-range analysis?

ANSWER: The NIC's Global Trends 2025 process has fostered greater exchanges among the IC and the academic/analytic community. The work is used extensively by the policy community in their medium to long-term planning. This kind of strategic analysis also allows the IC a framework for our own strategic planning, both in terms of skill sets for our analysts as well as future collection needs.

D. Please discuss your view of the appropriate mix of analytical resources between current, mid-term and long-term security concerns, particularly given that many of the oft-quoted failures of U.S. intelligence involved broad-based social and government change with significant long-term ramifications, such as the fall of the Berlin Wall and the Iranian revolution.

ANSWER: The "balance" between strategic and tactical analysis is the ideal we strive for, but experience has shown that today's long-term challenge can become tomorrow's fast-breaking crisis, requiring the Community to quickly and adeptly shift resources and priorities. Strategic planning in both individual agencies and at the ODNI level is essential, but we also need to have the flexibility to anticipate and respond to emerging threats, crises and opportunities. Second, the Community absolutely must respond to the strategic intelligence needs of the policy community, which can change significantly over time. That means we need to develop not only deep substantive experts, but also intelligence officers with critical thinking skills who can move or surge from one problem set to another, producing the sophisticated analysis we need to best serve our policymakers.

Also, past intelligence failures—such as the Iranian Revolution—are important learning tools for Community analysts; analytic reviews conducted by IC agencies and through the ODNI's Analytic Integrity & Standards group help us ensure we are rigorously evaluating and learning from our failures as well as our successes—these are powerful teaching tools.

Finally, regardless of how we balance resources on current and long-term challenges, the Community must reach out to harvest the insights and expertise of outside experts. Think tanks, academic, and nongovernmental institutions make a significant contribution to this effort, by providing unique insights and by challenging our analytic assumptions and judgments.

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QUESTION 16:

A. Explain your views concerning the quality of intelligence analysis conducted by the IC.

ANSWER: IC analysts place a high priority on critically evaluating analysis and sharing lessons learned to produce consistently high quality intelligence analysis across the Community. The IC is working to increase collaboration to ensure diverse perspectives and a broad range of substantive knowledge is brought to bear on intelligence issues. I believe the National Intelligence Managers will be in a position to advance rigorous tradecraft and broad community collaboration to address key analytic challenges.

B. What is your assessment of steps taken by the ODNI, and the elements of the IC, to improve the quality of intelligence analysis within the IC, including through the creation of an Analytic Integrity and Standards Unit, the use of alternative analysis and "Red Teaming," and the use of collaboration tools such as Intelipedia?

ANSWER: I believe that significant steps have been taken to improve the quality of intelligence analysis and analytic collaboration within the IC. DDNI/II's Analytic Integrity and Standards (AIS) Group, in concert with efforts across the analytic community, has made great strides in establishing and fostering consistent tradecraft standards. ODNI's AIS Group has worked with IC elements to facilitate establishment of organic analytic evaluation programs in those IC analytic elements that did not previously have such a program and to share best practices of analytic evaluation activities across the IC. In addition, alternative analysis was specifically called out in Sections 1017 and 1019 of the IRTPA, and is among the IC Analytic Standards for tradecraft specified by ICD 203. The AIS Group helps promote use of alternative analysis techniques by providing feedback to IC elements on their application of this tradecraft standard in products the AIS Group has reviewed and by working with IC elements to enhance awareness of structured analytic techniques and exemplary models of alternative analysis.

IC agencies' training programs drive the process of continuous learning and application of these alternative analysis techniques for analysts at every stage in their careers. As importantly, these training courses teach the critical thinking and tradecraft skills that underpin analysis regardless of analytic discipline, regional area, or time horizon. Agency training programs, such as the CIA's Sherman Kent School, are also open to analysts from any Community agency reinforcing interagency collaboration, communication, and sharing of best practices.

The ODNI and IC elements have significantly improved collaboration across the community and regularly take advantage of formal collaboration tools and informal relationships to drive robust analysis. The ODNI-led President's Daily Brief production process encourages and reflects that greater community integration, featuring not only submissions from the range of agencies, but also joint products that leverage the distinct strengths each group brings to the table.

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C. If confirmed, what responsibilities will you have with regard to analysis?

ANSWER: Under DNI Clapper's organization of ODNI, the DDNI/II has responsibility for IC objectives, priorities and guidance with regard to analysis. If confirmed as the DNI's Principal Deputy, I would work closely with DDNI/II and the Intelligence Community, to ensure the most accurate analysis is available to inform operational and policy decisions at every level, and to ensure we are responsive to customers' needs from tactical commanders to the President of the United States.

QUESTION 17:

A. Explain your views concerning the quality of intelligence collection conducted by the IC and your assessment of the steps that have been taken to date by the ODNI to improve intelligence collection.

ANSWER: The quality of intelligence collection is continually improving. A number of initiatives have been put in place by ODNI that have contributed to this improvement. These include the use of the National Intelligence Priorities Framework, which prioritizes the Nation's information needs and guides how collection capabilities are allocated in addressing them, and the implementation of IC-wide country-specific collection plans that integrate collection activities and bring out the best of each intelligence discipline. I believe that Director Clapper's initiative to establish National Intelligence Managers (NIMs) who develop Unified Intelligence Strategies (UIS) will complement these past initiatives and result in additional improvements in intelligence collection and analysis. The NIM's unified strategies will focus the IC on the critical information gaps that need to be addressed. They will outline the plans for addressing these gaps, designate which Agencies are responsible for leading these efforts, and establish goals with corresponding deadlines. Lastly, they will make greater use of metrics and assessments to evaluate the IC's performance against the stated goals so as to identify what progress was made and to identify how the IC's capabilities can be better applied in the future. The strategies and their evaluation will also inform ODNI's thinking about future investments in collection capabilities.

B. If confirmed, what responsibilities will you have with regard to collection?

ANSWER: Under DNI Clapper's organization of the ODNI, the DDNI/II has responsibility for integrating collection with analysis. If confirmed, I will focus on the ODNI offices overseeing major collection systems acquisitions. I would also leverage the DEXCOM, which the PDDNI chairs, to coordinate with the Functional Managers and the IC on collection issues. The NIMs and Unified Intelligence Strategies will play an important role in helping the DNI to establish priorities, focus and integrate collection efforts, and may be used not only to evaluate performance but also to make adjustments in how collection capabilities are developed and applied in the future.

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QUESTION 18:

Despite several ODNI initiatives, the IC still has no effective means to establish "requirements" for major systems such that balance is achieved between mission satisfaction, affordability, and the opportunity cost of alternative investments. What are your views of this problem and possible solutions?

ANSWER: In May 2010, the DNI provided direction for the development, review and ODNI-validation of requirements for all major systems acquisitions (MSAs). This was coordinated with the Department of Defense and there is agreement that the IC requirements validation process will have primacy for major systems acquisitions funded by the National Intelligence Program. The process is designed to ensure that MSA requirements are affordable, operationally relevant and technically achievable. Affordability is assessed by the ODNI Cost Analysis organization and is documented, depending on the maturity of the acquisition, via an initial cost assessment or full independent cost estimate. Operational relevance is currently determined by either the functional or the mission manager. As the Unified Intelligence Strategy process matures, I anticipate that the National Intelligence Managers will have input into the operational relevance of MSAs. Technical feasibility is validated in the technology maturity assessments conducted under the ODNI acquisition milestone review process.The DNI direction mandates that requirements and the proposed acquisition solution be grounded in analysis to include a formal analysis of alternatives prior to Milestone B. The requirements process also provides the program manager with acquisition flexibility, via a tiered requirements set that includes a small number of requirements held at the ODNI-level with the remainder held at either the functional or program manager-level, and protection against unauthorized and potentially unaffordable requirements growth.Since its implementation, this process has been used to develop, review, and validate requirements for 12 new and 16 legacy acquisition programs. MSAs with ODNI-validated requirements documents include a mix of spacecraft, ground processing, information technology, and ship-borne systems. If confirmed as the PDDNI, I would serve as the validation authority for IC requirements so I would closely monitor the implementation of the requirements process. The DNI plans to issue an IC requirements policy directive in late 2011.

QUESTION 19:

A. Explain your view of the principles that should guide the use of contractors, rather than full-time government employees, to fulfill intelligence-related functions. In your view, has the IC achieved a proper balance of government and contractor personnel?

ANSWER: Based on my experience at CIA, contractors play an important role in the work we do. Core contract personnel are part of an integrated team of professionals. They support U.S. Government (USG) personnel in performing mission and mission

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support activities. However, I believe the crucial operating principle here is how well the government directs and oversees contractors. This requires that the government maintains sufficient cadre of qualified USG personnel to ensure contractors meet their contractual obligations, and do so in an ethical manner. Reviewing the proper balance is an ongoing activity. If confirmed, I would support Director Clapper's commitment to ensure that contractors do not perform inherently governmental functions.

B. Are there some functions that should not be conducted by contractors or for which use of contractors should be discouraged or require additional approvals, including by the DNI?

ANSWER: Yes, there are clearly functions where contractors should have little or no role. For example, decisions on how we use or allocate resources, prioritize work, interpret policies, direct work assignments, and account for the outcomes of these assignments are the function of USG personnel and not contractors. Government personnel are answerable to the agency Directors, the DNI, the President, and Congress for their efforts and those of supporting contractors.

C. What consideration should be given to the cost of contractors versus government employees?

ANSWER: First, it must be determined that the proposed role is not inherently governmental. Then, consideration needs to be given to immediacy, duration of activities, cost, and availability of expertise. If the immediate security of the Nation or U.S. citizens or our interests are threatened, then the surge use of contractors is an appropriate consideration.

D. What legislation or administrative policies and practices should be implemented to facilitate the replacement of contractors by full-time employees?

ANSWER: Intelligence Community Directive 612, "IC Core Contract Personnel," provides an administrative framework to examine the use of "core" contractors on an ongoing basis. We should replace contractors with government personnel if the work becomes inherently governmental, or it otherwise makes sense and is cost effective. Our current focus is to reduce contract personnel in enterprise support functions, especially those that are enduring and where government personnel are less costly than contract personnel. However, we have not limited our efforts to enterprise support functions and will examine the best mix of our workforce in all mission areas as part of continuing workforce planning efforts.

QUESTION 20:

A. Please explain your role in the CIA's Narcotics Airbridge Denial Program in Peru and the subsequent review of what went wrong to lead to the shoot down of a family of American missionaries.

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ANSWER: The Peru Airbridge Denial Program ran from 1995 to April 2001. I had no role in that program. The Department of Justice declined criminal prosecution of Agency employees involved in the program in February 2005. The CIA IG conducted an investigation which resulted in an investigative report that was delivered in August 2008. In December 2008, I was tasked by then D/CIA General Hayden to chair an Agency Accountability Board and make recommendations regarding the personal accountability of Agency officers involved in the program.

B. What are your views on the accountability measures taken against the CIA officers who were faulted for mistakes concerning the program?

ANSWER: I am confident that the Peru Agency Accountability Board conducted a comprehensive review of the program and officers involved. The Board included non-Agency membership and was given unprecedented access to CIA OIG records.

Accountability Boards are part of an administrative disciplinary process and they therefore apply administrative sanctions ranging from termination of employment, through prohibitions against promotions, awards and contracts, to official written reprimands placed in an employee's file. For Agency employees who have retired or separated from the Agency, there are practical limits on the sanctions that can be imposed.

Sanctions imposed by this Board included prohibitions on contracts, promotions and awards and letters of reprimand. Although the more serious sanctions involved a significant financial impact, most of the officers involved were also already impacted by the mark on their records and reputation. One officer who was eligible to retire had stayed on several years past retirement in the belief that the inquiry would clear their name only to be sanctioned.

C. The CIA's November 1, 2010 notice to the workforce states "While the Accountability Board disagreed with many of the IG's specific findings, the Board agreed with the IG that there were problems with the program and concluded that the Agency did make mistakes." Please describe the principal IG findings with which the Accountability Board disagreed and describe the basis for the Board's disagreement. Please include in that description any disagreement with the IG's findings regarding testimony and notifications to Congress.

ANSWER: The most notable point of departure was the number of officers reviewed for sanction. The IG report recommended nine officers for review; the board in fact expanded the scope of the review and ended up examining twenty-three officers and sanctioned sixteen. The board's basis for expanded reviews started with the IG's assertion that problems with the program started at its origins. With that as a basis the Board reviewed everyone in a position of responsibility throughout the life of the program and identified twenty-three officers for review.

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The second significant area of departure was the IG's conclusion that errors in reporting and notification were deliberate and the result of a widespread cover-up. The Board carefully reviewed the information reported and concluded that some of the information the IG report cited as being withheld was shared. However the Board also found several instances of incomplete, hurried and sloppy reporting. As a result the Board concluded that there was no evidence of a concerted cover-up. The board also concluded that the grave responsibility associated with oversight notification and reporting dictated that the officers responsible for providing the substance or primary review of the sloppy reporting merited the most significant sanctions that were levied.

D. Please describe what steps, if any, the CIA has taken following the review by the Accountability Board to inform the CIA workforce about the Board's conclusions including about the standards that should be adhered to by CIA personnel in testimony, briefings, and other communications to Congress.

ANSWER: CIA convened a review of its congressional notification process. The Office of Congressional Affairs has implemented changes to streamline and accelerate its notification process. It has also instituted new training initiatives to heighten Agency officers' awareness of reporting standards and obligations.

The CIA Leadership Development Program has developed and put into the curriculum a lessons learned course module that drew on the work of the Board and other reviews of the Airbridge Denial Program such as the SSCI and Beers reports. The lessons learned effort is designed for the management level – the cadre of officers who are responsible for program implementation, monitoring and establishment of reporting standards.

Annual reviews of key programs were initiated to ensure that officers participating in those programs were fully aware of the details of their responsibilities and authorities in the conduct of their programs.

QUESTION 21:

A. Explain your responsibilities if confirmed as PDDNI in making decisions or recommendations concerning the accountability of officials of the IC with respect to matters of serious misconduct.

ANSWER: The Principal Deputy Director of National Intelligence shares the DNI's statutory responsibility to ensure compliance with the Constitution and laws of the United States by elements of the Intelligence Community. My responsibility as PDDNI, if confirmed, would be to ensure that IC elements and departments promptly, objectively, and completely investigate any allegation that an IC official engaged in serious misconduct, and ensure that IC elements or their parent departments take appropriate disciplinary action, if warranted. I recognize that IC elements or their parent department

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heads are principally responsible for addressing allegations of serious misconduct arising from within that IC element or department.

I expect, and the DNI expects, IC element heads to ensure that appropriate disciplinary actions are taken when warranted. I believe the PDDNI has both the duty and the authority to raise with the DNI any concerns that an IC element head failed to take appropriate action in response to allegations or evidence of serious misconduct, and I believe the PDDNI has the responsibility to take appropriate action in the DNI's absence.

In certain circumstances, it may be necessary for the PDDNI, working in consultation with the DNI, to refer allegations of serious misconduct to the appropriate IC element Inspector General or to the Inspector General of the Intelligence Community for investigation. I foresee that the new Inspector General of the Intelligence Community will, in addition to conducting its own reviews, help facilitate consistency across the IC in its handling of allegations of serious misconduct. If advised by counsel that an allegation of serious misconduct may constitute a violation of law, I would ensure that the matter is referred to the Department of Justice.

Finally, as mentioned below, the Intelligence Authorization Act for Fiscal Year 2010 contained a new provision granting the DNI authority to conduct accountability reviews. I understand that the ODNI is currently drafting implementing procedures for this authority and, if confirmed, I look forward to participating in that process.

B. What is your assessment of the strengths and weaknesses of the accountability system that has been in place at intelligence agencies and the ODNI and what actions, if any, should be taken both to strengthen accountability and ensure fair process?

ANSWER: The IC's commitment to accountability begins with the integrity of its leadership. Leaders set the tone for the organization and instill a unity of purpose, and a commitment to integrity and excellence. It is the duty of the IC leadership not only to lead by example, but also to set standards of conduct and ensure that individuals that fail to meet those standards are held accountable.

Several advancements since the creation of the DNI have improved the basic oversight structure of the IC. For example, IC-wide coordination bodies, such as the EXCOM and DEXCOM, facilitate sharing of information and concerns across agencies. Moreover, the IC Inspectors General (and the IG Inspectors General Forum), Civil Liberties Protection Officers, and Offices of General Counsel identify IC-wide concerns, and identify opportunities for improved efficiencies. Such efforts may result in accountability-related recommendations to IC element heads and the DNI, and the creation of IC-wide best practices.

I believe that the new Inspector General of the Intelligence Community, with an IC-wide mandate, will provide an additional mechanism for the IC in furthering its commitment to vigilant, thorough, prompt, and fair accountability. In addition, I believe the DNI's new

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authority to conduct accountability reviews should provide a valuable addition to the IC's accountability practices, and should enable the DNI to (1) address particular, systemic, and IC-wide accountability issues and (2) ensure fair process. I look forward to working with the DNI to implement this new authority, should I be confirmed.

C. Explain your responsibilities if confirmed as PDDNI on ensuring rewards systems across the IC agencies that are fair and equitable.

ANSWER: The series of performance management-related IC Directives promulgated by the DNI between 2007 and 2008 established a unified framework to govern equitable and mission-aligned rewards systems across the IC agencies. Today, compliance monitoring and management accountability tracking continues through the National Intelligence Civilian Compensation Program, including analysis of compensation and performance data related to equal employment opportunity and diversity. In addition, some specific personnel accountability measures are in place to include (1) response to the views and perceptions of employees obtained through the annual IC Employee Climate Survey and (2) commitments of IC leaders made through Personal Performance Agreements signed by the DNI and IC agency heads. My commitment is to ensure that leadership fairly and equitably carries out its responsibilities to accomplish the mission and manage the workforce—these programs and tools assist in that effort.

D. What is your view regarding the value of permitting highly skilled officers, particularly in niche disciplines, to enter the Senior Intelligence Service (SIS) without having to become managers?

ANSWER: Precedence for the "dual career ladder" certainly exists within the IC. If current reports on the so-called U.S. "brain-drain" or "retirement tsunami" are even close to correct, the IC will be in a serious "war for talent"—especially in areas of science, technology, engineering, mathematics, and language skills. Our ability to recruit and retain the highly skilled officers and technical experts required to carry out our mission depends greatly on our ability to compensate them at levels commensurate with the world job market and, at the very least, with our SIS managers/leaders.

Authorities of the DNI: Financial Management and Infrastructure

QUESTION 22:

What role do you expect to play in the ODNI's Business Transformation Board, which reviews all business system investments in the IC?

ANSWER: If confirmed, I expect to be the Chair for this new Board and a champion for the IC Business Transformation effort.

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The IC Business Transformation effort is focused on enhancing IC mission support by streamlining business operations and providing effective, efficient services to the Big Five IC agencies (CIA, DIA, NGA, NRO, and NSA) and the ODNI.

It is a major change management effort for the Community and is fundamental to achieving Enterprise Objective 3 of the National Intelligence Strategy "Streamline business operations and make the best use of taxpayer dollars." As with most transformation efforts, there will be difficult decisions to make and engagement of key stakeholders at the executive level of these IC Agencies is critical in making continued, measurable progress.

The Business Transformation Governance Board (BTGB) will be established as an executive, multi-agency board with the responsibilities outlined in the Intelligence Authorization Act of 2010:

- Recommend to the DNI policies and procedures necessary to effectively integrate business activities and any transformation, reform, reorganization, or process improvement initiatives undertaken in the Intelligence Community
- Review and approve major updates to the Business Enterprise Architecture
- Review and approve major updates to plans for IC business systems modernization
- Manage cross-domain integration of IC business transformation efforts consistent with the Business Enterprise Architecture
- Coordinate initiatives IC business transformation initiatives to maximize benefits and minimize costs for the IC
- Ensure the obligation of funds for IC business transformation business system transformation is consistent with the language in the Intelligence Authorization Act of FY 2010
- Approve business transformation system certifications made by the Director of the Business Transformation Office
- Carry out other duties as assigned by the DNI.

QUESTION 23:

The Committee has sought to ensure that IC elements become able to produce auditable financial statements. The majority of the IC elements still lack the internal controls necessary to receive even a qualified audit opinion.

A. If confirmed, what will you do to ensure that existing commitments to improve the IC's financial and accounting practices are carried out in an effective and timely manner, and that IC reporting on the status of these efforts is factual and accurate?

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ANSWER: The DNI and others depend on financial information to make budgetary and programmatic decisions that have a measurable impact on the overall effectiveness and cost of the IC. While the NRO and most non-defense Department agencies that execute National Intelligence Program resources obtained an unqualified audit opinion in 2010, it is important that the DNI continue to work with the defense intelligence agencies, CIA, and the ODNI to achieve the same unqualified audit opinion and sustain sound financial management practices over time.

The DNI and IC components are dedicated to improving financial management practices and strengthening internal controls to further the intelligence mission. An initiative of this magnitude is ambitious under the best of circumstances and will require time and consistent direction to make steady and measured progress. If confirmed, I will work with the DNI to achieve this important objective.

B. What responsibility have you had at the CIA for producing financial statements?

ANSWER: The CIA CFO is responsible for producing the Agency's financial statements. My responsibilities have primarily involved management review of the Agency financial statements to oversee corrective actions and plans. Additionally, in response to Section 368 of the FY10 Intelligence Authorizations Act, the CIA has designated the ADDCIA as the senior intelligence management official to be responsible for correcting material weaknesses. Examples of issues closed or addressed in the past year include realignment of the Agency's procurement personnel, contractor counts, supporting documentation for vouchers, and development of an asset management system. I have also been directly responsible for approving assessments of the Director's area components (e.g. CIO, CFO, HR, OGC) as part of the annual Federal Information Security Management Act process.

Classification of Information

QUESTION 24:

Section 102A (i) of the National Security Act of 1947 directs the ODNI to establish and implement guidelines for the classification of information, and for other purposes.

A. If confirmed, how will you be involved in implementing this section of the law?

ANSWER: In accordance with the revised Executive Order on *National Security Information* (EO 13526) and the Implementing Directive issued by the Director of the Information Security Oversight Office (ISOO), each agency, including elements of the Intelligence Community, is required to develop its own specific implementation plan to achieve compliance. These plans must include annual self-inspections and mandatory training programs for employees with access to classified information. If confirmed, I will ensure our oversight efforts of these self-inspection and training programs are active

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and consistent throughout the Intelligence Community to help identify best practices and resolve any shortfalls.

B. What other issues would you seek to address, and what would be your objectives and proposed methods, regarding the classification of information? Please include in this answer your views, and any proposals you may have, concerning the over-classification of information.

ANSWER: My proposed methods regarding classification, declassification and over-classification of information pursuant to EO 13526 would be to: 1) ensure proper oversight of IC agency implementation plans, perhaps through individual IC agency inspector general involvement; 2) develop an unclassified report summarizing the results of these reviews and make these unclassified reports available on the ODNI public website; and 3) continue our efforts to develop and implement sound approaches to declassifying National Security Information through the ODNI's leadership role in the stand-up of the National Declassification Center.

Additional measures have already been taken by the ODNI in many of these areas, specifically, through issuance of Intelligence Community Directive 710, *Classification and Control Markings System*; establishment of metadata standards within intelligence dissemination systems throughout the Intelligence Community; and a program launched in May 2010 to reinvigorate the declassification of imagery for public release. Together, these policies, standards and initiatives will help maximize our ability to share, mark, declassify, and retrieve information more efficiently. Self-inspection programs will provide key oversight for training and over-classification issues.

C. What approach would you take to the systematic review and declassification of information in a manner consistent with national security, including the annual disclosure of aggregate intelligence appropriations?

ANSWER: I am committed to protecting National Security Information. At the same time, I believe we have a responsibility to declassify information when it no longer requires such protection. In addition to such efforts as a comprehensive program for the review of all space-based national intelligence reconnaissance systems to determine whether imagery acquired by those systems could be released to the public, I would encourage, if confirmed, periodic reviews of classification guides to ensure information requiring protection stays protected and that information which no longer requires protection be properly addressed.

I support the continued release of the annual aggregate intelligence appropriations figures, and believe that disclosure would not cause harm to national security or otherwise reveal intelligence sources and methods.

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Acquisitions

QUESTION 25:

A. What is your assessment of the ICs current acquisitions capability?

ANSWER: Although IC acquisitions capabilities have steadily improved, we must continue to improve our execution given the fiscal challenges before us. We must be more agile in incorporating and accommodating technical and operational innovation as it arises. Improving the training, education, and experience of the acquisition workforce will also continue to be one of my top priorities if confirmed.

B. Do you believe the space industrial base specifically, and the intelligence industrial base more generally, are capable of producing the number of complex systems the IC and DoD demand of them on time and within budget?

ANSWER: Yes, I believe that our combined space and IC industrial base is up to that challenge.

QUESTION 26:

The National Reconnaissance Office has historically attempted to deliver more program content than can be accomplished under the budgets requested by the President or appropriated by Congress. We understand that this problem is again arising in the fiscal year 2012 budget build now in progress.

What suggestions do you have to help the DNI tackle this critical fiscal problem?

ANSWER: A key role of the ODNI is to assist the IC's acquisition elements in helping to identify and resolve issues before they become problems. We need to take a hard look at contract types and incentives to ensure long-term success of complex space programs. I understand that the Statement of Capabilities (SOC) process for Major System Acquisitions has helped in identifying fiscal and requirements issues early, such that the ODNI and the IC acquisition elements can take action to address any disconnects before they become problems. The ODNI staff can work with the affected IC acquisition element to resolve issues through the restructuring of programs, such that probability of acquisition success is greatly improved. We need to be selective and committed to those acquisitions we choose to move forward. These programs must be affordable, adequately and verifiably funded, have stable requirements and budgets, leverage mature technologies or rigorously manage associated risk reduction, with regular and transparent reviews. We must limit program content to what is achievable with adequate margin to actively address acceptable risk.

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The Department of Defense

QUESTION 27:

A. Explain your understanding of the need to balance the requirements of national and tactical consumers, specifically between establishing a unified intelligence effort that includes DoD intelligence elements with the continuing requirement that combat support agencies be able to respond to the needs of military commanders.

ANSWER: As the NIMs bring together the Unified Intelligence Strategies, the combat support agencies are critical contributors. With this approach the DNI-DoD relationship will continue to improve in terms of information sharing and methods for setting and managing intelligence priorities. A more integrated IC coupled with the inclusion of the combat support agencies supporting the military commanders will help them meet the intelligence needs of military commanders in a timely and efficient manner.

B. What is your assessment of how this balance has been handled since the creation of the ODNI and what steps would you recommend, if confirmed, to achieve a proper balance?

ANSWER: Since the creation of the ODNI, the country has been at war on multiple fronts and in multiple domains. Striking the right balance between the national consumer and the need for combat support agencies to be able to respond to the needs of the military commanders in the field will continue to be an imperative for the IC leadership. With the establishment of the National Intelligence Mission Management Council (NIM-C), we have a forum to address proper balance and competing requirements and discuss resource tradeoffs; the Undersecretary of Defense for Intelligence (USD(I)) is a primary representative on the Council. In that capacity, the USD(I) representative will be able to identify opportunities for the IC to maintain the balance between national and tactical intelligence support.

C. What is your assessment of the national intelligence effort to satisfy the needs of military commanders for human intelligence collection and what steps would you take to prevent or redress any deficiencies?

ANSWER: I assess that, given the resources currently available, HUMINT collectors are meeting the most pressing needs of military commanders, in particular combatant commanders. Over the past year, ODNI held comprehensive discussions with combatant commanders in the field on how well HUMINT collection is supporting their missions. The commanders expressed great satisfaction with the reporting delivered by both military and national HUMINT collectors. These collectors are well integrated into the commanders' intelligence support structure at all levels. Many are forward based in the combat zones, where they reside both at the commanders' headquarters and with field operators throughout the country and provide direct, day-to-day tactical, operational, and strategic support to the commanders' J2s and operators on the ground. HUMINT collectors are also well integrated into command- and national-level headquarters. Most

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importantly, an emphasis on fusing HUMINT with the other Intelligence capabilities in the field has been key to providing a comprehensive, accurate, and prompt picture of the area of operation. Military commanders, both in and out of the war zones, have at their disposal well established, proven military and national requirements systems for tasking HUMINT collectors. I believe that this system offers commanders a good ability to articulate their needs to the appropriate HUMINT collectors.

D. What is your assessment of the military intelligence program and what role do you see for the DNI in the challenges faced by programs funded by the Military Intelligence Program?

ANSWER: Overall, I think the Military Intelligence Program (MIP) is an important part of our Intelligence Community effort to support the warfighter, whether it be in Iraq, Afghanistan, or other areas of the world where our troops are deployed or stationed. As you know, the MIP consists of programs, projects, or activities that support the Secretary of Defense's intelligence, counterintelligence, and related intelligence responsibilities. This includes those intelligence and counterintelligence programs, projects, or activities that provide capabilities to address warfighters' operational and tactical requirements more effectively.

Experience shows that national and military customers often have the same or supporting requirements. The changing nature of warfare, as so often cited by senior Defense Department leaders, requires recognition that military, foreign, and domestic intelligence efforts are intertwined. Those charged with National Intelligence Program (NIP) and MIP planning, programming, and budgeting must therefore collaborate very closely. I believe we are maturing and improving the processes to do so.

To meet this challenge, the Systems and Resource Analyses (SRA) group within the ODNI, in collaboration with the Office of the Under Secretary of Defense for Intelligence (USD/I), established the National Intelligence Program (NIP) – Military Intelligence Program (MIP) Integration Group (NMIG) to promote transparency of NIP- and MIP-related activities between the ODNI and DoD, with the aim of leveraging and integrating the two programs. This new group will focus on developing recommendations on issues with NIP and MIP implications to inform the planning, programming, and budgeting resource allocation processes of both the DNI and DoD.

If confirmed, I will continue the work already started by the NMIG to ensure the DNI has continued input to the MIP, and is able to synchronize NIP and MIP resources to maximize effectiveness and minimize costs for the American taxpayer.

E. Are you concerned that the IC's need to support wars in Afghanistan and Iraq have limited the ICs ability to conduct missions outside of war zones?

ANSWER: The IC continues to provide tremendous support both in Afghanistan and Iraq and on the many important topics and areas beyond the war zones. I am fortunate to

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see that work first-hand every day. At the same time, the multiple competing priorities on the IC do require us to make some tradeoffs in how extensively we can support the many national security requirements that exist. For example, we apply a little less in-depth focus on lower priority countries and topics than we probably would otherwise. The IC workforce is also stretched thin in many areas, as a result, we must surge collection and analysis on emergent crises from time to time.

Covert Action

QUESTION 28:

A. What is your view of the DNI's responsibility to supervise, direct, or control the conduct of covert action by the CIA?

ANSWER: Any decision to employ covert action as a tool of national security strategy, including by which official or governmental entity, will, by law, be made by the President. To date, the President has charged the Director of the CIA with the responsibility for supervising, directing, or controlling the conduct of covert action. Unless determined otherwise by the President, the DNI is responsible to oversee the conduct of covert action in order to provide advice to the President and NSC with respect to covert action, to ensure covert action activities comply with the Constitution and laws of the United States, and to ensure the Congressional intelligence committees are kept fully and currently informed of covert action. Accordingly, the DNI must be kept informed of existing covert action programs. It is my observation that effective means of communication between the ODNI and CIA are already in place to ensure that information flow and, if confirmed, I would continue this productive dialogue.

B. Do you believe any additional authorities are necessary to ensure that covert action programs are lawful, meet the public policy goals of the United States, or for any other purpose?

ANSWER: Based on my current understanding, I do not believe that additional authorities are needed in this area.

C. Do you support the enactment of statutory requirements for regular audits by the CIA Inspector General of any ongoing covert action program with appropriate reporting to Congress?

ANSWER: In general, I do not believe covert action should be exempt from Inspector General review. However, I would want to review any specific, proposed legislatively-derived mechanisms before making any recommendations. I am aware that the CIA Inspector General is already charged by the Director of the CIA with auditing covert action programs at least every three years.

D. If confirmed, what role will you have regarding covert actions?

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ANSWER: If confirmed, I will assist the DNI to advise and ensure, as appropriate, that covert actions are thoroughly considered, appropriately authorized, and implemented in a manner that comply with U.S. law, further U.S. goals and interests, and make the best use of U.S. resources and capabilities. Further, if confirmed, I will assist the DNI in ensuring that the Congressional intelligence committees are kept fully and currently informed of all covert actions.

Privacy and Civil Liberties

QUESTION 29:

A. Describe the efforts of the IC to protect privacy and civil liberties and what, if any, challenges face the IC in these areas.

ANSWER: Intelligence officers take very seriously our oaths to support and defend the Constitution of the United States. In the IC, we also look to specific statutes, such as the Foreign Intelligence Surveillance Act (FISA), and to Executive Order 12333 for the detailed rules we need to follow to protect privacy and civil liberties. For example, EO 12333 directs us to "protect fully the legal rights of United States persons, including freedoms, civil liberties, and privacy rights guaranteed by Federal law." EO 12333 sets forth specific restrictions on how IC elements can collect, retain, and disseminate information about United States persons pursuant to procedures approved by the head of each IC element and the Attorney General, in consultation with the Director of National Intelligence.

Protecting both security and liberty in a manner that maintains the trust of the American people is no simple task, particularly where the technology — and threat environment can change rapidly. Challenges will include finding ways for the IC to both capitalize on, and carefully manage, the pace of technological change, so that we can develop and implement new capabilities to further our intelligence missions — be it collection, analysis, or integration — while remaining vigilant of the need for privacy and civil liberties safeguards to address the legal and policy implications.

B. Explain the roles of the Civil Liberties Protection Officer, the department privacy and civil liberties officers, the Privacy and Civil Liberties Board, and the Intelligence Oversight Board in ensuring that the IC complies with the Constitution and applicable laws, regulations, and implementing guidelines governing intelligence activities.

ANSWER: The Civil Liberties Protection Officer leads the Civil Liberties and Privacy Office within the ODNI (CLPO), and is a senior ODNI officer who reports directly to the DNI. The position is established in the National Security Act of 1947 and has several listed statutory duties: ensuring that the policies and procedures of IC elements include adequate protections for privacy and civil liberties; ensuring compliance by the ODNI with civil liberties and privacy requirements of applicable laws; reviewing and assessing

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civil liberties and privacy complaints about ODNI programs; ensuring the use of technologies sustains, and does not erode, privacy protections; ensuring compliance by the ODNI with the Privacy Act; and conducting privacy impact assessments when appropriate. The CLPO also has statutory duties under Section 1062 of the IRTPA, as amended by the 9/11 Commission Recommendations Act, including serving as principal advisor on privacy and civil liberties matters.

I understand that the CLPO works closely with – and serves on interagency working groups with – other departmental privacy and civil liberties officers. For example, the Civil Liberties Protection Officer works closely with the DHS Privacy Officer, the DHS Civil Rights and Civil Liberties Officer, and the DOJ Privacy and Civil Liberties Officer. Those officers perform comparable functions to those of the CLPO, for their respective departments.

The Intelligence Oversight Board (IOB) is part of the President's Intelligence Advisory Board, and is established by Executive Order. It consists of external senior advisors to the President. IC elements are required to report to the IOB (with copies to the ODNI) any intelligence activities they have reason to believe may be unlawful or contrary to executive order. The IOB reviews and makes recommendations to the agencies based on these reports, and can forward possible violations of the law to the Attorney General. The Privacy and Civil Liberties Oversight Board is an independent agency within the Executive Branch, established under Section 1061 of the IRTPA. It is to provide advice and oversight on matters relating to protecting the Nation from terrorism, and by statute, consists of five members.

If confirmed, I look forward to working within this framework of civil liberties and privacy institutions and rules, and with the oversight committees of the Congress, to faithfully carry out our obligations to comply with the Constitution, laws, executive orders, and implementing procedures and policies, and to protect privacy and civil liberties, as we carry out our intelligence missions.

QUESTION 30:

Section 102A(f)(4) of the National Security Act provides that the DNI shall ensure compliance with the Constitution and laws of the United States by the CIA and shall ensure such compliance by other elements of the IC through the host executive departments that manage the programs and activities that are part of the National Intelligence Program.

A. What are the most important subjects concerning compliance with the Constitution and laws of the United States that the DNI should address in fulfilling this responsibility?

ANSWER: All activities of the U.S. Intelligence Community must be conducted in a manner consistent with the Constitution and laws of the United States. Respecting and protecting the Constitutional rights of U.S. citizens is critical to earning the trust that the

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U.S. Intelligence Community is acting responsibly to protect and defend America and the American way of life.

The central focus of Constitutional compliance is performance of the IC's intelligence collection activities. These activities must respect the rights and freedoms guaranteed in the Constitution – specifically the Fourth Amendment's prohibition of unreasonable searches and seizures and the First Amendment's protection of free exercise of religion, speech, press, and assembly. The IC must also act in compliance with U.S. law, including the Foreign Intelligence Surveillance Act, the Privacy Act, and the Freedom of Information Act, as well as Executive Order 12333 and the Attorney General procedures that implement that Order.

B. What methods, and through what officials, should the DNI use to ensure compliance with the Constitution and laws, including, but not limited to the Office of the General Counsel, the ODNI Inspector General, and the Civil Liberties Protection Officer?

ANSWER: A culture of compliance begins with leadership by example. The DNI has a statutory responsibility to ensure compliance and I am personally committed to working to ensure that all elements of the Intelligence Community comply with the Constitution and laws of the United States and that privacy rights and civil liberties are protected in all IC activities. If confirmed as PDDNI, I would also take on that commitment and share the DNI's responsibility.

But to fulfill that responsibility, the DNI must rely on the leadership and good counsel of many within the ODNI, including the ODNI officers named in this question, as well as the leadership of the IC elements and Departments.

The Inspector General was recently granted an IC-wide mandate. But the DNI has an expectation that all ODNI officers –including the General Counsel and Civil Liberties Protection Officer – will consult and collaborate with their IC counterparts. These different perspectives and experiences provide a more comprehensive understanding of a problem and possible solutions. In the course of my preparations for this position, I have been in contact with these ODNI officers and expect, if confirmed, to rely upon them heavily.

C. What do you understand to be the obligation of the DNI to keep the intelligence committees fully and currently informed about matters relating to compliance with the Constitution and laws?

ANSWER: As discussed in the response to Question 3, the National Security Act of 1947, as amended, Sections 502 and 503, requires that the DNI, as well as the heads of IC elements and the Departments in which elements are housed, keep the Congressional intelligence committees fully and currently informed of all U.S. intelligence activities. This includes matters relating to compliance with the Constitution and laws. In addition, the recently enacted Intelligence Authorization Act for Fiscal Year 2010 also requires

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that the legal basis under which the activity is being conducted be provided to the committees. I support the DNI in his stated commitment to and insistence on timely and complete notification and, if confirmed, will conduct myself in accordance with this imperative.

D. What do you understand to be the specific obligations of the PDDNI in this area?

ANSWER: As discussed in Questions 1 and 3, the PDDNI is responsible for assisting the DNI in carrying out the statutory roles and responsibilities under the National Security Act of 1947, as amended, including to keep the Congressional intelligence committees fully and currently informed of intelligence activities. If confirmed, I will assist the DNI in ensuring that all IC elements comply with the Constitution and U.S. laws, including the Congressional reporting requirements under Sections 502 and 503.

QUESTION 31:

A. In your view, should the provisions of the Foreign Intelligence Surveillance Act (often referred to as the "lone wolf," "roving wiretap," and "business records" provisions) which expire on February 28, 2011, be extended?

ANSWER: It is my understanding that the Administration has thoroughly reviewed all three provisions of the Foreign Intelligence Surveillance Act and concluded that they should not be left to expire in February, as they are each designed to aid in protecting our homeland from national security threats. I fully support that assessment.

B. Should they be extended in their current form, or modified?

ANSWER: Again, I would like to defer judgment until I have the opportunity, if confirmed, to examine these provisions and whether any modifications are appropriate or necessary. Further, before recommending any specific modifications, I would want to consult intelligence professionals, Intelligence Community legal advisors, the Attorney General, and the Congress. However, I can say that whatever form the reauthorization may take, the law must enable necessary intelligence and law enforcement activities and provide appropriate privacy and civil liberties protections.

C. If you believe they should be modified, what modifications would you recommend?

ANSWER: Please see the answer to Question 31 B.

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Miscellaneous

QUESTION 32:

For each of the following, describe specifically how your experiences will enable you to serve effectively as PDDNI:

- Associate Deputy Director of the CIA- The past year as ADDCIA has been an experience in the myriad management challenges associated with the day-to-day operation of a large and complex organization. I have also had responsibility for recommending and implementing longer-term strategic planning initiatives such as shaping our workforce and future leaders and matching our budget strategy to reflect intelligence priorities and anticipated needs. In addition, I have been working to find a way forward on a key issue for the CIA and the Intelligence Community- finding a balance between the imperatives to both protect and share our country's sensitive information and sources.

- Director of the Directorate of Science & Technology at CIA- This assignment involved similar management challenges on a smaller scale. However, it also included responsibility for the conduct of technical development programs and operations, as well as the responsibility to project technology needs and long-term technical investments in research and development. Many of DS&T's initiatives involved partnerships across the IC, and I learned a great deal about the community's potential from these interactions.

- Your various positions in the CIA's Directorate of Science & Technology and systems acquisition- These assignments taught me the fundamentals of program and resource management as well as the unique challenges associated with large scale systems acquisitions. I also gained an appreciation for the value of investing in innovation and research as the best way to avoid building significant risks into major system acquisitions.

- United States Navy Field Support Element -- In this assignment I led research programs developing autonomous systems, communications, and power sources. I learned first-hand how sustained investment in research can reduce acquisition risks and speed the advance of operational capabilities.

- Your positions in the private sector- I learned what it is like to be on the other side of the government/industry partnership and the difficulty industry often encounters in trying to understand what the government's requirements and needs are.

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Question for the Record
Senator Barbara Mikulski

Question: Ms. O'Sullivan, one of the primary responsibilities of the Principal Deputy DNI is to act for and exercise the powers of the DNI during his or her absence. If this occurred, you would be serving as the President's principal intelligence advisor. This requires you to be honest, candid, and completely objective with the President. In fact, it may even require you to tell the President – the very person responsible for your nomination – something he doesn't want to hear.

I believe in General Clapper we have someone who speaks truth to power. In his absence, I also believe that the Principal Deputy DNI must also be able to speak with truth and candor to the President because this will create more informed policies and prevent our government from making unnecessary mistakes.

Given your lengthy career in the Intelligence Community, how can we count on you to speak truth to power? What specific examples can you point to where you told a leader something that he or she didn't want to hear?

Answer:

I believe that one of the fundamental tenets for an intelligence officer is speaking truth to power and I can be counted on to live by that imperative. In the course of my career I have often had to carry forward bad news that my superiors and colleagues did not want to hear - from operational mistakes to distressing personnel issues. I have had assignments that required me to be the naysayer in the room - questioning our ability to deliver the desired performance or being the voice of fiscal caution when discussing popular new initiatives. Over the course of my career I have also turned down funding when I did not believe my team was the best selection or capable of delivering as requested. At the time (early 2001) I was heading a research organization and funding was hard to come by. However, the request was for our researchers to purchase a ready-made system and conduct a demonstration, a task they were not really set up to complete. Also, I believed that another system demonstration would not address key underlying technical issues. I discussed my recommendations with the sponsor, who remained adamant about the demonstration. I then recommended another organization for the work and set about explaining to my team why I had turned down an offer of funds. An additional example would be after the Peru Accountability Board when I met with still grieving family members and explained where government actions contributed to their loss, the actions the government was taking as a result, and faced the ultimate truth that nothing I could say was going to repair their loss. In all, I have had numerous experiences over the course of my career in which speaking the truth as I knew it was in no way comfortable or easy but was still the only real choice I could make.

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SELECT COMMITTEE ON INTELLIGENCE

UNITED STATES SENATE

QUESTIONNAIRE FOR COMPLETION BY PRESIDENTIAL NOMINEES

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SELECT COMMITTEE ON INTELLIGENCE
UNITED STATES SENATE

QUESTIONNAIRE FOR COMPLETION BY PRESIDENTIAL NOMINEES

PART A - BIOGRAPHICAL INFORMATION

1. NAME: Stephanie Lynn O'Sullivan

2. DATE AND PLACE OF BIRTH: 10/3/1959, Cape Girardeau, Mo.

3. MARITAL STATUS: Married

4. SPOUSE'S NAME: Patrick Charles O'Sullivan

5. SPOUSE'S MAIDEN NAME IF APPLICABLE: N/A

6. NAMES AND AGES OF CHILDREN:

   N/A

7. EDUCATION SINCE HIGH SCHOOL:

INSTITUTION	DATES ATTENDED	DEGREE RECEIVED	DATE OF DEGREE
Missouri Science and Technology*	9/78 – 5/82	BS Civil Engineering	5/82

*formerly University of Missouri-Rolla/Missouri School of Mines

8. EMPLOYMENT RECORD (LIST ALL POSITIONS HELD SINCE COLLEGE, INCLUDING MILITARY SERVICE. INDICATE NAME OF EMPLOYER, POSITION, TITLE OR DESCRIPTION, LOCATION, AND DATES OF EMPLOYMENT.)

EMPLOYER	POSITION/TITLE	LOCATION	DATES
ADRI Software	Programmer/Researcher	Annapolis, Md.	5/82 – 12/82
TRW (now Northrup Grumman)	Member of Tech Staff	McLean, Va.	1/83 – 7/89
Office of Naval Intelligence	Project Manager	Pentagon	7/89 – 5/95
CIA	Systems Engineer	McLean, Va.,	7/95 - 4/98
CIA	Chief Systems Engineering Staff	McLean, Va.	4/98 - 11/98
CIA	Deputy Director Systems Development Program	McLean, Va.	11/98 - 1/01
CIA	Deputy Director Advanced Technologies & Programs	McLean, Va.	1/01 - 8/02
CIA	Director Advanced Technologies	McLean, Va.	8/02 - 7/03

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	& Programs		
CIA	Deputy Director, Science &	McLean, Va.	7/03 - 12/05
CIA	Director Science & Technology	McLean, Va.	12/05 - 12/09
CIA	Associate Deputy Director	McLean, Va.	12/09 – Present

9. GOVERNMENT EXPERIENCE (INDICATE EXPERIENCE IN OR ASSOCIATION WITH FEDERAL, STATE, OR LOCAL GOVERNMENTS, INCLUDING ADVISORY, CONSULTATIVE, HONORARY, OR OTHER PART-TIME SERVICE OR POSITION. DO NOT REPEAT INFORMATION ALREADY PROVIDED IN QUESTION 8):

   Please see question 8.

10. INDICATE ANY SPECIALIZED INTELLIGENCE OR NATIONAL SECURITY EXPERTISE YOU HAVE ACQUIRED HAVING SERVED IN THE POSITIONS DESCRIBED IN QUESTIONS 8 AND/OR 9.

    I have served almost thirty years in the Intelligence Community or supporting the Intelligence Community. I have supported every intelligence discipline, delivering technical tools in support of HUMINT as well as delivering and managing field operations for SIGINT, IMINT, and MASINT systems. I have experience in the full scope of the development cycle – from research to operations. I have managed large and complex systems acquisitions. I also have extensive experience in the administrative side of managing large organizations.

11. HONORS AND AWARDS (PROVIDE INFORMATION ON SCHOLARSHIPS, FELLOWSHIPS, HONORARY DEGREES, MILITARY DECORATIONS, CIVILIAN SERVICE CITATIONS, OR ANY OTHER SPECIAL RECOGNITION FOR OUTSTANDING PERFORMANCE OR ACHIEVEMENT):

    CIA performance awards (Director's Awards 2004, 2005, 2009).

12. ORGANIZATIONAL AFFILIATIONS (LIST MEMBERSHIPS IN AND OFFICES HELD WITHIN THE LAST TEN YEARS IN ANY PROFESSIONAL, CIVIC, FRATERNAL, BUSINESS, SCHOLARLY, CULTURAL, CHARITABLE, OR OTHER SIMILAR ORGANIZATIONS):

ORGANIZATION	OFFICE HELD	DATES
Club Duck Key*	membership	May 2000 to present
Sports Car Club of America	membership	2009 to present
Smithsonian Association	membership	2008 to present

    *swim and tennis club - owned by the membership

13. PUBLISHED WRITINGS AND SPEECHES (LIST THE TITLES, PUBLISHERS, BLOGS, AND PUBLICATION DATES OF ANY BOOKS, ARTICLES, REPORTS, BLOG POSTINGS, OR OTHER PUBLISHED MATERIALS YOU HAVE AUTHORED. ALSO LIST ANY PUBLIC SPEECHES OR REMARKS YOU HAVE MADE WITHIN THE LAST TEN YEARS FOR WHICH THERE IS A TEXT, TRANSCRIPT, OR VIDEO. TO THE EXTENT POSSIBLE, PLEASE PROVIDE A COPY OF EACH SUCH PUBLICATION, TEXT, TRANSCRIPT, OR VIDEO).

    Published writings – None.

    Public Speeches – attached
    GEOINT Conference, Research and Development Panel Member, November 2006 (no prepared remarks)
    Basis Technology User's Conference, University of Maryland, May 2008 (attached)
    Society of Women Engineers Conference, Cornell University, March 2009 (attached)

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PART B - QUALIFICATIONS

14. QUALIFICATIONS (DESCRIBE WHY YOU BELIEVE YOU ARE QUALIFIED TO SERVE IN THE POSITION FOR WHICH YOU HAVE BEEN NOMINATED):

I have spent my career in the Intelligence Community. I am currently at CIA as the Associate Deputy Director. My previous assignment was Director of Science and Technology at CIA. I have also served in the Department of Defense as well as the private sector. Trained as an engineer, I have run research and development programs, managed large acquisitions and been responsible for technical operations. Over the course of my career, I have gone from building things and systems to building teams and organizations. I would apply this experience to support the DNI and the Intelligence Community in our charge to serve and protect the American public and its interests.

PART C - POLITICAL AND FOREIGN AFFILIATIONS

15. POLITICAL ACTIVITIES (LIST ANY MEMBERSHIPS OR OFFICES HELD IN OR FINANCIAL CONTRIBUTIONS OR SERVICES RENDERED TO, ANY POLITICAL PARTY, ELECTION COMMITTEE, POLITICAL ACTION COMMITTEE, OR INDIVIDUAL CANDIDATE DURING THE LAST TEN YEARS):

None.

16. CANDIDACY FOR PUBLIC OFFICE (FURNISH DETAILS OF ANY CANDIDACY FOR ELECTIVE PUBLIC OFFICE):

None.

17. FOREIGN AFFILIATIONS

(NOTE: QUESTIONS 17A AND B ARE NOT LIMITED TO RELATIONSHIPS REQUIRING REGISTRATION UNDER THE FOREIGN AGENTS REGISTRATION ACT. QUESTIONS 17A, B, AND C DO NOT CALL FOR A POSITIVE RESPONSE IF THE REPRESENTATION OR TRANSACTION WAS AUTHORIZED BY THE UNITED STATES GOVERNMENT IN CONNECTION WITH YOUR OR YOUR SPOUSE'S EMPLOYMENT IN GOVERNMENT SERVICE.)

A. HAVE YOU OR YOUR SPOUSE EVER REPRESENTED IN ANY CAPACITY (E.G. EMPLOYEE, ATTORNEY, OR POLITICAL/BUSINESS CONSULTANT), WITH OR WITHOUT COMPENSATION, A FOREIGN GOVERNMENT OR AN ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE FULLY DESCRIBE SUCH RELATIONSHIP.

My spouse obtained a Masters degree in Irish Studies from Catholic University. One semester entailed study abroad, in my spouse's case, in Dublin, Ireland. As part of his semester in Ireland he served a part time internship at the Dail (lower house of parliament) where he researched and drafted speeches as well as providing constituent services staff work. His semester in Ireland encompassed January 2009 to April 2009.

B. HAVE ANY OF YOUR OR YOUR SPOUSE'S ASSOCIATES REPRESENTED, IN ANY CAPACITY, WITH OR WITHOUT COMPENSATION, A FOREIGN GOVERNMENT OR AN ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE FULLY DESCRIBE SUCH RELATIONSHIP.

See above (my spouse's internship included no representational duties).

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C. DURING THE PAST TEN YEARS, HAVE YOU OR YOUR SPOUSE RECEIVED ANY COMPENSATION FROM, OR BEEN INVOLVED IN ANY FINANCIAL OR BUSINESS TRANSACTIONS WITH, A FOREIGN GOVERNMENT OR ANY ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE PROVIDE DETAILS.

See above (my spouse's internship was uncompensated).

D. HAVE YOU OR YOUR SPOUSE EVER REGISTERED UNDER THE FOREIGN AGENTS REGISTRATION ACT? IF SO, PLEASE PROVIDE DETAILS.

N/A.

18. DESCRIBE ANY LOBBYING ACTIVITY DURING THE PAST TEN YEARS, OTHER THAN IN AN OFFICIAL U.S. GOVERNMENT CAPACITY, IN WHICH YOU OR YOUR SPOUSE HAVE ENGAGED FOR THE PURPOSE OF DIRECTLY OR INDIRECTLY INFLUENCING THE PASSAGE, DEFEAT, OR MODIFICATION OF FEDERAL LEGISLATION, OR FOR THE PURPOSE OF AFFECTING THE ADMINISTRATION AND EXECUTION OF FEDERAL LAW OR PUBLIC POLICY.

N/A.

PART D - FINANCIAL DISCLOSURE AND CONFLICT OF INTEREST

19. DESCRIBE ANY EMPLOYMENT, BUSINESS RELATIONSHIP, FINANCIAL TRANSACTION, INVESTMENT, ASSOCIATION, OR ACTIVITY (INCLUDING, BUT NOT LIMITED TO, DEALINGS WITH THE FEDERAL GOVERNMENT ON YOUR OWN BEHALF OR ON BEHALF OF A CLIENT), WHICH COULD CREATE, OR APPEAR TO CREATE, A CONFLICT OF INTEREST IN THE POSITION TO WHICH YOU HAVE BEEN NOMINATED.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the DNI's designated agency ethics official to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I have entered into with the DNI's designated agency ethics official and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

20. DO YOU INTEND TO SEVER ALL BUSINESS CONNECTIONS WITH YOUR PRESENT EMPLOYERS, FIRMS, BUSINESS ASSOCIATES AND/OR PARTNERSHIPS, OR OTHER ORGANIZATIONS IN THE EVENT THAT YOU ARE CONFIRMED BY THE SENATE? IF NOT, PLEASE EXPLAIN.

Yes.

21. DESCRIBE THE FINANCIAL ARRANGEMENTS YOU HAVE MADE OR PLAN TO MAKE, IF YOU ARE CONFIRMED, IN CONNECTION WITH SEVERANCE FROM YOUR CURRENT POSITION. PLEASE INCLUDE SEVERANCE PAY, PENSION RIGHTS, STOCK OPTIONS, DEFERRED INCOME ARRANGEMENTS, AND ANY AND ALL COMPENSATION THAT WILL OR MIGHT BE RECEIVED IN THE FUTURE AS A RESULT OF YOUR CURRENT BUSINESS OR PROFESSIONAL RELATIONSHIPS.

None.

22. DO YOU HAVE ANY PLANS, COMMITMENTS, OR AGREEMENTS TO PURSUE OUTSIDE EMPLOYMENT, WITH OR WITHOUT COMPENSATION, DURING YOUR SERVICE WITH THE GOVERNMENT? IF SO, PLEASE PROVIDE DETAILS.

No.

Insert offset folio 47 here 66577.047

23. AS FAR AS CAN BE FORESEEN, STATE YOUR PLANS AFTER COMPLETING GOVERNMENT SERVICE. PLEASE SPECIFICALLY DESCRIBE ANY AGREEMENTS OR UNDERSTANDINGS, WRITTEN OR UNWRITTEN, CONCERNING EMPLOYMENT AFTER LEAVING GOVERNMENT SERVICE. IN PARTICULAR, DESCRIBE ANY AGREEMENTS, UNDERSTANDINGS, OR OPTIONS TO RETURN TO YOUR CURRENT POSITION.

After completing government service I plan to retire. After completing this appointment, I would be eligible to return to CIA, however not to the same position. The eligibility to return to CIA is a standard agreement.

24. IF YOU ARE PRESENTLY IN GOVERNMENT SERVICE, DURING THE PAST FIVE YEARS OF SUCH SERVICE, HAVE YOU RECEIVED FROM A PERSON OUTSIDE OF GOVERNMENT AN OFFER OR EXPRESSION OF INTEREST TO EMPLOY YOUR SERVICES AFTER YOU LEAVE GOVERNMENT SERVICE? IF YES, PLEASE PROVIDE DETAILS.

None.

25. IS YOUR SPOUSE EMPLOYED? IF YES AND THE NATURE OF THIS EMPLOYMENT IS RELATED IN ANY WAY TO THE POSITION FOR WHICH YOU ARE SEEKING CONFIRMATION, PLEASE INDICATE YOUR SPOUSE'S EMPLOYER, THE POSITION, AND THE LENGTH OF TIME THE POSITION HAS BEEN HELD. IF YOUR SPOUSE'S EMPLOYMENT IS NOT RELATED TO THE POSITION TO WHICH YOU HAVE BEEN NOMINATED, PLEASE SO STATE.

My spouse is retired.

26. LIST BELOW ALL CORPORATIONS, PARTNERSHIPS, FOUNDATIONS, TRUSTS, OR OTHER ENTITIES TOWARD WHICH YOU OR YOUR SPOUSE HAVE FIDUCIARY OBLIGATIONS OR IN WHICH YOU OR YOUR SPOUSE HAVE HELD DIRECTORSHIPS OR OTHER POSITIONS OF TRUST DURING THE PAST FIVE YEARS.

NAME OF ENTITY	POSITION	DATES HELD	SELF OR SPOUSE
Computer Associates*	VP Technology	April 2002 – June 2006	Spouse

*Spouse's company (Timestock was acquired by Wily then Computer Associates)

27. LIST ALL GIFTS EXCEEDING $100 IN VALUE RECEIVED DURING THE PAST FIVE YEARS BY YOU, YOUR SPOUSE, OR YOUR DEPENDENTS. (NOTE: GIFTS RECEIVED FROM RELATIVES AND GIFTS GIVEN TO YOUR SPOUSE OR DEPENDENT NEED NOT BE INCLUDED UNLESS THE GIFT WAS GIVEN WITH YOUR KNOWLEDGE AND ACQUIESCENCE AND YOU HAD REASON TO BELIEVE THE GIFT WAS GIVEN BECAUSE OF YOUR OFFICIAL POSITION.)

None.

28. LIST ALL SECURITIES, REAL PROPERTY, PARTNERSHIP INTERESTS, OR OTHER INVESTMENTS OR RECEIVABLES WITH A CURRENT MARKET VALUE (OR, IF MARKET VALUE IS NOT ASCERTAINABLE, ESTIMATED CURRENT FAIR VALUE) IN EXCESS OF $1,000. (NOTE: THE INFORMATION PROVIDED IN RESPONSE TO SCHEDULE A OF THE DISCLOSURE FORMS OF THE OFFICE OF GOVERNMENT ETHICS MAY BE INCORPORATED BY REFERENCE, PROVIDED THAT CURRENT VALUATIONS ARE USED.)

DESCRIPTION OF PROPERTY	VALUE	METHOD OF VALUATION
Virginia Residence	$900,000	recent area sales
Florida Residence	$900,000	recent area sales

Insert offset folio 48 here 66577.048

Musical instruments and equipment	$30,000	recent sales

See SF278 for investments and bank account holdings.

29. LIST ALL LOANS OR OTHER INDEBTEDNESS (INCLUDING ANY CONTINGENT LIABILITIES) IN EXCESS OF $10,000. EXCLUDE A MORTGAGE ON YOUR PERSONAL RESIDENCE UNLESS IT IS RENTED OUT, AND LOANS SECURED BY AUTOMOBILES, HOUSEHOLD FURNITURE, OR APPLIANCES. (NOTE: THE INFORMATION PROVIDED IN RESPONSE TO SCHEDULE C OF THE DISCLOSURE FORM OF THE OFFICE OF GOVERNMENT ETHICS MAY BE INCORPORATED BY REFERENCE, PROVIDED THAT CONTINGENT LIABILITIES ARE ALSO INCLUDED.)

NATURE OF OBLIGATION	NAME OF OBLIGEE	AMOUNT

None.

30. ARE YOU OR YOUR SPOUSE NOW IN DEFAULT ON ANY LOAN, DEBT, OR OTHER FINANCIAL OBLIGATION? HAVE YOU OR YOUR SPOUSE BEEN IN DEFAULT ON ANY LOAN, DEBT, OR OTHER FINANCIAL OBLIGATION IN THE PAST TEN YEARS? HAVE YOU OR YOUR SPOUSE EVER BEEN REFUSED CREDIT OR HAD A LOAN APPLICATION DENIED? IF THE ANSWER TO ANY OF THESE QUESTIONS IS YES, PLEASE PROVIDE DETAILS.

N/A.

31. LIST THE SPECIFIC SOURCES AND AMOUNTS OF ALL INCOME RECEIVED DURING THE LAST FIVE YEARS, INCLUDING ALL SALARIES, FEES, DIVIDENDS, INTEREST, GIFTS, RENTS, ROYALTIES, PATENTS, HONORARIA, AND OTHER ITEMS EXCEEDING $200. (COPIES OF U.S. INCOME TAX RETURNS FOR THESE YEARS MAY BE SUBSTITUTED HERE, BUT THEIR SUBMISSION IS NOT REQUIRED.)

[INFORMATION REDACTED]

Insert offset folio 49 here 66577.049

32. IF ASKED, WILL YOU PROVIDE THE COMMITTEE WITH COPIES OF YOUR AND YOUR SPOUSE'S FEDERAL INCOME TAX RETURNS FOR THE PAST THREE YEARS?

Yes.

33. LIST ALL JURISDICTIONS IN WHICH YOU AND YOUR SPOUSE FILE ANNUAL INCOME TAX RETURNS.

Virginia and Florida.

34. HAVE YOUR FEDERAL OR STATE TAX RETURNS BEEN THE SUBJECT OF AN AUDIT, INVESTIGATION, OR INQUIRY AT ANY TIME? IF SO, PLEASE PROVIDE DETAILS, INCLUDING THE RESULT OF ANY SUCH PROCEEDING.

Yes. In November 2008 we received a Notice of Assessment from the state of Virginia stating that we owed $23,849.54 in additional taxes and $1,029.57 in interest for 2007. We paid the full amount promptly and in full. Our error was due to miscalculation of the number of days my husband, who splits his time between Florida and Virginia, was an actual resident of Virginia. In October 2010, we received a letter from the IRS stating we made an error in our calculation of taxes owed for the year 2008. The IRS informed us that we owed an additional $2,794.00 in taxes and interest of $186.00, for a total of $2,980.00; we paid the total amount owed promptly and in full.

35. IF YOU ARE AN ATTORNEY, ACCOUNTANT, OR OTHER PROFESSIONAL, PLEASE LIST ALL CLIENTS AND CUSTOMERS WHOM YOU BILLED MORE THAN $200 WORTH OF SERVICES DURING THE PAST FIVE YEARS. ALSO, LIST ALL JURISDICTIONS IN WHICH YOU ARE LICENSED TO PRACTICE.

N/A.

36. DO YOU INTEND TO PLACE YOUR FINANCIAL HOLDINGS AND THOSE OF YOUR SPOUSE AND DEPENDENT MEMBERS OF YOUR IMMEDIATE HOUSEHOLD IN A BLIND TRUST? IF YES, PLEASE FURNISH DETAILS. IF NO, DESCRIBE OTHER ARRANGEMENTS FOR AVOIDING ANY POTENTIAL CONFLICTS OF INTEREST.

No, I have consulted with DNI ethics officials and filed appropriate recusals for the retirement funds noted above. The remainder of my investments are in excepted investment funds.

36. IF APPLICABLE, ATTACH THE LAST THREE YEARS OF ANNUAL FINANCIAL DISCLOSURE FORMS YOU HAVE BEEN REQUIRED TO FILE WITH YOUR AGENCY, DEPARTMENT, OR BRANCH OF GOVERNMENT.

See attached disclosure forms.

PART E - ETHICAL MATTERS

38. HAVE YOU EVER BEEN THE SUBJECT OF A DISCIPLINARY PROCEEDING OR CITED FOR A BREACH OF ETHICS OR UNPROFESSIONAL CONDUCT BY, OR BEEN THE SUBJECT OF A COMPLAINT TO, ANY COURT, ADMINISTRATIVE AGENCY, PROFESSIONAL ASSOCIATION, DISCIPLINARY COMMITTEE, OR OTHER PROFESSIONAL GROUP? IF SO, PROVIDE DETAILS.

No, except as described in question 41.

Insert offset folio 50 here 66577.050

39. HAVE YOU EVER BEEN INVESTIGATED, HELD, ARRESTED, OR CHARGED BY ANY FEDERAL, STATE, OR OTHER LAW ENFORCEMENT AUTHORITY FOR VIOLATION OF ANY FEDERAL STATE, COUNTY, OR MUNICIPAL LAW, REGULATION, OR ORDINANCE, OTHER THAN A MINOR TRAFFIC OFFENSE, OR NAMED AS A DEFENDANT OR OTHERWISE IN ANY INDICTMENT OR INFORMATION RELATING TO SUCH VIOLATION? IF SO, PROVIDE DETAILS.

I was charged with trespassing on public property in August 1989 (being in a public park after closing). The charges were subsequently dropped.

40. HAVE YOU EVER BEEN CONVICTED OF OR ENTERED A PLEA OF GUILTY OR NOLO CONTENDERE TO ANY CRIMINAL VIOLATION OTHER THAN A MINOR TRAFFIC OFFENSE? IF SO, PROVIDE DETAILS.

No.

41. ARE YOU PRESENTLY OR HAVE YOU EVER BEEN A PARTY IN INTEREST IN ANY ADMINISTRATIVE AGENCY PROCEEDING OR CIVIL LITIGATION? IF SO, PLEASE PROVIDE DETAILS.

I was cited in an EEO complaint for hostile work environment in February 2002. The CIA's internal EEO commission investigated the employee's claims and found "no cause" for the employee's complaint. As is typical of federal agencies' internal EEO commissions, the CIA's EEO commission issued a right to sue letter to the employee after finding no cause. The employee filed an EEO complaint, the EEO commission investigated the claims, and, in November 2004, the EEO commission judge issued a summary judgment that concluded no issues of material fact or credibility were raised that would require a hearing. There was no further action.

42. HAVE YOU BEEN INTERVIEWED OR ASKED TO SUPPLY ANY INFORMATION AS A WITNESS OR OTHERWISE IN CONNECTION WITH ANY CONGRESSIONAL INVESTIGATION, FEDERAL, OR STATE AGENCY PROCEEDING, GRAND JURY INVESTIGATION, OR CRIMINAL OR CIVIL LITIGATION IN THE PAST TEN YEARS? IF SO, PROVIDE DETAILS.

No, except as described in question 41.

43. HAS ANY BUSINESS OF WHICH YOU ARE OR WERE AN OFFICER, DIRECTOR, OR PARTNER BEEN A PARTY TO ANY ADMINISTRATIVE AGENCY PROCEEDING OR CRIMINAL OR CIVIL LITIGATION RELEVANT TO THE POSITION TO WHICH YOU HAVE BEEN NOMINATED? IF SO, PROVIDE DETAILS. (WITH RESPECT TO A BUSINESS OF WHICH YOU ARE OR WERE AN OFFICER, YOU NEED ONLY CONSIDER PROCEEDINGS AND LITIGATION THAT OCCURRED WHILE YOU WERE AN OFFICER OF THAT BUSINESS.)

No.

44. HAVE YOU EVER BEEN THE SUBJECT OF ANY INSPECTOR GENERAL INVESTIGATION? IF SO, PROVIDE DETAILS.

In 2003, the CIA IG received a complaint that I had favored a company started by one of my former managers at CIA. There was no merit to this charge, and after an initial inquiry, the IG closed and dropped the matter without launching a formal investigation.

PART F - SECURITY INFORMATION

45. HAVE YOU EVER BEEN DENIED ANY SECURITY CLEARANCE OR ACCESS TO CLASSIFIED INFORMATION FOR ANY REASON? IF YES, PLEASE EXPLAIN IN DETAIL.

No.

Insert offset folio 51 here 66577.051

46. HAVE YOU BEEN REQUIRED TO TAKE A POLYGRAPH EXAMINATION FOR ANY SECURITY CLEARANCE OR ACCESS TO CLASSIFIED INFORMATION? IF YES, PLEASE EXPLAIN.

Yes, every position I have held since 1983 has required a polygraph as a condition of employment/clearance.

47. HAVE YOU EVER REFUSED TO SUBMIT TO A POLYGRAPH EXAMINATION? IF YES, PLEASE EXPLAIN.

No.

PART G - ADDITIONAL INFORMATION

48. DESCRIBE IN YOUR OWN WORDS THE CONCEPT OF CONGRESSIONAL OVERSIGHT OF U.S. INTELLIGENCE ACTIVITIES. IN PARTICULAR, CHARACTERIZE WHAT YOU BELIEVE TO BE THE OBLIGATIONS OF THE PRINCIPAL DEPUTY DIRECTOFR OF NATIONAL INTELLIGENCE AND THE INTELLIGENCE COMMITTEES OF THE CONGRESS RESPECTIVELY IN THE OVERSIGHT PROCESS.

Congressional oversight of intelligence activities is fundamental to the ability of intelligence organizations to operate within the structure of our Government. Congressional oversight is essential to improving the quality of intelligence and the effective, efficient operation of the Intelligence Community. Members of Congress bring an important perspective on some of the difficult issues the Intelligence Community faces. In addition, oversight is critical in building the trust of both Congress and the American people that the Intelligence Community exercises its authorities in a manner that protects the civil liberties and privacy rights of U.S. citizens, while still ensuring vital protection of the national security. The Executive Branch must support congressional oversight efforts through an open and candid exchange of information. At the most basic level, the obligation of the Intelligence Community to provide information to Congress is embodied in Title 5 of the National Security Act of 1947, which requires the Intelligence Community to keep the congressional intelligence committees "fully and currently informed" of significant intelligence activities, significant anticipated intelligence activities and significant intelligence failures. The PDDNI assists the DNI in carrying out his oversight responsibilities, including ensuring that the Intelligence Community elements comply with the Constitution and laws of the United States. I believe in and value the congressional oversight process and if I am confirmed as PDDNI, I will continue the practice of open communications and transparency with the congressional oversight committees.

49. EXPLAIN YOUR UNDERSTANDING OF THE RESPONSIBILITIES OF THE PRINCIPAL DEPUTY DIRECTOR OF NATIONAL INTELLIGENCE.

The Principal Deputy Director of National Intelligence is responsible for assisting the DNI in carrying out the duties and responsibilities of the DNI. The PDDNI's responsibilities derive from the DNI's responsibilities, and the PDDNI must be capable of exercising the full range of the DNI's responsibilities and authorities. The PDDNI assists the DNI in leading, managing, and transforming the Intelligence Community to meet the threats of today and tomorrow, to include providing timely objective and independent intelligence to support the needs of the President, the Executive Branch, the Congress, and others as appropriate.

Insert offset folio 52 here 66577.052

AFFIRMATION

I, Stephanie O'Sullivan, DO SWEAR THAT THE ANSWERS I HAVE PROVIDED TO THIS QUESTIONNAIRE ARE ACCURATE AND COMPLETE.

12-23-10 [SIGNATURE]
(Date)

[SIGNATURE]
(Notary)

KARLA LYNN ANTHONY
NOTARY PUBLIC
REGISTRATION # 181930
COMMONWEALTH OF VIRGINIA
MY COMMISSION EXPIRES
JULY 31, 2014

Insert offset folio 53 here 66577.053

TO THE CHAIRMAN, SELECT COMMITTEE ON INTELLIGENCE:

In connection with my nomination to be Principal Deputy Director of National Intelligence, I hereby express my willingness to respond to requests to appear and testify before any duly constituted committee of the Senate.

[SIGNATURE]
Signature

Date: 7/19/11

Insert offset folio 54 here 66577.054

United States
Office of Government Ethics
1201 New York Avenue, NW., Suite 500
Washington, DC 20005-3917

JAN 12 2011

The Honorable Dianne Feinstein
Chairwoman
Select Committee on Intelligence
United States Senate
Washington, DC 20510-6475

Dear Madam Chairwoman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Stephanie L. O'Sullivan, who has been nominated by President Obama for the position of Principal Deputy Director, Office of the Director of National Intelligence.

We have reviewed the report and have also obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Robert I. Cusick
Director

Enclosures

OGE - 106
August 1992

Insert offset folio 55 here 66577.055

13 December 2010

Christopher Thuma
Designated Agency Ethics Official
Office of the Director of National Intelligence
2B-200, LX2
Washington, DC 20511

Dear Mr. Thuma:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest if confirmed for the position of Principal Deputy Director of National Intelligence, Office of the Director of National Intelligence.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: my spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as an officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Because I am participating in a defined benefit pension plan with Northrop Grumman, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the ability or willingness of Northrop Grumman to provide this contractual benefit, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I understand that as an appointee I must continue to abide by the Ethics Pledge (Exec. Order No. 13490) that I previously signed and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this and any other ethics agreement.

Sincerely,

[SIGNATURE]

Stephanie L. O'Sullivan

Insert offset folio 56 here 66577.056

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U.S. Office of Government Ethics

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved:
OMB No. 3209 - 0001

Date of Appointment, Candidacy, Election, or Nomination *(Month, Day, Year)*	Reporting Status (Check Appropriate Boxes)	Incumbent ☐	Calendar Year Covered by Report	New Entrant, Nominee, or Candidate ☒	Termination Filer ☐ Termination Date *(If Applicable) (Month, Day, Year)*
Reporting Individual's Name	Last Name: O'Sullivan			First Name and Middle Initial: Stephanie L.	
Position for Which Filing	Title of Position: Principal Deputy Director of National Intelligence			Department or Agency *(If Applicable)*: Office of the Director of National Intelligence	
Location of Present Office (or forwarding address)	Address *(Number, Street, City, State, and ZIP Code)*: CIA, 930 Dolly Madison Ave., Washington, DC 20505			Telephone No. *(Include Area Code)*: 703-482-6767	
Position(s) Held with the Federal Government During the Preceding 12 Months *(If Not Same as Above)*	Title of Position(s) and Date(s) Held: Associate Deputy Director, Central Intelligence Agency 12/08-Present				
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination: Select Committee on Intelligence			Do You Intend to Create a Qualified Diversified Trust? ☐ Yes ☒ No	
Certification: I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge.	Signature of Reporting Individual: [SIGNATURE]			Date *(Month, Day, Year)*: 12-13-2010	
Other Review (If desired by agency)	Signature of Other Reviewer:			Date *(Month, Day, Year)*:	
Agency Ethics Official's Opinion: On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below).	Signature of Designated Agency Ethics Official/Reviewing Official: [SIGNATURE]			Date *(Month, Day, Year)*: 13 December 2010	
Office of Government Ethics Use Only	Signature: [SIGNATURE]			Date *(Month, Day, Year)*: 12/17/10	

Comments of Reviewing Officials *(If additional space is required, use the reverse side of this sheet)*

(Check box if filing extension granted & indicate number of days _____) ☐

(Check box if comments are continued on the reverse side) ☐

Fee for Late Filing
Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a $200 fee.

Reporting Periods
Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.

Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.

Nominees, New Entrants and Candidates for President and Vice President:

Schedule A--The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing.

Schedule B--Not applicable.

Schedule C, Part I (Liabilities)--The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.

Schedule C, Part II (Agreements or Arrangements)--Show any agreements or arrangements as of the date of filing.

Schedule D--The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.

Agency Use Only

OGE Use Only

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U.S. Office of Government Ethics

Reporting Individual's Name: O'Sullivan, Stephanie L.

SCHEDULE A

Page Number: 2 of

Assets and Income — BLOCK A

For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income.

For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual amount of any honoraria over $200 of your spouse).

None ☐

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

	Assets and Income	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains*	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
Examples	Central Airlines Common				x												x						x										
	Doe Jones & Smith, Hometown, State																															Law Partnership Income $130,000	
	Kempstone Equity Fund																																
	IRA: Heartland 500 Index Fund																								x								
1	Fidelity Money Market Cash Account	X														X	X			X	X												
2	Centennial Bank (Checking, Savings, CDs)					X												X					X										
3	Navy Federal Credit Union (Checking, Savings, CDs)					X													X				X										
4	Northwest Federal Credit Union (Checking and savings accounts and CDs)						X												X						X								
5	Vanguard Prime Money Market Fund (VMMXX)							X						X								X											
6	Vanguard Short-Term Investment Grade Fund Investor Shares		X											X							X												

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

Prior Editions Cannot Be Used.

OGE/Adobe Acrobat version 1.0.2 (11/01/2004)

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U.S. Office of Government Ethics

Reporting Individual's Name: O'Sullivan, Stephanie L.

SCHEDULE A continued
(Use only if needed)

Page Number: 3 of

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

#	Assets and Income (BLOCK A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Vanguard Total International Stock Index Fund (dividends paid at year end)				X								X							X												
2	Vanguard Value Index Fund Admiral Shares				X								X									X										
3	Vanguard Small-Cap Index Fund Admiral Shares					X							X							X												
4	Vanguard Total Bond Market Index Fund Admiral Shares					X							X										X									
5	Vanguard Small-Cap Value Index Fund				X								X							X												
6	Vanguard Inflation-Protected Securities Fund Admiral Shares					X							X								X											
7	Vanguard REIT Index Fund Admiral Shares				X								X									X										
8	Vanguard Short Term Bond Index Fund Admiral Shares			X									X								X											
9	Vanguard 500 Index Funds Admiral Shares					X							X									X										

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

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Reporting Individual's Name: O'Sullivan, Stephanie L.

SCHEDULE A continued
(Use only if needed)

Page Number: 4 of

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

#	Assets and Income (BLOCK A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Northrup Grumman Pension - defined benefit plan (value not readily ascertainable)																															est. benefit of $251/mo in 2024	
2 B	Alcatel/Lucent defined benefit plan		X																		X												
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* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

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Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name: O'Sullivan, Stephanie L.

SCHEDULE B

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Part I: Transactions

Report any purchase, sale, or exchange by you, your spouse, or dependent children during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss.

Do not report a transaction involving property used solely as your personal residence, or a transaction solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE.

None ☐

	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
Example	Central Airlines Common	X			2/1/99			X									
1																	
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*This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than $260, and (2) travel-related cash reimbursements received from one source totaling more than $260. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. **Exclude** anything given to you by the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth $104 or less. See instructions for other exclusions.

None ☐

	Source (Name and Address)	Brief Description	Value
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)	$500
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend)	$300
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SCHEDULE C

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Part I: Liabilities

Report liabilities over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. **Exclude** a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None ☒

	Creditors (Name and Address)	Type of Liability	Date Incurred	Interest Rate	Term if applicable	Category of Amount or Value (x): $10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Examples	First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991	8%	25 yrs.											
	John Jones, 123 J St., Washington, DC	Promissory note	1999	10%	on demand											
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*This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that of the filer or a joint liability of the filer with the spouse or dependent children, mark the other higher categories, as appropriate.

Part II: Agreements or Arrangements

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None ☐

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	TRW (now Northrup Grumman) pension plan, based on prior employment 1/83-6/89, vested after five years of employment 1/88, monthly benefits are estimated at $251/month starting in 2024.	Northrup Grumman Corp	01/88
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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☒

	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
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Part II: Compensation in Excess of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate.

None ☒

	Source (Name and Address)	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
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