Agency Stovepipes vs Strategic Agility:

Lessons We Need to Learn from Provincial Reconstruction Teams in Iraq and Afghanistan

U.S. HOUSE OF REPRESENTATIVES • COMMITTEE ON ARMED SERVICES

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On the Cover

Top Left
A soldier from the Asadabad PRT of the Combined Joint Civil Military Operations Task Force is warmly greeted in Manoi, Afghanistan. (*U.S. Army photo/ Spc. Harold Fields*)

Top Right
E-PRT member Captain Trisha Mustaine attends the first meeting of the newly-formed Hawr Rajab Women's Committee in Babil Province, Iraq, on February 7, 2008. (*Department of State photo*)

Bottom Left
Panjshir province Gov. Bahlol Bahij (left) and Brig Gen Bill Hyatt, 455th Air Expeditionary Wing commander, perform the ribbon cutting of the Panjshir Provincial Printing Press, May 26, 2007. The people of Panjshir worked with the Panjshir PRT to acquire the printing press and renovate the building which houses it. (*U.S. Air Force photo/ SrA Dilia DeGrego*)

Bottom Right
An Afghan engineer talks with USAF Captain Paul Frantz during a visit by the Nangarhar PRT to a local metal working shop, November 6, 2007. (*U.S. Air Force photo/ SSgt Joshua T Jasper*)

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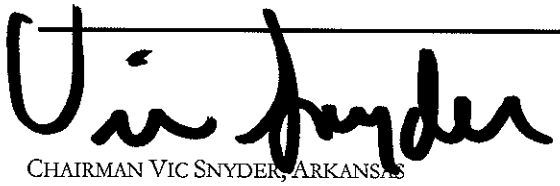

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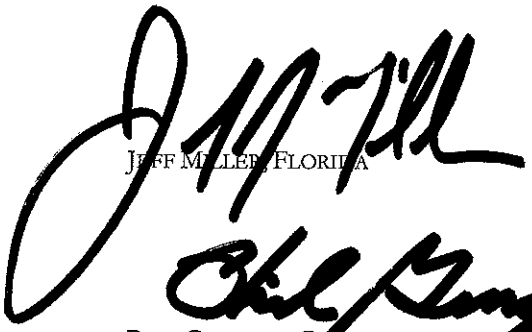

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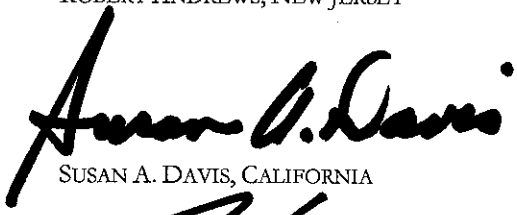

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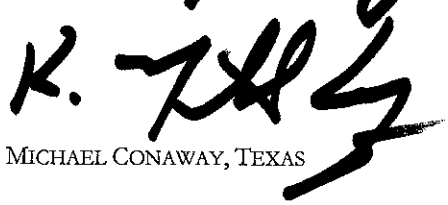

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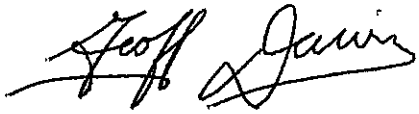

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A soldier with the 10th Mountain Division Tactical PSYOPS Team speaks with a group of Afghan children in Afghanistan, January 2007. *(Air Force Photo/Capt. Gerardo Gonzalez)*

It was one of the best experiences of my military career.

PRT Civil Affairs Officer
Panjshir Province, Afghanistan
2006-2007

This is the best job in the Foreign Service, and I feel that we are contributing to this part of Iraq being able to function when CF [coalition forces] leave.

PRT Team Leader
Al Anbar Province, Iraq
2007-2008

ACKNOWLEDGEMENTS

We want to thank our fellow subcommittee members and the subcommittee staff. We would also like to thank all of the members of the House Committee on Armed Services and the committee staff, particularly: Chairman Skelton and Ranking Member Hunter, and staff members Erin Conaton, Bob DeGrasse, Robert Simmons, Paul Oostburg Sanz, Andrew Hunter, Michael Casey, Stephanie Sanok, Julie Unmacht, Aileen Alexander, Mark Lewis, Loren Dealy, Lara Battles, Christine Lamb, Josh Holly, Linda Burnette, Nancy Warner, Rebecca Ross, Cyndi Howard, and Derek Scott. We would also like to thank the House Armed Services Subcommittees on Readiness, Military Personnel, and Terrorism, Unconventional Threats and Capabilities, as well as their staffs. Finally, we want to thank our own military legislative assistants, fellows, and schedulers: Dan Madden, James Lively, Toby Watkins, Justin Johnson, Caryll Rice, and Tressa Merola, as well as the rest of the subcommittee MLAs for all of their assistance.

We also want to thank those outside the committee who assisted in this effort, including those from the Office of the Secretary of Defense, the Joint Staff, the military services, the International Security Assistance Force, the U.S. Agency for International Development, the Department of Agriculture, and the Department of State, in particular, the Office of the Coordinator for Reconstruction and Stabilization, the Office of Provincial Affairs, the Bureau of Political-Military Affairs, and the regional bureaus, who responded to our many requests for hearing witnesses, briefings, documents, and travel support, as we examined this issue. We also would like to thank the National Guard Bureau, the U.S. Army War College, the U.S. Army Peacekeeping and Stability Operations Institute, the Joint Forces Staff College, the National Defense University, and the Foreign Service Institute for hosting our visits. In addition, we would like to thank the personnel at the 189th Infantry Brigade, the XVIII Airborne Corps, and the U.S. Army's Civil Affairs and Psychological Operations Command at Fort Bragg, the 101st Airborne Division at Fort Campbell, U.S. Joint Forces Command, U.S. Central Command, U.S. Southern Command, U.S. Special Operations Command, U.S. Army Training and Doctrine Command, and the U.S. Army Human Resources Command for their support during our visits. We would like to thank the Government Accountability Office, the Congressional Research Service, the Special Inspector General for Iraq Reconstruction, and the Center for Army Lessons Learned for their invaluable assistance. We particularly thank the men and women in the legislative affairs and legislative liaison offices of these organizations, whose work with us throughout this project is greatly appreciated.

We also need to thank many experts, including those from several non-governmental organizations, the U.S. Institute of Peace, the Center for Strategic and International Studies, the Center for a New American Security, the Project on National Security Reform, and the RAND Corporation. We also would like to thank the students at the Woodrow Wilson School of Public and International Affairs for sharing the results of their work on PRTs with us.

Our greatest expression of thanks goes to the military personnel and civilians who have served or are serving on Provincial Reconstruction Teams in Iraq and Afghanistan. We think these are a remarkable group of people working within a system that places additional challenges in their way, limiting both their success and their ability to know what progress they are making. Many of them aided this investigation immensely by speaking with us, both on and off the record. This report attempts to ensure that their contributions are recognized, their challenges addressed, and their insights applied to future interagency endeavors. We owe it to them to do what we can to help fix the system that is supposed to support them.

Finally, and perhaps, most importantly, we recognize that efforts are underway, both within and outside of government, to reform interagency integration. As a result of last year's defense authorization legislation, the Department of Defense contracted with the Project for National Security Reform to perform a year-long study of the national security interagency system. We look forward to the assistance their proposals and recommendations may provide in addressing interagency reform in a deliberate and comprehensive way.

Vic Snyder

VIC SNYDER

W. Todd Akin

W. TODD AKIN

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INTRODUCTION:
OF AGENCY STOVEPIPES AND "STRATEGIC AGILITY"

America will change our approach to help the Iraqi government…We will double the number of Provincial Reconstruction Teams. These teams bring together military and civilian experts to help local Iraqi communities pursue reconciliation, strengthen the moderates, and speed the transition to Iraqi self-reliance. And Secretary Rice will soon appoint a reconstruction coordinator in Baghdad to ensure better results for economic assistance being spent in Iraq.

President George W. Bush
Announcing the Iraq Surge
January 10, 2007

The Iraqi people quickly realized that something dramatic had happened. Those who had worried that America was preparing to abandon them instead saw…our troops, along with Provincial Reconstruction Teams that include Foreign Service Officers and other skilled public servants, coming in to ensure that improved security was followed by improvements in daily life. Our military and civilians in Iraq are performing with courage and distinction, and they have the gratitude of our whole nation.

President George W. Bush
State of the Union Address
January 28, 2008

Often, PRTs have been left on their own, with little strategic guidance, minimal funding, a lack of staff, and overly restrictive security requirements. The arrival of PRTs in Iraq may be too late to be of real value, and their presence in Afghanistan may lack critical mass to make a difference. PRTs will need to change to in order to fulfill their promise—and too much should not be expected of them.

Frederick Barton
Center for Strategic and International Studies
HASC Oversight and Investigations Hearing
September 5, 2007

WHAT WE DID: STUDY OBJECTIVES

The House Armed Services Subcommittee on Oversight and Investigations chose to investigate Provincial Reconstruction Teams (PRTs) because they are considered to be critical to our efforts in Iraq and Afghanistan. The subcommittee used PRTs as a case study of an issue that the subcommittee has been interested in – examining in more depth how multiple agencies work together, or for that matter, do not work together in the field and in Washington, as the third quote above suggests. As we have seen in Iraq and Afghanistan, the national effort involves more than just military actions, and instead requires integrated efforts and the resources of government departments and agencies beyond the Department of Defense (the Department, DOD). PRTs illustrate the need for effective, integrated action to achieve government-wide "unity of effort" in complex contingency operations. We wanted to know how the departments and agencies in Washington give comprehensive and consistent guidance to the military services and combatant commanders (COCOMs), as well as how both Washington and organizations at agency, service, and COCOM levels support interagency operations in the field. After all, mission success will only be ensured if senior leaders adequately guide and support the people who the nation has asked to do difficult jobs under dangerous and challenging conditions.

To support the committee's oversight responsibilities, the subcommittee sought to accomplish the following:

- Understand the Administration's strategy and plans for the use of PRTs, and how this strategy supports larger campaign plans and strategies in Iraq and Afghanistan, as well as in stability, security, transition, and reconstruction (SSTR) operations more generally;
- Delineate the roles of the Department of Defense, other U.S. Government (USG) agencies and departments, and coalition allies in PRTs and PRT-like entities;
- Understand the brigade combat teams' (BCTs') and regimental combat teams' (RCTs') relationships to various kinds of PRTs, including command and control issues;
- Understand the capabilities of various kinds of PRTs;
- Review DOD and related interagency assumptions, processes, and metrics used to assess the accomplishments of PRTs;
- Assess the resources invested in PRTs against the returns on those investments;
- Contribute to congressional oversight of PRTs, Iraq, Afghanistan, and interagency operations;
- Report findings and recommendations to the House Armed Services Committee or other committees of jurisdiction for further hearings and legislation; and
- Present information for public debate, with the hope of improving the Department's approach to organizing, training, and equipping military members for PRTs, and optimizing military support to PRTs.

This report includes only a brief summary of how the subcommittee went about this oversight project (more detail can be found at **Appendix B**). We have focused instead on our major findings, and lay out the details of these, with related recommendations, at the tactical

level (field operations), the operational level (combatant commands, services, and agencies with their policy and guidance responsibilities and their 'organize, train, and equip' missions), and at the strategic level in Washington.

The PRT tactical-level concept and the fact that there are approximately 50 such U.S. units on the ground reflect a willingness among government agencies to move outside of "stovepipes." However, the subcommittee found many significant issues during the course of our study. Although efforts have been made over the last seven years attempting to improve interagency coordination and cooperation, the government has not gone far enough or fast enough to support the people in the field or accomplish the nation's mission. The efforts that have been made must be assessed to determine whether interagency integration is improving or whether a different approach is needed. Many people are working very hard, but processes and structures in Washington still resemble what was used in the Cold War rather than what is needed to best address our nation's current and future opportunities and challenges. While agency stovepipes still exist, the PRTs in Iraq and Afghanistan offer lessons we can use at every level to increase our "strategic agility". What our nation needs now is a sense of urgency in capturing and applying these lessons. Our recommendations are meant to foster just that.

BACKGROUND

Provincial Reconstruction Teams vary quite dramatically between Iraq and Afghanistan and even between provinces in each theater of operations. Generally though, PRTs are teams of civilians and military personnel charged with working in areas of conflict with host-country locals and governments below the national level, to build their capacity and their ties to the national government. They do have a security mission, but their focus is on civil community building and development. While the military mission has been to develop host nations' security forces and to help secure the population, that alone will not bring independence, peace, and prosperity. Economic and political advances are needed as well, and this is where PRTs are meant to contribute. While part of the PRTs' mission is labeled reconstruction, in some places PRTs must construct anew. In other cases, their mission is not about construction or reconstruction, but instead focuses on developing capacity for governance.

The PRT program, which began in Afghanistan in 2002, continues to evolve.[1] PRTs require tactical-level flexibility to respond to prevailing security conditions, the maturity of the province, and the geography of the area in which the PRT operates. There are 26 PRTs in Afghanistan. The United States leads 12 of these. Other International Security Assistance Force (ISAF) coalition partners lead the remaining 14. ISAF is the NATO-led force operating in Afghanistan under a United Nations (UN) mandate.[2] The size and composition of PRTs vary. In Afghanistan, U.S.-led PRTs typically consist of 50-100 personnel, of which only 3 or 4 members are USG civilians or contractors. An Air Force lieutenant colonel or Navy commander leads the PRT, but does not command the non-DOD civilians. In addition, PRTs

[1] Some view the PRT program as similar to the Civil Operations and Rural Development Support (CORDS) program used in Vietnam, and they suggest that there may be lessons from the CORDS experience that are yet to be applied. See Phillip Carter, "The Thin Green Line, What the latest violence reveals about the failed U.S. strategy in Iraq," *slate.com,* October 18, 2006. Accessed August 28, 2007.

[2] *ISAF Fact Sheet*, April 2007. Available at: http://www.nato.int/isaf/docu/epub/pdf/isaf_leaflet.pdf. Accessed August 27, 2007.

have two Army civil affairs teams with four soldiers each. The U.S. model also typically includes a military police unit, a psychological operations unit, an explosive ordinance/de-mining unit, an intelligence team, medics, a force protection unit, and administrative and support personnel.[3] An Afghan representing the Ministry of Interior may also be part of the team.[4] These PRTs should include a single representative each from the U.S. Department of State (DOS), the U.S. Agency for International Development (USAID), and the U.S. Department of Agriculture (USDA). However, a June 2006 interagency assessment of PRTs reported that not all PRTs had a full civilian complement, and the subcommittee found this still to be the case.[5] U.S.-led PRTs are usually co-located on a military base with combat maneuver units operating in the same area or battlespace.

In Iraq, there are two types of U.S.-led PRTs: 11 PRTs in a program originally inaugurated by Secretary of State Rice in November 2005,[6] and 13 additional PRTs that were subsequently formed as part of the President's "New Way Forward" in 2007. These latter 13 are called "embedded" PRTs (e-PRTs) because, unlike the original Iraq PRTs, they are embedded in BCTs or RCTs. In addition to PRTs, other kinds of units do similar work, including Provincial Security Teams and Regional Reconstruction Teams. Coalition members Britain, Italy, and the Republic of Korea each lead a PRT.

Picture taken after a ribbon-cutting of a micro-hydro electric plant built in the Qarghayi District of Laghman Province, Afghanistan, June 2006. *(Air Force Photo/Capt. Gerardo Gonzalez)*

In contrast to the Afghanistan PRTs, Department of State personnel lead the Iraq PRTs. Civilians (including many contractors) staff the original PRTs. As in Afghanistan, each PRT is different. Security for the original PRTs is provided by either a contracted Personnel Security Detail or a Military Movement Team provided by a nearby unit. The original PRTs may have as many as 100 team members. They can include personnel from DOS, USAID, USDA, the Department of Justice, Multi-National Force-Iraq (MNF-I), the Gulf Region Division of the Army Corps of Engineers, USAID contractors (Research Triangle International), and locally employed Iraqi staff.[7] These PRTs are located on forward operating bases (FOBs).

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[3] Robert Perito, *The U.S. Experience with Provincial Reconstruction Teams in Afghanistan: Lessons Identified,* Special Report 152, United States Institute of Peace, October 2005, p. 5.
[4] *Provincial Reconstruction Teams in Afghanistan: An Interagency Assessment,* Department of State, Department of Defense, and U.S. Agency for International Development, June 2006, p. 8.
[5] Ibid.
[6] The United States leads 8 of the original 11 PRTs. See, *Status of the Provincial Reconstruction Team Program Expansion in Iraq*, SIGIR-07-014, Office of the Special Inspector General for Iraq Reconstruction, July 25, 2007, p. 1.
[7] "Action Plan to Build Capacity and Sustainability Within Iraq's Provincial Governments," Department of State Cable 4045. See also *Status of the Provincial Reconstruction Team Program in Iraq*, SIGIR-06-034, Office of the Special Inspector General for Iraq Reconstruction, October 29, 2006, p. 1.

A cable from U.S. Embassy Baghdad set the military requirement for the original PRTs as follows: "3 officers to serve as deputy team leaders, a major subordinate command liaison officer, an engineer, and a civil affairs team consisting of 4-20 personnel."[8] In October 2006, the Special Inspector General for Iraq Reconstruction (SIGIR) reported that the military often filled civilian slots (economic, agricultural, or local government advisers) when there was difficulty attracting civilians for assignment.[9] SIGIR also reported that the military personnel who filled those slots "did not possess the full range of needed skills."[10]

According to Robert Perito of the United States Institute of Peace (USIP), the U.S. Chief of Mission and the MNF-I Commander sent "initial instructions" establishing the Iraq PRTs, but there is still no approved doctrine for them. In addition, there are no "agreed [upon] objectives, delineation of authority and responsibility between the civilian and military personnel plans, or job descriptions."[11] In fact, during the first year of PRT operations in Iraq, the Departments of State and Defense could not agree on who would support them or how. The two departments signed a Memorandum of Agreement in November 2006 resolving these issues. However, according to Perito, the earlier disagreement over security arrangements delayed the PRTs' deployments and limited their effectiveness.[12]

The original PRTs in Iraq continue to work at the provincial level, while the new e-PRTs embed "directly into the brigade combat teams (BCTs) to deploy into neighborhoods and work at the district and municipal level."[13] Of the 13 e-PRTs, 5 of them operate in Baghdad, 3 in the outer Baghdad area, 3 in al Anbar, 1 in Wasit, and 1 in North Babil. A Department of State Foreign Service Officer (FSO) leads each e-PRT. The FSO and the BCT or RCT commander are responsible for developing the e-PRT's joint action plan. The embedded civilians act as an advisory team to the military commander. These advisors round out the BCT/RCT, so that the so-called "three D's" of stabilization operations (defense, diplomacy, and development) are represented. USAID provides development officers. The FSO and a USAID representative, along with a military contractor who serves as a bilingual bicultural advisor, form the "core" of the e-PRT. The core groups for the e-PRTs began deploying to Iraq early in 2007. The Department of Defense is providing most of the military and civilian personnel for these teams, which were projected to be fully manned by the end of December 2007. The Department of State intends to backfill these positions by the end of September 2008 with non-DOD civilians.[14] The number of PRTs and e-PRTs has changed over time. For example, when the President announced the "New Way Forward" in January 2007, he announced the creation of 10 e-PRTs. When the subcommittee began its review of the PRT programs in Afghanistan and Iraq in August 2007, the number of e-PRTs had

[8] "Action Plan to Build Capacity and Sustainability Within Iraq's Provincial Governments," Department of State Cable 4045.
[9] *Status of the Provincial Reconstruction Team Program in Iraq*, SIGIR-06-034, Office of the Special Inspector General for Iraq Reconstruction, October 29, 2006, p. 1.
[10] Ibid, p.15.
[11] Robert Perito, *Provincial Reconstruction Teams in Iraq*, Special Report 185, United States Institute of Peace, March 2007, p. 3.
[12] Ibid, p. 8.
[13] *Status of the Provincial Reconstruction Team Program Expansion in Iraq*, SIGIR-07-014, Office of the Special Inspector General for Iraq Reconstruction, July 25, 2007, p. i.
[14] "On-the-record briefing on Provincial Reconstruction Teams (PRTs) in Iraq," Department of State, February 7, 2007, available at: http://www.reliefewb.int/rw/rwb.nsf/db900SID/EKOI-6Y88FU?OpenDocument. Accessed August 29, 2007.

increased to 15. As of March 2008, the Department of Defense reported that the number of e-PRTs decreased to 13, which may be due to the redeployment of the brigade combat teams within which they were embedded. During that same timeframe, the number of PRTs increased from 10 to 11.

Provincial Reconstruction Teams exemplify the type of interagency stability operations units deemed by the Administration to be essential to reconstruction and counterinsurgency. General Petraeus specifically included e-PRTs in his 10-point counterinsurgency guidance and recognized that to fully use military and civilian capabilities, the e-PRT civilians needed to be integrated in all aspects of MNF-I operations "from inception through execution."[15] However, PRTs and e-PRTs are not subject to a unified or comprehensive plan for stability, security, transition, and reconstruction in either Iraq or Afghanistan. The December 7, 2005 National Security Presidential Directive-44 (NSPD-44) established the interagency policy framework for preparing, planning for, and conducting stabilization and reconstruction activities. It directs the Department of State to lead these USG efforts in close enough coordination with the Department of Defense "to ensure harmonization with any planned or ongoing U.S. military operations across the spectrum of conflict." The Secretary of Defense issued guidance that the Department should prioritize stabilization and reconstruction activities at a level comparable to combat operations in the form of DOD Directive 3000.05, published in November 2005. However, earlier this year, Deputy Secretary of Defense Gordon England directed the revision of DODD 3000.05. Reportedly, the new directive will incorporate stability operations into the *Irregular Warfare Roadmap*.[16]

Spc. Ashley N. Stermole, a medic with the Gardez PRT, diagnoses children during a MEDCAP mission at the Gardez Orphanage. (*Army photo/Sgt. Chuck D. Meseke)*

[15] David Petraeus, "Multi-National Force – Iraq Counterinsurgency Guidance," http://www.forceaerienne.forces.gc.ca/cfawc/Contemporary_Studies/2007/2007-Jun/2007-06-06_MNF-I_COIN_Guidance-Summer_2007_v7_f.asp. Accessed August 29, 2007.
[16] "England Commissions Wide-Ranging Irregular Warfare Directive," *InsideDefense.com*, February 8, 2008.

HOW WE DID IT: STUDY METHODS[17]

In pursuing our project over six months, subcommittee members and staff participated in 17 congressional and staff delegation trips, including 5 visits to Provincial Reconstruction Teams and the U.S. Embassies in Iraq and Afghanistan, as well as the NATO/ISAF headquarters in Afghanistan. Travel within the United States included trips to: Central Command, Special Operations Command, and Joint Forces Command Headquarters; Fort Bragg, where PRT training is conducted; Fort Campbell, home of the 101st Airborne Division, which is replacing the current U.S. headquarters in Afghanistan; and the Peacekeeping and Stability Operations Institute, National Defense University, and Foreign Service Institute. While subcommittee members were only able to visit one non-U.S.-led PRT, run by Turkey in Afghanistan, the subcommittee benefited from concurrent research carried out by a group at Princeton University's Woodrow Wilson School. This analysis, comparing U.S. and non-U.S. NATO PRTs in Iraq and Afghanistan, was supported by interviews with officials in host nation capitals.[18] Finally, staff also met with NATO ISAF personnel in Afghanistan and in Washington.

The subcommittee held eight hearings on this topic, including three specifically on interagency integration and national security reform for reconstruction and stabilization operations. Among the 30 witnesses at these hearings were the senior administration officials responsible for these operations, as well as leading practitioners, scholars and analysts. Additionally, members received five briefings, including two panel discussions with former PRT members. Subcommittee staff received more than 50 briefings, many by USG personnel, and a number of which were with private volunteer and non-governmental organizations (NGOs) performing relief and humanitarian assistance in Iraq and Afghanistan. In addition to reviewing USIP's 2005 survey of PRT members[19] and holding informal interviews and meetings with PRT members, the Oversight and Investigations staff conducted a formal survey of more than 95 current and former PRT members who served within the last 2 years (**Appendix C**).

Finally, in addition to our work on PRTs, the subcommittee conducted a parallel effort on the civilians from DOD and other federal agencies who deploy for PRT and other work in the zones of conflict. Since our findings for that investigation go beyond those specifically focused on PRTs, we have decided to publish that study separately in order for it to get the attention it deserves. That report is titled, *Deploying Federal Civilians to the Battlefield: Incentives, Benefits, and Medical Care*, and will be posted on the committee website.

[17] See **Appendix B** for details.
[18] Nima Abbaszadeh et al, *Provincial Reconstruction Teams, Lessons and Recommendations,* Woodrow Wilson School of Public & International Affairs, Princeton University, January 2008.
[19] USIP Oral History Project on Stability Operations, http://www.usip.org/library/oh/.

SO WHAT? MAJOR FINDINGS

While capabilities have developed over time, PRT planning and operations started in an *ad hoc* manner and they remain decentralized. The relevant departments have not articulated clear objectives for what they want PRTs to do, and they cannot effectively evaluate their performance. Additionally, Central Command (CENTCOM), which oversees both theaters of operation, has not taken an active role in providing guidance. Major issues that became evident during our investigation included mission objectives, leadership, funding, staffing, measuring effectiveness, and leveraging partnerships.

OBJECTIVES: WHAT ARE WE TRYING TO DO HERE?

The mission has not been clearly defined.

> On the issue of civil-military integration, the problems that we are finding are that there is really no permanent, predictable method of integrating decision-making and resource-sharing. Instead, there is a patchwork quilt of memoranda of agreements and FRAGOs [fragmentary orders] and military orders and cables that, all together, sort of provide the policy underpinnings that are used by PRTs.
>
> *Ginger Cruz*
> *Deputy Special Inspector General for Iraq Reconstruction*
> *HASC Oversight and Investigations Hearing*
> *September 5, 2007*

> Improvisation is not a concept of operations. PRTs really need an agreed concept of operations and an agreed organizational structure with a single chain of command.
>
> *Robert Perito*
> *United States Institute of Peace*
> *HASC Oversight and Investigations Hearing*
> *October 18, 2007*

There is no clear definition of the PRT mission, no concept of operations or doctrine, no standard operating procedures. Perhaps this should not be surprising, given the PRTs' improvised origins, the wide variety of entities with the same name, and their extremely different operating environments. Absent a comprehensive strategy from Washington or from CENTCOM headquarters, the direction of PRTs has been *ad hoc* and personality-driven. In Afghanistan the draft *Afghan National Development Strategy* provides a general framework for PRT construction efforts. In Iraq, however, there is no clear-cut framework for PRT activities.

Despite common problems experienced by PRTs, the effort to develop common solutions or, at a minimum, formally and comprehensively share best practices has been uneven. While tactical-level flexibility is necessary and good, it is a problem when it is accompanied by a lack of clear national-level and theater-level direction. For example, according to the June 2006 Interagency Assessment of Afghan PRTs conducted by the DOS, DOD, and USAID, a PRT's military and civilian leaders assess the environment in their area and develop strategies to achieve the objectives of (1) extending the Afghan central government's authority; (2) improving security; and (3) promoting reconstruction. The guidance gave no further instruction regarding essential tasks PRTs were to perform, which the Interagency Assessment found gave PRTs "flexibility to adapt to local conditions." However, they also reported a significant downside in that the lack of guidance caused confusion "about what a PRT is, what it ought to do, and what its limits should be."[20]

Objectives for Iraq may exist in the Joint Campaign Plan (JCP), but the Administration has not obliged repeated congressional requests to review the current JCP. Even if it does exist, the JCP strategic-level guidance has not been translated into operational-level guidance. This was particularly difficult given that the Office of Provincial Affairs (OPA), which supports PRTs in Iraq, had three directors in its first few months.[21] With more provinces under Iraqi control, the development of a strategic framework between Iraq and the United States, and the December 2008 expiration of the United Nations Security Council Resolution 1790, which among other things is the legal mandate for Multi-National Force-Iraq, it is more important than ever that the PRT mission be clearly defined. In Afghanistan, the Combined Joint Task Force-82 (CJTF-82) leaders have designated an element of their organization, called the C-9 staff, to give guidance and support to U.S.-led PRTs with some success. Whether this will survive transition to the next CJTF remains uncertain.

PRT members told us they spent significant time compiling reports on their activities and the conditions in their area of operations in Iraq or Afghanistan. However, there is no systematic method of measuring a PRT's performance or effectiveness.

Many of our sources observed that PRT operations have been and continue to be a "pick up game." Again, we commend the PRT members, who often operate in the face of danger, performing jobs outside their training or military operational specialty, who, nevertheless, have been determined to carry out their mission. Indeed, several PRT members told the subcommittee that their work on the PRTs has been some of the most rewarding in their careers.

[20] Interagency Assessment, pp. 8-9.

[21] From 2005-2007, the National Coordination Team under the Iraq Reconstruction Management Office, in the Embassy, led the PRT effort.

LEADERSHIP: WHO'S IN CHARGE?

There is a lack of unity of command resulting in a lack of unity of effort.

> Iraqi officials commonly suffer from something we call interlocutor fatigue, where a whole parade of U.S. officials—a major, a colonel, a PRT team leader, a USAID guide, a contractor who works for USAID—will come in at various points and will meet with Iraqi leaders. And so, it is very easy to see how Iraqis get extremely confused[,] and how PRTs spend an inordinate amount of time trying to coordinate and still fall short because there is too much coordination that needs to go on.

Ginger Cruz
Deputy Special Inspector General for Iraq Reconstruction
HASC Oversight and Investigations Hearing
September 5, 2007

Command and control varies with the leadership of the teams and their related military commands and civilian supervisors. Essentially, there are multiple chains of command: through the military, the Office of Provincial Affairs, the embassies, and Washington-based country representatives of the departments and agencies. The PRTs thus lack clean lines of authority, and the coordination procedures between civilian and military personnel are disjointed and incoherent, which can have the unintended effect of making a PRT's operations personality-driven. In Iraq, U.S.-led PRTs receive operational guidance from the Ambassador and Commanding General of MNF-I, but all U.S.-led PRTs notionally report to the Chief of Mission. They receive further policy guidance and support from the Office of Provincial Affairs, and security and transportation support from MNF-I. In Afghanistan, PRTs receive policy guidance from the PRT Executive Steering Committee in Kabul, which is co-chaired by the Afghan Minister of the Interior and the ISAF Commander. Each coalition country's PRTs are organized and staffed differently. In any case, the Executive Steering Committee's place in the chain of command, its responsibility, and its authorities appear to be weak. Operational issues are addressed by a subordinate PRT Working Group, which also includes the United Nations (UN) and relevant embassy representatives. But, U.S.-led PRTs receive operational guidance from the Combined Joint Task Force (CJTF) commander, dual-hatted as the Regional Command-East commander. This arrangement effectively grants the sitting maneuver force commander the authority to reassign a PRT's security force to other missions. The CJTF commander reports to CENTCOM as well as to the ISAF NATO commander.

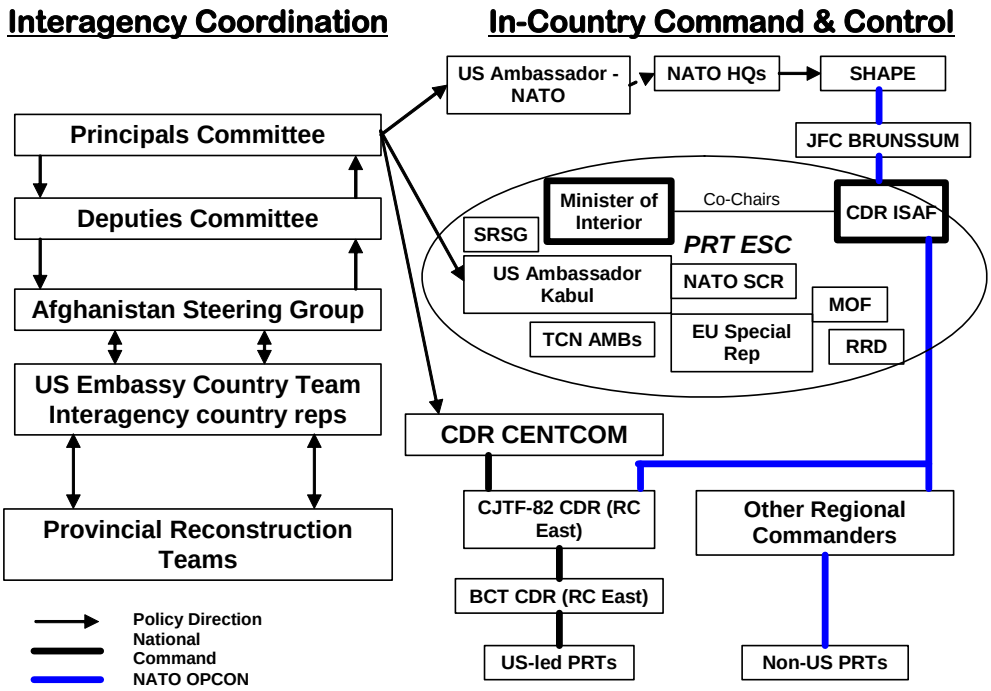
The three PRT principals in Afghanistan—the Departments of Defense and State and USAID—tend to function as partners, but with the military "commander" acting as the senior partner. While this arrangement works well where a spirit of cooperation and unity prevails, PRTs will benefit from a more coherent structure that relies less on getting the right personalities together at the right place and time. Each agency's officer in the tri-partite PRT leadership reports back through his or her "parent" chain. Civilian leaders also ostensibly report directly back to the DOS regional bureaus or the Director of Foreign Assistance (dual-hatted as the Administrator of USAID), rather than the State Coordinator for Reconstruction

and Stability (S/CRS). At DOD, the regional bureaus within the Office of the Under Secretary of Defense for Policy provide strategic guidance for military members and military leaders of PRTs instead of that guidance coming from the Deputy Assistant Secretary of Defense for Stability Operations Capabilities.

In Iraq, many e-PRTs, chartered to advise the BCT or RCT commander, appear to be directed more by the unit with which they are embedded than the civilian leader. On the other hand, some e-PRTs reportedly operate with only loose links to their military unit. There is no definitive plan for the status of e-PRTs when their BCT or RCT is redeployed, although one is reportedly in the works. For DOD personnel filling Department of State billets, the chain of command is even less certain. Military reservists and National Guard personnel who volunteered to fill civilian billets until September 2008 are serving in uniform rather than as civilians. In some units, there are a number of full colonels either equal or superior in rank to the military commanders for whom they are working. Iraqis, and some U.S. military commanders, will often value uniformed over civilian-clothed U.S. counterparts; they mistakenly look to the colonel's eagles rather than the civilian PRT leaders as the responsible authority. If reserve component officers fill civilian billets, and therefore deploy in civilian capacity, they should not wear uniforms or rank senior or junior in grade to the civilian equivalent for that position.

To complicate things further, BCTs and RCTs, as well as Embassy staffs, have their own governance, rule of law, and development programs that may complement, conflict, or duplicate the work of the PRTs. Finally, the subcommittee has been told that the real location of direction for PRTs rests with the Policy Coordinating Committee of the National Security Council (NSC) for both Iraq and Afghanistan.

The Pentagon's chart depicting the organization for the Afghanistan effort shows how convoluted organization can be:[22]



[22] Department of Defense-led briefing for House Armed Services Committee staff, January 25, 2008.

FUNDING: WHERE'S THE MONEY?

Funding is not consolidated for stability operations at the provincial and local levels and funding streams are extremely confusing.

> There must be a better alignment of mission and resources on a PRT level. The military supports security sector reform, USAID supports reconstruction and development, yet neither have funding mechanisms that are appropriate to do those jobs. And this also really confused Afghans and aid agencies who didn't understand why the military part of a PRT was building schools and clinics when the local police have no uniforms, vehicles or facilities.
>
> *Michelle Parker*
> *Former PRT Member*
> *International Affairs Fellow, RAND Corporation*
> *HASC Oversight and Investigations Hearing*
> *September 5, 2007*

PRT project funding in both Iraq and Afghanistan relies heavily on the military's Commanders' Emergency Response Program (CERP) funds. This reliance is due in large measure to relatively streamlined bureaucratic procedures for project approval. Although originally established for purposes such as condolence payments, repair of property damage resulting from U.S. military operations, and urgent humanitarian or reconstruction needs, CERP money is now employed on a more routine basis to demonstrate goodwill and create a favorable local reaction. CERP funds cannot be used, however, for salaries of local government officials or the training, equipping, or operating costs of Iraqi or Afghan military or other security forces. In Afghanistan, there are reports of BCT commanders taking CERP funds meant for PRTs for the larger military unit's purposes. In addition to CERP money, the USAID field officer in the PRT provides access to Local Governance and Community Development (LGCD) Program Funds and, in Afghanistan, "Quick Impact Program" funds.[23] To the frustration of the PRTs, LGCD funds take longer to access than CERP funds. These USAID funds typically go toward small capacity-building endeavors. In Afghanistan, it is imperative that funding be timely, particularly to secure it in the fall when supporting agricultural efforts. The Department of State recently approved a resource stream for its officers on PRTs in Iraq called Quick Reaction Funds (QRF). There is no counterpart to QRF in Afghanistan. Some have suggested that the varied restrictions on the uses of these different funds coupled with the relative ease of access to the funds can distort project planning. That is, projects are chosen based on how funds can be spent and how quickly funds can be accessed rather than actual local needs.

The demand for CERP funding in Afghanistan is rising. Demand for CERP funding in Iraq should be decreasing because the capacity for the Iraqi government to fund its own governance and economic growth is increasing. If the Government of Iraq spent more of its unobligated revenues for reconstruction and development, more CERP money could be

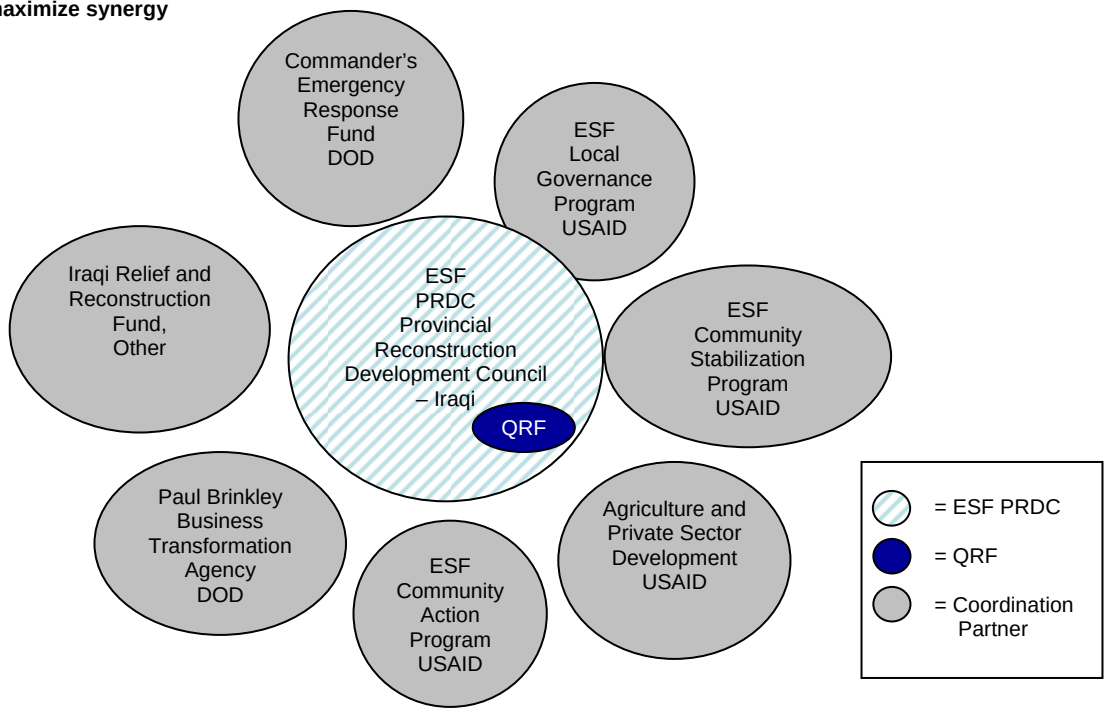
[23] USAID/Afghanistan Program Description, http://afghanistan.usaid.gov/en/Program.31a.aspx. Accessed August 29, 2007.

available for PRTs in Afghanistan. However, in fiscal year 2007, CERP obligations in Iraq increased to $879.9 million while decreasing to $206.0 million in Afghanistan. The rationale for this trend is unclear, but it could reflect the growing use of CERP funding in support of wider counterinsurgency operations in Iraq.

Other actors (BCTs, RCTs, and agencies represented at the Embassy) have funds to apply to programs similar to those the PRTs typically fund, including humanitarian aid, governance, rule of law, and development projects. The chart below, provided to the subcommittee staff at a DOD, DOS, and USAID joint briefing, highlights the complexity facing PRTs as far as funding is concerned, and highlights why national-level coordination is needed. PRTs have the greatest access to funding where the circles overlap as between the Local Governance Program and the Provincial Reconstruction Development Council funds. They have some, but not direct, access to funds where the circles touch. They do not have access to the funds where the circles do not touch or overlap. The briefers indicated that this chart, identifying all of the various U.S. Government funding sources that have an impact at the provincial level, had to be specially created for the briefing. The briefers told staff the chart had taken a fair amount of time and consideration to construct because the funds are not controlled or coordinated centrally; rather, different agencies control the different funds.[24]

USG Funding Sources with Provincial Impact

- **Program funds are controlled by various agencies**
- **Economic Support Fund (ESF) is the primary program funding source for PRTs**
- **PRTs serve as a coordination tool to ensure alignment of strategy, minimize duplication, and maximize synergy**



[24] Office of the Secretary of Defense, Joint Staff, Department of State, and Agency for International Development briefings for House Armed Services Committee and House Committee on Foreign Affairs staff, January 10-11, 2008. Dollar amounts have been deleted.

As of August 2007, the United States was spending approximately $20.0 million per year per PRT in Afghanistan. The subcommittee could not find this type of data for Iraq. The lack of clear cost data, measurable objectives, and a specific PRT strategy limited the subcommittee's goal of assessing the value of U.S. resources invested in PRTs. The U.S. Government Accountability Office (GAO) has recommended increased congressional oversight of funds used by PRTs, and the subcommittee has requested that GAO produce a study of PRT cost data.[25]

Mike Stevens, Baghdad-7 e-PRT agricultural advisor, shakes hands with Sayifiyah, Iraq, landowners as he distributes seeds after their third farmers union meeting Feb. 28, 2008, at Patrol Base Whitehouse. (*Army Photo/ Sgt. Kevin Stabinsky)*

[25] GAO-07-801, *Securing, Stabilizing, and Reconstructing Afghanistan: Key Issues for Congressional Oversight*, The United States Government Accountability Office, May 2007, p. 22.

STAFFING: WHO ARE THESE PEOPLE?

Selection, skill sets (including language and cultural familiarity), and training of PRT personnel continue to be problematic.

> The cultural barriers between the military, DOS and other civilian agencies seem more striking than those between the US and Iraqis to me. We *say* the right things about breaking out of stovepipes, but our comfort level tends to put us right back in the mindset, language (each has its own set of acronyms) and ways of doing business.
>
> *Sharon Williams*
> *USDA civilian employee*
> *Served in Afghanistan & Iraq, 2006-2008*

> I certainly can't speak to the DOS side, but DOD, could really make a huge contribution if they took the time to properly [staff PRTs] and conduct biography reviews to select the appropriate individuals.
>
> *Soldier serving on Iraq PRT*
> *2007-2008*

Finding qualified individuals with applicable skills and experience poses a significant challenge to staffing PRTs. Civilian agencies have not had capacity to surge to fill the increased number of PRTs in Iraq or the few civilian PRT positions in Afghanistan, and they may not have the rotational base to continue staffing these teams into the future. The Department of Defense has provided the vast majority of PRT personnel, including both civilian and military members, but it has had challenges providing personnel with appropriate skills. In other cases, civilian contractors have been hired to fill gaps.

Progress toward a long-term solution for a "whole of government" approach to stabilization and reconstruction contingencies may lie in the proposed Civilian Stabilization Initiative (CSI), led by the DOS Coordinator for Reconstruction and Stabilization. This initiative would establish active, standby, and reserve corps to provide a civilian rapid response capability similar to that of a PRT. Like the military reserve, this civilian reserve would provide a pool of personnel with specific skills to deploy to meet the particular requirements of a contingency. Currently, the Department of State is not adequately resourced for this initiative, and it lacks congressional authorization to establish the civilian reserve corps. The House has acted to authorize a civilian reserve corps and passed H.R. 1084, "The Reconstruction and Stabilization Civilian Management Act," but the measure has not been taken up yet in the Senate. Within the military, civil affairs skills appear to be the most relevant. However, PRT military commanders and personnel have, by and large, not received civil affairs training.

Beyond staffing challenges, military and civilian training for personnel serving on PRTs evolved in an *ad hoc* manner over time. Two distinct types of training are now used for U.S.-led PRTs, depending on whether the PRT will serve in Afghanistan or Iraq. A third type of training is conducted at Oberammergau, Germany for coalition-led PRTs in Afghanistan.

EFFECTIVENESS: WHAT DOES SUCCESS LOOK LIKE?

Metrics do not exist for determining if PRTs are succeeding in supporting counterinsurgency or stability and reconstruction missions. This also means that we cannot know if PRTs are the best approach to use for stability and reconstruction operations.

I would say that there isn't a one-size-fits-all standard series of metrics at this point for PRTs in Afghanistan.

Mitchell Shivers
Deputy Assistant Secretary of Defense, Central Asia Affairs
HASC Oversight and Investigations Hearing
October 4, 2007

How to evaluate the PRTs and their effectiveness is a difficult issue. We don't have a standard set of metrics yet.

Major General Bobby Wilkes
Deputy Director, Politico-Military Affairs for Asia, Joint Staff
HASC Oversight and Investigations Hearing
October 4, 2007

Without agreed objectives, it's difficult to judge effectiveness. There is need for a separate, agreed [upon] set of objectives for PRTs and an agreed [upon] set of measurements for measuring their performance. Absent a means of determining whether PRTs are effective, it's difficult to determine whether alternative mechanisms might better achieve our purposes.

Robert Perito
United States Institute of Peace
HASC Oversight and Investigations Hearing
October 18, 2007

… in regards [to] how are you going to know you're ultimately successful? It's when we close that PRT, PST or e-PRT down because the local people are doing the jobs for themselves…But to your point on the metric, the ultimate metric is when there's no longer a need for that PRT.

Mark Kimmitt
Deputy Assistant Secretary of Defense, Middle East and South Asian Affairs
HASC Oversight and Investigations Hearing
October 4, 2007

Neither the Department of Defense nor the Department of State adopted an "ends, ways, and means" approach to determine and measure PRTs' progress and their alignment with operational and strategic goals. Nor have they adopted a performance monitoring system to provide an assessment tool that can measure the PRTs' effectiveness and performance and their progress in meeting milestones for clearly defined objectives.

There are no standard metrics by which PRTs are judged. Metrics that have been used have not been effective in measuring mission accomplishment or support to a national or theater strategy. Some data has been gathered on the location, staffing, resources, and other specifics about PRTs, but there is no comprehensive collection of this type of data for all PRTs. In addition, some outputs have been measured, such as the amount of funds spent or number of schools built, but this output data does not give planners and strategists a true sense of PRT impact. We understand that effects are not easily measured and that assessments of PRTs will be more subjective than quantitative. Still, decision makers must be able to judge the relative merit of actions taken. They must be able to judge effectiveness against a strategy in order to adapt plans to changing conditions on the ground. Interagency leaders and those who direct the PRT effort must engage in the *art* of measuring, even if one can argue that such a *science* does not exist. Instead, the departments and agencies are left with a variety of unofficial, anecdotal measures—from the ability of local and provincial governments to obtain and obligate funds, to the number of projects completed in an area, to levels of violence, to whether or not local nationals wave at U.S. personnel when they drive through a neighborhood.

The subcommittee disagrees with those who suggest that the only metric for success of the PRTs is when they are no longer needed, and we welcome recent efforts to assess how well or poorly these units are meeting goals and objectives that support national and theater strategies. Although it appears that little was done related to Baghdad Embassy Cable 4045 direction to design and collect PRT metrics from 2006 until late 2007, Phyllis Powers, the new Director of the Office of Provincial Affairs in Iraq, has recently tasked all Iraq PRTs (including coalition PRTs) to complete their workplans and to begin to measure performance against a development "maturity model," which is a structured collection of elements that describe certain aspects of maturity in developing states. A maturity model can be used as a benchmark for assessing different provinces for equivalent comparison. The goal was to have an initial set of yardsticks in place before the April 2008 Ambassador Crocker testimony to Congress. In addition, the Department of State Office of the Coordinator for Reconstruction and Stabilization has visited a number of PRTs in Iraq and Afghanistan. In Afghanistan, S/CRS representatives have been coaching and mentoring leadership teams on how to set appropriate measures of effectiveness. Finally, the Foreign Service Institute has invited S/CRS to present lessons

Soldiers from 1st Platoon, 76th Engineer Company, Fort Knox, KY, build a hut in Jalalabad, Afghanistan. *(Army photo)*

on designing effective metrics for stability and reconstruction operations. The subcommittee does recognize these efforts as progress. We further recognize that the Office of Provincial Affairs, despite experiencing turmoil as the result of a rapid turnover in leadership in its first few months, is now led by a director who has made a two-year commitment to the effort. In addition, the Office of Provincial Affairs is actively recruiting for strategic planners whose job it will be to coordinate strategic direction of the PRT program with Multi-National Force - Iraq, Multi-National Corps - Iraq, and the Department of State, and ensure that the PRT mission, objectives, and transition strategy are aligned with and supported by military planning.[26]

The bottom line, however, is that until PRTs receive consistent and clear direction from higher headquarters, they will not be able to maximize their efforts or judge their success. In this environment, resources cannot be programmed or applied effectively. The heroic tactical work being done by PRTs will go for naught without more coherent strategic and operational level guidance and oversight. In the absence of such guidance and oversight, resources, instead of supporting strategic agility, may be poorly prioritized and coordinated and, in some cases, squandered.

A teacher and his students sit in an outdoor classroom in the village of Alikheyl, Mehtar Lam District, Laghman Province, Afghanistan, February 2007. *(Air Force Photo/Capt. Gerardo Gonzalez)*

[26] International Resources Group Announcement, http://www.IRGLTD.COM/Contacts/recruitment.htm#iraq_sp. Accessed March 24, 2008.

INTERNATIONAL PARTNERS: ARE WE ALONE?

Coordination with PRT partners, particularly in Afghanistan, is haphazard and problematic. Differing national capabilities and priorities contribute to uncertainty in the PRT effort.

> There is no agreement…between the U.S. and its allies on how PRTs should be organized [or] conduct operations, or what they should accomplish.
>
> *Robert Perito*
> *United States Institute of Peace*
> *HASC Oversight and Investigations Hearing*
> *October 18, 2007*

> Because PRTs fall under NATO direction, extensive coordination and consensus between allies is required to foster unity of effort.…Different countries inherently have different capabilities and resources at their disposal, and some must rely on other, more capable allies for assistance in establishing and operating PRTs.
>
> *Mitchell Shivers*
> *Deputy Assistant Secretary of Defense, Central Asia Affairs*
> *HASC Oversight and Investigations Hearing*
> *October 4, 2007*

> Domestic political constraints and priorities in the capitals of PRT-contributing countries are often directly translated into a PRT's operational priorities. This diversity in field operations can negatively impact unity of effort and purpose across PRTs and creates the challenge of reconciling various PRT models in a multinational context…Politics aside, different countries' capacities may make such variety necessary.
>
> *"Provincial Reconstruction Teams: Lessons and Recommendations"*
> *The Woodrow Wilson School, Princeton University*
> *January 2008*

The United States does not have a monopoly on PRT activity in either Afghanistan or Iraq. In Iraq, coalition partners, the British, Italians and Koreans, run their own PRTs. In Afghanistan, more than half of the PRTs are run by NATO/ISAF nations, including Turkey, Germany, Norway, Sweden, Hungary, Spain, Italy, Lithuania, Canada, United Kingdom, the Netherlands, and the Czech Republic. In many cases, these coalition PRTs operate in a more permissive security environment and, accordingly, can often focus more on development work with non-governmental organizations and private sector partners. Their mandates

typically focus on training and empowering local officials (capacity building) and building intra-governmental ties to Kabul.

These coalition-led PRTs sometimes communicate with U.S.-led PRTs, sharing information, best practices, and goals. Communication is somewhat more structured in Afghanistan under ISAF, but overall there is no formal process in place that causes the PRTs to communicate with one another. U.S. representatives are embedded in almost all coalition PRTs as liaisons to facilitate a two-way flow of information and coordination. Partner PRT representatives are sometimes included in conferences, video discussions, and email exchanges, but their experiences and perspectives rarely appear to be factored into U.S. decision-making. Some American PRT representatives heading to Afghanistan as part of a coalition-led PRT may attend a week of training in Germany with their partner counterparts. The resulting personal connections contribute to better communications and coordination. This should be required training for U.S. personnel serving with coalition-led PRTs.

Coalition partner PRTs have several major drawbacks for which the U.S. has had to compensate. Many of them are severely under-resourced, without access to funding streams such as CERP. For example, the Korean-run PRT in Irbil, Iraq has engaged with local officials, but is unable to provide significant resources to back up that engagement with real projects and programs. Others are able to provide varying levels of security and logistics support to their PRTs; few have a direct link to combat or security forces. While the Lithuanians in Afghanistan have provided a security force of approximately 125 military personnel, they rely on U.S. logistics and have no direct link to larger combat forces. On the other hand, Italy's PRT in Iraq and New Zealand's PRT in Afghanistan have been cited as models from which the United States could learn.

Sgt. Amanda Timmer of the Wasit PRT in Iraq talks with students at the Kut Girls Secondary School after the ribbon-cutting ceremony for a new Internet center March 10, 2008. The center features 10 new computers and furniture. (*Army Photo/ Sgt. 1st Class Stacy Niles)*

FINDINGS AND RECOMMENDATIONS

INTRODUCTION

This section of the report takes the information the subcommittee obtained and organizes that information into a series of findings and recommendations. Each of these sections begins with a brief recap of the relevant background material that informs the findings and recommendations within those sections. The findings and recommendations are made from three different perspectives, which are broken into three sections:

(1) "Provincial Reconstruction Teams at the Tactical and Field Level"
(2) "Stability, Security, Transition, and Reconstruction – Policy and Guidance for PRTs from the Combatant Commands and Operational Level; and the services' and agencies' "Organize, Train, and Equip" Mission"
(3) "DOD Directive 3000.05 and National Security Presidential Directive 44 – Policy and Guidance at the National Level."

There is a sense that PRTs are having some success connecting with their local counterparts. However, they are bound by the limits of their expertise and the support they receive from related military units, embassy country teams, and agencies in Washington. Our findings and recommendations are meant to outline persistent challenges and ensure that the people who do this difficult and dangerous mission have the tools and resources they need and should have.

PROVINCIAL RECONSTRUCTION TEAMS AT THE TACTICAL/FIELD LEVEL

Provincial Reconstruction Teams must have clear objectives against which to measure success or from which to identify alternate ways and means for achieving success. They must have a clear, unified chain of command to achieve unity of effort. They must have the right resources both in terms of funding and in terms of qualified personnel. Funding streams must make sense so they can be coordinated and deconflicted. Senior military and civilian leaders in Iraq and Afghanistan must also develop an idea of what PRTs will become as coalition forces transition from military combat and counterinsurgency missions to overwatch missions. Ultimately, the United States must define the conditions under which PRTs are no longer needed and more traditional diplomatic and development platforms can be used.

As mentioned above, the subcommittee was not surprised that PRTs were begun in an *ad hoc* manner. However, we were amazed that, after five years, the PRT mission has not been

more clearly defined, specifically regarding how they support U.S. and coalition strategies in Iraq and Afghanistan and support the host nations' development plans. As part of Section 1230 of the National Defense Authorization Act for Fiscal Year 2008 (Public Law 110-181), the President, acting through the Secretary of Defense, must report on the long-term strategy, mission, and objectives for each U.S.-led PRT in Afghanistan. The President's first report under this requirement is not due until the end of April 2008. Other reports such as the Section 1227 Report on Iraq (Section 1227(c) of the National Defense Authorization Act for Fiscal Year 2006 (Public Law 109-163)) and the Section 9010 Measuring Stability and Security in Iraq (Section 9010 of the Department of Defense Appropriations Act for Fiscal Year 2007 (Public Law 109-289)) require information to be reported to Congress. However, there is currently no statutory obligation to report on PRT strategies, work plans, or measures of effectiveness. None have been initiated by DOD in the absence of legislation.

The subcommittee recognizes that the Office of Provincial Affairs has directed all Iraq PRTs to provide work plans with metrics based on a development "maturity model," and we hope this effort will be both successful and sustained. However, we are not yet optimistic given how long this has taken and how much resistance there seems to be in some quarters to even the idea of "metrics" or "measures of effectiveness" for this mission. The subcommittee also recognizes that the Department of State Office of the Coordinator for Reconstruction and Stabilization (S/CRS) has visited some of the PRTs in Afghanistan to coach them on establishing measures of performance. Again, while we are reserved in our optimism, we are hopeful that leaders there are making headway.

"Unity of command" is an age-old principle of leadership and management that marries accountability and responsibility and provides personnel in the field clear guidance and direction. In 2003, Lieutenant General Barno and Ambassador Khalilzad in Afghanistan worked very well together. Similarly, today in Iraq, General Petraeus and Ambassador Crocker have collaborated closely. However, while "personalities matter," the nation's security should not have to rely on having compatible personalities to successfully carry out the mission. While senior leaders should get along in the interest of the mission, history is replete with examples where they have not. Rather than depending exclusively on personalities for success, the right interagency structures and processes need to be in place and working. As the 9/11 Commission recognized, "Good people can overcome bad structures. They should not have to."[27]

There is also no "unity of funding." Instead there is a confusing array of "pots of money" with differing authorities and limitations. Although there is a significant amount of U.S. Agency for International Development (USAID) directed funds and other organizations like the U.S. Army Corps of Engineers, brigade combat teams (BCTs), and regimental combat teams (RCTs) have access to "reconstruction" money, the stream of money most often mentioned in conjunction with PRTs is the Commanders' Emergency Response Program (CERP) fund. Not all CERP funds are spent by PRTs, but much of what the PRTs readily have at their disposal seems to be CERP.

[27] *The 9/11 Commission Report: Final Report of the National Commission on Terrorist Attacks Upon the United States.* W.W. Norton and Company, New York, 2004, p. 399.

Section 1202 of the National Defense Authorization Act (NDAA) for Fiscal Year 2006 (Public Law 109-163) defined CERP as the program established by the Administrator of the Coalition Provisional Authority to enable U.S. military commanders in Iraq to respond to urgent humanitarian relief and reconstruction requirements within their areas of responsibility by carrying out programs that would immediately assist the Iraqi people. Department of Defense (DOD) guidance provides that CERP funds cannot be used for, among other things, providing goods, services, or funds to national armies, national guard forces, border security forces, civil defense forces, infrastructure protection forces, highway patrol units, police, special police, or intelligence or other security forces. Congress does not authorize CERP funding for Iraq and Afghanistan separately. The National Defense Authorization Act for Fiscal Year 2008 (Public Law 110-181) authorized $977.4 million to be used in Iraq and Afghanistan for CERP during each of fiscal years 2008 and 2009. The law also extends the authority provided in 2006 NDAA for CERP. The 2008 NDAA CERP, consistent with the fiscal year 2006 authorization, is intended to provide commanders in Iraq and Afghanistan funds for use in small humanitarian and reconstruction projects in their area of responsibility that provide immediate assistance to the local population.

During the course of our investigation, we became convinced, as Secretary of Defense Robert Gates has often articulated, the civilian agencies of the federal government need more expeditionary capacity. In a speech last year at Kansas State University, Secretary Gates argued:

> What is clear to me is that there is a need for a dramatic increase in spending on the civilian instruments of national security – diplomacy, strategic communications, foreign assistance, civic action, and economic reconstruction and development. Secretary Rice addressed this need in a speech at Georgetown University nearly two years ago. We must focus our energies beyond the guns and steel of the military, beyond just our brave soldiers, sailors, Marines, and airmen. We must also focus our energies on the other elements of national power that will be so crucial in the coming years.[28]

The federal government also needs a viable structure to manage that capacity. For that reason, the subcommittee supports funds for adding Foreign Service Officers and civil servants to the Department of State's Coordinator for Reconstruction and Stability office and to its efforts in the field. The latter is now known as the Civilian Stabilization Initiative.[29]

Finally, we need to know how PRTs will transition as security conditions and our military posture change. At the moment, this is more pressing in Iraq. At least nine Iraqi provinces have already transitioned to Provincial Iraqi Control (PIC). The United Nations presence will grow even as UN Security Resolution 1790, which provides the legal foundation for the Multi-National Force-Iraq presence in Iraq, expires on December 31, 2008. No one could tell us definitively what will happen to PRTs or the requirement for military support to PRTs once Provincial Iraqi Control occurs. In the meantime, U.S. and Iraqi leaders are

[28] The Honorable Robert M. Gates, Landon Lecture at Kansas State University, November 26, 2007.
[29] H.R. 1084, "The Reconstruction and Stabilization Civilian Management Act," was passed by the U.S. House of Representatives by voice vote. The measure has not been taken up in the Senate because an individual Senator has a hold on it.

designing a "strategic framework" and seek to conclude a Status of Forces Agreement and a diplomatic presence agreement. All of these activities and plans must take into account some transition in the composition and mission of the various kinds of PRTs, or the completion of their mission.

PROVINCIAL RECONSTRUCTION TEAM STRATEGIES AND EFFECTIVE, MEASURABLE PLANS AND MILESTONES

Findings:

(1) Section 1230 of the National Defense Authorization Act for Fiscal Year 2008 (Public Law 110-181) requires the President, acting through the Secretary of Defense, to report, among other things, on the long term strategy, mission, and objectives for each United States-led Provincial Reconstruction Team in Afghanistan; the first report is due at the end of April 2008. However, neither the Department of Defense nor the Department of State has yet established a PRT strategy in Afghanistan or Iraq.

(2) Neither the Department of Defense nor the Department of State adopted an "ends, ways, and means" approach to determine and measure Provincial Reconstruction Teams' progress and their alignment with operational and strategic goals; nor have they adopted a performance monitoring system that measures the PRTs' effectiveness, and progress in meeting clearly defined objectives.

(3) Provincial Reconstruction Team tactical and operational objectives should be aligned with coalition operational and strategic goals and host nation development plans to ensure unity of effort.

(4) Neither the Department of Defense nor the Department of State can provide basic information about what each Provincial Reconstruction Team is attempting to do or what progress PRTs are making individually or collectively.

(5) The Department of Defense and the Department of State have not established clearly defined Provincial Reconstruction Team goals and milestones for achieving set objectives.

(6) Neither the Department of Defense nor the Department of State set measures of effectiveness or measures of performance to assess the immediate, short-term, or longer-term impacts of Provincial Reconstruction Team activities.

(7) The Department of Defense and the Department of State have only recently begun, and have yet to complete, plans to transition the Provincial Reconstruction Team mission in Iraq to more traditional diplomatic and development efforts.

Recommendation:

The Departments of Defense and State should adopt a Provincial Reconstruction Team strategy (using an "ends, ways, and means") approach to determine and measure PRTs' progress, and to determine whether the PRT activities align with overall operational and strategic goals. The Departments of Defense and State should also adopt a performance monitoring system that measures the PRTs' effectiveness and performance and their progress in meeting milestones for clearly defined objectives, including milestones for the eventual transition of the PRT mission to more traditional diplomatic and development efforts.

PROVINCIAL RECONSTRUCTION TEAM (AND STABILIZATION AND RECONSTRUCTION) INTERAGENCY UNITY OF COMMAND

Findings:

(1) Neither the stabilization and reconstruction activities, nor the civilian and military personnel serving on Provincial Reconstruction Teams in Afghanistan and Iraq, enjoy unity of command. This shortcoming inhibits unity of effort, which can result in uncoordinated, and even counterproductive, outcomes.

(2) Rather than having unity of command, PRTs in both Iraq and Afghanistan operate under complicated, disjointed and, at times, unclear chain(s) of command and receive direction from multiple sources.

Recommendation:

The Departments of Defense and State should unify leadership and command of Provincial Reconstruction Teams to match accountability with authority and to ensure unity of effort.

USE OF THE COMMANDERS' EMERGENCY RESPONSE PROGRAM (CERP) FUNDS IN IRAQ AND AFGHANISTAN

Findings:

(1) The demand for Commanders' Emergency Response Program funds in Afghanistan is rising. Reasons for this increased demand include: increased military presence and activity in southern Afghanistan; expanded work and funding needs of Provincial

Reconstruction Teams in Afghanistan; and, limited Afghan infrastructure and Afghan funding for reconstruction and development.

(2) The demand for Commanders' Emergency Response Program funds in Iraq should be decreasing. Reasons for a decrease include: growing Government of Iraq revenue and budgets; improved Iraqi infrastructure and basic services; and U.S. PRT guidance that directs PRTs to accomplish objectives without, or with minimal use of, U.S. funds. As governance and economic growth improve in Iraq, there is a requirement for more human (and more skilled human) capital that can improve Iraq's government processes and project management.

(3) The reasons for the increase in Commanders' Emergency Response Program obligations in Iraq in fiscal year 2007 are unclear, but could reflect the use of CERP for counterinsurgency operations with a broader focus than urgent humanitarian relief and reconstruction.

(4) The Department of Defense requested $1.2 billion in Commanders' Emergency Response Program funding for fiscal year 2008, and is expected to further increase its request pending the completion of supplemental appropriations for fiscal year 2008. How this funding will be allocated between Iraq and Afghanistan to meet the respective needs of each country is unclear.

Recommendations:

(1) The Secretary of Defense, in coordination with the Secretary of State, should report to Congress on the current and planned allocation of Commanders' Emergency Response Program (CERP) funding between Afghanistan and Iraq, and whether current policy for the allocation and use of CERP reflects:

a. the need to encourage the Government of Iraq to assume responsibility for funding reconstruction and development projects;
b. the evolving use of CERP in Iraq as part of the counterinsurgency; and
c. the growing need for CERP funding in Afghanistan and the Government of Afghanistan's inability to fund reconstruction and development projects itself.

(2) The U.S. Government Accountability Office should conduct a study and report to Congress on all funding for Provincial Reconstruction Teams including both PRT and non-PRT Commanders' Emergency Response Program, and other sources of funding, so that Congress can ascertain how much is spent per PRT per year. This assessment, along with measurable PRT objectives, will allow for a better understanding of the value of PRTs as a stabilization and reconstruction mechanism. GAO's analysis can inform decisions on how best to consolidate and distribute funding for the PRT missions in Iraq and Afghanistan.

IRAQ PROVINCIAL RECONSTRUCTION TEAMS AFTER PROVINCIAL IRAQI CONTROL AND THE EXPIRATION OF UNITED NATIONS SECURITY COUNCIL RESOLUTION 1790

Findings:

(1) When a province transitions to Provincial Iraqi Control, U.S. military presence is usually reduced and units move to a posture of operational overwatch.

(2) The United States and the Islamic Republic of Iraq are negotiating a strategic framework agreement to provide the requisite authorities for U.S. presence in Iraq subsequent to the expiration of United National Security Council Resolution 1790 on December 31, 2008.

(3) As the security situation in Iraq improves and the U.S. moves from a United Nations Security Council Resolution mandate to a strategic framework agreement, U.S. military presence in Iraq will likely decline and the work of Provincial Reconstruction Teams, with their focus on governance and economic development, will take on greater importance.

(4) It remains unclear:
   a. whether embedded Provincial Reconstruction Teams whose brigade combat teams or regimental combat teams redeploy will remain in place;
   b. whether PRTs operating in a province under Provincial Iraqi Control will be able to carry out their objectives, and whether they will continue to need significant coalition military support; and
   c. whether all or some of the PRTs will remain in place when a strategic framework agreement takes effect.

Recommendations:

(1) The Secretaries of Defense and State should notify Congress when they disband a PRT or e-PRT, or merge any combination of PRTs or e-PRTs in Iraq.

(2) The Secretaries of Defense and State should report to Congress on:
   a. how the United States provides for the security and support of PRTs, e-PRTs, and similar units operating in provinces under Provincial Iraqi Control; and
   b. how the United States will provide for the security and support of PRTs, e-PRTs, and similar units, subsequent to the expiration of United Nations Security Council Resolution 1790.

STABILITY, SECURITY, TRANSITION, AND RECONSTRUCTION – POLICY AND GUIDANCE FOR PRTS FROM THE COMBATANT COMMANDS AND OPERATIONAL LEVEL; AND THE SERVICES' AND AGENCIES' ORGANIZE, TRAIN, AND EQUIP MISSION

As mentioned above, Provincial Reconstruction Teams in the field need the proper resources, both fiscal and human, to accomplish their mission. The combatant commands, military services, and government agencies all play a part in supporting field operations by:

- giving policy guidance and setting requirements;
- hiring and selecting the people with the appropriate mix of skills for deployment within a PRT, as well as sustaining those professionals with viable career tracks;
- training and equipping the people sent into harm's way;
- ensuring that experience in the field is incorporated as lessons learned; and
- formulating appropriate integrated strategies and plans for their operations.

There is some overarching guidance. National Security Presidential Directive-44 (NSPD-44) states that the Secretary of State shall lead the U.S. Government development of a strong civilian response capability including necessary surge capabilities and analyze, formulate, and recommend additional authorities, mechanisms, and resources needed to ensure that the United States has the civilian reserve and response capabilities necessary for stabilization and reconstruction activities to respond quickly and effectively. DOD Directive (DODD) 3000.05 states that the Department will continue to lead and support the development of military-civilian teams for stability operations. The Under Secretary of Defense for Personnel and Readiness has directed that an inventory of civilian skills for deployment be established and maintained and that DOD civilians be increasingly prepared to deploy.[30] The Army Action Plan for Stability Operations and the February 2008 Army Field Manual 3-0 (FM 3-0) *Operations* envision the military and civilian components of the Army being capable of conducting stability operations as an integrated element of full spectrum operations.[31] The Army Action Plan also envisions that personnel with stability operations-related skills will be adequately allocated and resourced. Yet, the entire system and all the agencies are falling short in meeting this guidance and these visions.

How do we get there from here? First, we repeat our support for building capacity within the civilian agencies to ensure that civilian skill sets and resources are available and properly applied to stability operations. The subcommittee recognizes that the military has taken on too much of this mission because civilian agencies have not had expeditionary missions, resources, or cultures. Increasing the numbers, availability, and deployability of non-DOD civilians, however, will not be enough.

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[30] "Building Increased Civilian Deployment Capacity," Under Secretary of Defense for Personnel and Readiness Memorandum, February 12, 2008.

[31] See also "Transition Team (TT) and Provincial Reconstruction Team (PRT) Enduring Training Capabilities," U.S. Army Deputy Chief of Staff, G-3/5/7 Memorandum, July 10, 2007.

Whether military or civilian, selecting qualified personnel, supporting them, and rewarding them properly is critical. Because not enough people with the appropriate skills and experience have been available, PRT positions have too often been filled by personnel who happen to be available or who volunteer. The subcommittee's PRT surveys show that some military and non-military personnel did not so much willingly volunteer, as were volunteered by their organizations, in spite of lack of skills and experience. This practice, however necessary, obviously causes morale, mission, and other problems. Many of the skill sets required for stability and reconstruction operations do not currently exist in our government agencies. The government has had to hire from the private sector or establish new recruiting and training programs. Despite the recognition that there is a dire need, no organization yet has the ability to identify systematically or formally its few personnel who may have the requisite skills, training, or experience either in their private or professional capacity. Some have started to gather this information. However, the subcommittee found no plans to ensure that agencies are establishing new recruiting philosophies and processes, or that people now serving will have special experience identifiers in their records for future assignment and promotion purposes. Finally, we have only guarded optimism that the departments will follow through on their stated intention to recognize and promote otherwise deserving PRT members with their peers who have served in more traditional assignments.

Civil Affairs (CA) soldiers are one group of military personnel in general purpose forces (GPF) who already possess some of the needed stability and reconstruction skills, but there are not nearly enough of them to staff an enduring mission. CA units' operations and training should inform efforts related to PRTs. While the services do not have enough CA personnel to fully man all PRTs, the subcommittee found that CA personnel were recruited into some PRTs or have served with them. Although the curriculum for CA training and Army PRT training at Fort Bragg were essentially alike, no one attempted to match the two.

In 2006, the Department of Defense directed the realignment of operational command and control of the bulk of the Army's CA units from the U.S. Army Special Operations Command to the U.S. Army Reserve Command (USARC). This transfer essentially divided the active duty CA units from the reserve component units, which are the vast majority of CA units. The units transferred to the USARC are now part of the GPF and are intended to support other GPF units. The units retained by the U.S. Army Special Operations Command support Special Forces units. The U.S. Army Special Operations Command retains proponency for all CA units, including doctrine, combat development, and institutional training for both the active and reserve component CA units, notwithstanding the division in their command and control.

A DOS representative USAF Lt. Col. Brad Bredenkamp, PRT commander, speak with villagers in Alingar District of Laghman Province, Afghanistan, about supporting the Afghan government, Aug. 2006. *(Air Force Photo/Capt. Gerardo Gonzalez)*

The Department programmed an increase in the CA force from 64 reserve companies in fiscal year 2007 to a total of 112 in fiscal year 2011. The number of active component CA companies will grow from 6 in fiscal year 2006 to 16 in fiscal year 2009. Now is the time to rationalize the relationship between Civil Affairs and PRT or PRT-like efforts.

By now most non-CA organizations involved in staffing PRTs have begun to understand the importance of specific training for these missions. Training for military personnel and civilians has improved since 2003 when there was essentially no specific reconstruction and stability training. Nevertheless this training must still be rationalized and improved. Organizations should not standardize for standardization's sake. There are benefits to making Iraq and Afghanistan (and civilian and military training) more similar, and joining training efforts together to a greater extent would help both the people and their missions.

Training is the keystone of the PRT effort. For U.S-led PRTs in Afghanistan, the Army conducts training for Army, Navy, and Air Force personnel (active duty, guard, and reserve) at Fort Bragg. PRT commanders and the PRT's senior military staff receive theater-specific and mission-specific classroom training for a period of three weeks before their teams arrive for more general pre-deployment training, which is a combination of classroom education and field training. Field training resembles that for all military personnel deploying to theater. Several weeks later, the interagency civilian personnel arrive at Fort Bragg for three weeks of classroom education and field training focused mostly on survival skills and on participating in the final mission rehearsal exercise. PRTs are not included in National Training Center or Joint Readiness Training Center Brigade mission rehearsal exercises for maneuver units.

In addition to the training at Fort Bragg, most of the 2008 PRT military commanders traveled to Afghanistan to conduct pre-deployment site surveys and meet with the commanders they would be replacing. The Air Force PRT commanders were also able to attend the final pre-deployment mission rehearsal exercise at Fort Campbell for the division headquarters (101st Airborne Division) under whose command they will operate. The interagency civilian PRT members did not participate in these pre-deployment activities.

There is no PRT-specific training for military personnel going to Iraq. However, contract role players assuming the role of PRTs are used in pre-deployment exercises at combat training centers to familiarize maneuver unit commanders and personnel with the PRT concept. The purpose of this is to emphasize to the maneuver unit commanders that they must coordinate their efforts with PRTs. Interagency personnel have recently begun to participate in the design of these role playing scenarios. Military personnel deployed as individual augmentees and DOD civilians and contractors receive pre-deployment training at the Combat Readiness Center at Fort Benning, but this training is not PRT-mission specific. These personnel receive further force protection orientation in Kuwait and Iraq.

The Department of State developed and offers PRT-related classroom training at the Foreign Service Institute (FSI). The training is currently optional for the DOS personnel who will serve on PRTs. However, the current Director of the Office of Provincial Affairs told the subcommittee that she will not accept DOS personnel who have not attended the classroom

training for an Iraq PRT.[32] In addition, at least one Marine Corps RCT sent personnel to help mentor the civilians training at FSI and to meet the civilian PRT personnel that would embed with the regiment when it deployed. However, this was the result of individual initiative, not requirement.

Foreign Service Institute courses are open to DOD and other agency personnel, but there is no certainty that the right people know about the training or attend. Although the training is Iraq-oriented, DOS Afghanistan PRT members can attend the FSI courses as well. There is no pre-deployment field training in the United States for civilians serving on Iraq PRTs. Once in theater, the PRT civilians receive force protection training, but the training does not relate to the PRT mission.

One thing that could significantly improve training and mission accomplishment would be an integrated, comprehensive institutionalization of the single-agency and multi-agency lessons learned processes that are currently conducted, but are disjointed. Effective guidance and sharing of lessons learned are key tools to institutionalize, and they facilitate efficient operations and training. Failure to utilize these lessons heightens the risk of repeating past mistakes and hampers an ability to build on the efficiencies others have developed during past operations. The Departments of Defense and State have not established a comprehensive or methodical interagency framework or process for capturing, assessing, and applying lessons learned from Provincial Reconstruction Teams to future stability, security, transition, and reconstruction (SSTR) operations or training.

It is not enough to have qualified and trained personnel perform the necessary missions. The United States must plan in advance for how these valuable human resources will be used. While advances in planning have been made in the field, multi-national and interagency planning for the PRT mission leaves much to be desired. In fact, there are policy barriers to effective interagency planning for missions across the spectrum of peace and conflict. This is the crux of the interagency planning challenge for these operations. National Security Presidential Directive-44 (NSPD-44) makes the Secretary of State responsible for coordinating the "interagency processes to identify states at risk of instability, lead interagency planning to prevent or mitigate conflict, and develop detailed contingency plans for integrated U.S. Government reconstruction and stabilization efforts for those states and regions and for widely applicable scenarios, which are integrated with military contingency plans, where appropriate." NSPD-44 calls upon the Secretaries of State and Defense to "integrate stabilization and reconstruction contingency plans with military contingency plans when relevant and appropriate."

The May 2006 *Building Partnership Capacity Quadrennial Defense Review Execution Roadmap* directed the Under Secretary of Defense for Policy, in coordination with the Chairman of the Joint Chiefs of Staff, to provide the Deputy Secretary of Defense with a plan of action for integrating interagency participation in DOD planning by July 31, 2006. In his January 25, 2008 letter to the Chairman of the House Armed Services Committee, the Deputy Secretary of Defense reported that while progress had been made, the actions called for in the *Roadmap* were not yet complete.

[32] Office of Provincial Affairs briefing to House Armed Services Subcommittee on Oversight and Investigations and House Committee on Foreign Affairs staff, January 16, 2008.

The *Roadmap* also directed the U.S. Joint Forces Command (JFCOM) to provide the Department with a plan of action for integrating interagency planning at the combatant command, joint task force, and major subordinate command levels. JFCOM developed a draft concept of operations to improve interagency planning but the Under Secretary of Defense for Policy "has declined to take further action on it."[33]

Coordination is necessary, but not sufficient. While we know that many people in many places are trying to make improvements to interagency planning and operations throughout the government, without direct Presidential involvement, these efforts are not enough. Action is needed. At the end of the day, someone has to be in charge. The subcommittee found a lack of unity of direction and "unity of command." This results in a lack of unity of purpose. Among the efforts at staffing, training, applying lessons learned, and planning, there is no one person or organization in the lead for the "whole of government". When "no further action" is taken, but the mission is not complete, someone must step up to lead. That leader must be empowered to direct the "whole of government" PRT, and larger, stabilization and reconstruction efforts.

CAPT Brian Rick, a doctor from the Herat PRT, performs medical exams for children in Saghar, Afghanistan. *Army photo/Sgt. Jeremy A. Clawson.*

[33] Joint Forces Command briefing and point papers for House Armed Services Subcommittee on Oversight and Investigations staff, February 15, 2008.

SELECTION, INCENTIVES, AND RECOGNITION FOR MILITARY AND CIVILIAN PROVINCIAL RECONSTRUCTION TEAM PERSONNEL

Findings:

(1) The Provincial Reconstruction Team experience in Afghanistan and Iraq demonstrates that when there is inadequate non-DOD civilian capacity to deploy for post-conflict stabilization and reconstruction operations, military and DOD civilian personnel will be employed to carry out stability operations even if they do not possess the requisite skills, technical expertise, or training. Over time, the Department of Defense has made an attempt to consider the civilian skills of military personnel when placing them in these assignments.

(2) Individual reserve component units informally keep track of civilian skills and experience, but there is no institutional requirement or formal means of doing so.

(3) Currently, there are no special skills identifiers for military or DOD civilian personnel for Provincial Reconstruction Team assignments, nor is there any formal means to track military or civilian personnel with PRT experience.

(4) Although there is no career track or special experience identifier in the military services for stability operations, the services understand that assignment with, and command of, Provincial Reconstruction Teams must be incentivized and valued.

(5) Currently, there is no career track in the Department of State or other departments and agencies for personnel assigned to Provincial Reconstruction Teams or performing stability and reconstruction operations.

Recommendation:

The Secretaries of Defense and State, and other departments and agencies, should improve current selection processes, career incentives, and forms of recognition in order to encourage service with and select qualified personnel for staff Provincial Reconstruction Teams and stability, security, transition, and reconstruction (SSTR) operations in the future. Further, the Secretaries should report to Congress on their respective processes, incentives, and forms of recognition for military personnel and civilians who have served on PRTs or other stability and reconstruction missions.

CIVIL AFFAIRS ROLE IN STABILITY OPERATIONS

Findings:

(1) While the Army has increased the number of Civil Affairs (CA) personnel in its force structure, and the other services have established CA units or are developing civil affairs capabilities, there is no joint CA effort or command.

(2) Civil Affairs skills closely resemble those needed to conduct stability operations, which DOD Directive 3000.05 (DODD 3000.05) establishes as a core military mission on par with combat operations. DODD 3000.05 requires the military to prepare to perform all stability operations tasks needed to establish and maintain order when U.S. government civilians cannot do so.

(3) Some Civil Affairs (CA) reservists provide functional expertise from their civilian experience and education, similar to those required in stability operations. CA units traditionally have a very high personnel and operations tempo. Army Force Generation and Army Reserve Expeditionary Force requirements and mobilization authorities can impact CA units' training and availability for deployment for Provincial Reconstruction Team and stability, security, transition, and reconstruction operations.

(4) The Provincial Reconstruction Team experience in Afghanistan and Iraq demonstrates that the military could provide personnel to man the PRTs, but the non-Civil Affairs general purpose forces personnel deployed did not have the requisite training or desired technical and specialty skills to perform the PRT mission effectively.

Recommendation:

The Secretary of Defense should determine the role Civil Affairs (CA) forces will play as the Department makes stability operations a core military mission on par with combat operations and as stability operations are conducted throughout the full spectrum of conflict, including determining:

a. the overall anticipated CA requirement;
b. whether the programmed CA force structure supports the direction of the Secretary of Defense to make stability operations a core mission on par with combat operations;
c. whether proponency for the general purpose CA units is appropriately placed;
d. whether sufficient stability operations competencies are being developed in the non-CA general purpose forces;
e. whether additional innovative authorities would assist in bringing needed CA competencies into the force on a temporary basis;
f. whether the active/reserve component mix is appropriate given the continued demands for CA units and personnel; and
g. whether a joint command structure for CA is appropriate.

IMPROVING PROVINCIAL RECONSTRUCTION TEAM TRAINING

Findings:

(1) Former Provincial Reconstruction Team members, both military and civilian, emphasized the importance of training the military and civilian leadership together as early as possible in order to build the team prior to deployment. At a minimum, even if the PRT members could not train with their assigned team, all former PRT members supported the value of interagency training.

(2) The Army is analyzing how to institutionalize its training capability for future Provincial Reconstruction Teams and is considering moving the training to Fort Polk.

(3) The Marines Corps' role in Provincial Reconstruction Team-related training includes providing a Marine Corps instructor to teach Foreign Service Institute (FSI) courses. In addition, the First Marine Expeditionary Force (MEF) sent 15 Marines to attend FSI courses and the MEF headquarters conducted two-day "economic reconstruction roundtables," which included regimental combat team commanders, interagency participation, non-governmental organizations, and private industry.

(4) The Departments of State (DOS) and Defense (DOD) have shared the costs for DOS trainees to get to training locations, and the Department of Defense has covered DOS trainee expenses while at Fort Bragg's Provincial Reconstruction Team training. The Department of Defense also reimbursed the Department of State and U.S. Agency for International Development for PRT trainer expenses. The Department of Defense is reportedly willing to do whatever it takes to get federal civilians to interagency training because this supports DOD's missions.

Recommendations:

(1) The Secretary of Defense, with the Secretary of State and the Administrator of the Agency for International Development, should further integrate the training of military and civilian personnel for Provincial Reconstruction Teams in Afghanistan and Iraq and for stability and reconstruction training more widely. This training should be required rather than optional. Where appropriate, they should further standardize this training including both classroom instruction and field training, specific both to stabilization and reconstruction operations and to force protection and combat life-saving skills. They should also arrange for earlier and more extensive integration of non-DOD civilian PRT members into the training process, including, where appropriate, training with the maneuver units with which they will serve as embedded advisors.

(2) The Secretary of Defense should take immediate action to ensure that the Department of Defense (DOD) civilian and military personnel who will fill non-DOD billets on

Provincial Reconstruction Teams receive the PRT training administered by the Foreign Service Institute.

(3) The subcommittee supports the Departments of Defense and State, and other federal agencies in their willingness to share expenses for trainers and trainees not only for Provincial Reconstruction Team training, but also for other interagency training, exercises, and experiments.

(4) The Secretary of the Army should report on the Army's plans to institutionalize the Provincial Reconstruction Team training capability for both Afghanistan and Iraq PRTs and for future stabilization and reconstruction operations for Army and the other services' active and reserve component personnel and DOD civilians.

STABILIZATION, SECURITY, TRANSITION, AND RECONSTRUCTION LESSONS LEARNED

Department of Defense Findings:

(1) The Department of Defense (DOD) has established programs to collect lessons learned at all levels within the Department, including from exercises and operations. The Army's Peacekeeping and Stability Operations Institute supports efforts to take the lessons learned from ongoing operations, particularly the PRT experience in Iraq and Afghanistan, and encourage units to incorporate them into current operations and activities. However, the integration of lessons learned into actual planning remains weak. Planners do not consistently examine past results as they develop future contingency plans, in part because DOD's guidance for incorporating lessons into its plans is outdated and does not specifically require planners to take this step; accessing lessons learned databases is cumbersome; and, the review process does not evaluate the extent to which lessons learned are incorporated into specific plans.

(2) The 2006 *Joint Operating Concept for Military Support to Stability, Security, Transition, and Reconstruction Operations* emphasizes the importance of implementing a continuous learning process that incorporates lessons learned into ongoing and future operations, including through constant observation of tactics, techniques, and procedures (TTPs); assessing best practices; understanding how to implement best practices; and adapting TTPs. However, it has not been fully implemented at the combatant command or service level.

Recommendation:

(1) The Secretary of Defense and Chairman of the Joint Chiefs of Staff should update their planning guidance to direct combatant commanders and service planners to include lessons learned and best practices as stability, security, transition, and

reconstruction (SSTR) plans are developed, and require that the SSTR planning review process include a step to verify that lessons learned have been considered and included as appropriate.

Department of Defense and the Interagency Findings:

(1) The Department of Defense (DOD) has taken several steps to improve planning for stability operations, but it faces challenges in developing capabilities and measures of effectiveness that adequately integrate the contributions of non-DOD agencies, particularly their lessons learned processes.

(2) The U.S. Army Peacekeeping and Stability Operations Institute is working to achieve a collaborative military, civilian agency, non-governmental organization, and multi-national lessons learned process, and the Department of Defense (DOD) has recently developed an information system to improve access to lessons learned within the Department and with non-DOD agencies.

(3) Joint Forces Command, in supporting the development of joint doctrine, has drawn upon lessons learned in: publishing pre-doctrinal studies; developing the *U.S. Government Draft Planning Framework for Stabilization and Reconstruction*; testing the government-wide National Security Presidential Directive-44 planning framework; and establishing the Interagency Management System with the Department of State Office of the Coordinator for Reconstruction and Stabilization.

Recommendations:

(1) The Department of Defense should also include more interagency stakeholders in the development of its new lessons learned information system as early as possible.

(2) The Secretary of Defense should develop an action plan, as necessary, and report to Congress on the status of efforts to:

a. identify and prioritize needed stability operations capabilities;
b. develop measures of effectiveness to evaluate progress in achieving these capabilities;
c. achieve greater interagency participation in the development of military plans; and,
d. fully incorporate lessons learned in the planning process. The Secretary should also identify challenges to achieving an integrated interagency approach to stability operations, and potential solutions for mitigating those challenges.

Interagency Findings:

(1) As a result of the gap in processing lessons learned, there is an absence of accepted interagency doctrine for establishing, managing, or attaining goals for stability and reconstruction operations.

(2) The Department of State, through the Office of the Coordinator for Reconstruction and Stabilization, has the responsibility under National Security Presidential Directive-44 for gathering lessons learned from "whole of government" planning and operations, and for ensuring that they are integrated into future responses.

(3) The Department of State Office of the Coordinator for Reconstruction and Stabilization has taken initial steps to incorporate operational lessons learned from the PRT experience in Iraq and Afghanistan into future overall "whole of government" planning for stability and reconstruction. How well all other agencies are integrated into this progress and how the process is being applied across government is not yet apparent.

(4) The Department of State Office of the Coordinator for Reconstruction and Stabilization (S/CRS) developed a planning framework as the methodology for activating a "whole of government" lessons learned process in an operational setting; however doubts persist as to the degree to which S/CRS can implement it and how it would relate to existing Department of Defense processes.

(5) The NATO International Security Assistance Force mission has also made a comprehensive and consistent effort to examine lessons learned and apply them to future strategy and doctrine. Any effort by other coalition members, including the United States, to integrate into this process has been haphazard and *ad hoc*, lacking central direction from NATO headquarters. On the other hand, a successful coalition conference to review lessons learned, sponsored by Lithuania and Canada in September 2007, demonstrated how useful a comprehensive and coordinated effort could be. A more formal structure to periodically review, validate, and apply lessons learned would benefit PRTs.

Recommendations:

(1) The Departments of Defense and State and other government agencies should approach the stability and reconstruction lessons learned process with the goal of using actual operations to find ways to better integrate the programs, policies, and activities of civilian and military agencies. This would produce a more coordinated and effective "whole of government" approach to pre-conflict and post-conflict operations. The lessons learned from the establishment and operations of PRTs would serve as a logical starting point for this process.

(2) The Department of State Office of the Coordinator for Reconstruction and Stabilization should move expeditiously to collect, analyze, and absorb lessons learned into its emerging "whole of government" planning framework and ensure that policy guidance being developed for its Response and Reserve Corps incorporates the experience of actual, ongoing PRT and other stability and reconstruction operations.

(3) The United States should encourage NATO International Security Assistance Force to convene regular review sessions for coalition partners to incorporate PRT lessons learned into strategy and direction as well as to find other ways of consistent and comprehensive information gathering and sharing.

STRENGTHENING INTERAGENCY PLANNING

Findings:

(1) The National Security Presidential Directive-44 framework provides unclear and inconsistent guidance on agencies' roles and responsibilities. In addition, the lack of an agreed-upon definition for stabilization and reconstruction operations poses an obstacle to interagency collaboration.

(2) All the geographic combatant commands, as well as Transportation Command, Special Operations Command and Joint Forces Command, use some form of interagency coordinating body, but their placement within those commands, and their organization, staffing, and functions vary widely.

(3) Special Operations Command created a new headquarters staff element, the J-10, with responsibility for irregular warfare in June 2007. Among other functions, the J-10 assists in coordinating plans integration, at least in part by establishing a "collaborative network of the DOD and the interagency to facilitate United States Government application of Irregular Warfare Strategies in support of U.S. national objectives."

Recommendations:

(1) The Secretary of Defense should seek clarification from the Secretary of State as to the respective roles and responsibilities of various Department of State bureaus and offices particularly those of the Office of the Coordinator for Stability and Reconstruction relative to the regional bureaus in whose geographic area of responsibility complex reconstruction and stabilization contingencies may occur.

(2) The Secretary of Defense should improve integration of interagency partners from the outset of planning and operations in its six-phase model: 1) shape, 2) deter, 3) seize initiative, 4) dominate, 5) stabilize, and 6) enable civil authority.

(3) While a draft Joint Forces Command concept of operations to improve interagency planning exists, the Secretary of Defense should report to Congress why no action has been taken and what alternatives to improve interagency planning are being considered.

(4) The National Security Council (NSC) should move forward to fully implement National Security Presidential Directive-44 with a greater sense of urgency. The priority accorded to interagency coordination and direction for stability and reconstruction operations within the NSC should be elevated.

DOD DIRECTIVE 3000.05 AND NATIONAL SECURITY PRESIDENTIAL DIRECTIVE 44 – POLICY AND GUIDANCE AT THE NATIONAL LEVEL

At the Washington level, our challenges involve longer-term strategy, larger structures, and more complex processes. There is a significant amount of activity aimed at improving and supporting greater interagency integration for missions like PRTs and future stabilization and reconstruction operations. For instance, the Director of S/CRS, Ambassador John Herbst, told the subcommittee, "Building civilian capacity for reconstruction and stabilization is essential to our national security and I have no doubt that the U.S. Government will have this capability in the next ten years."[34] However, our overriding conclusion is that, after more than six years of war, and, despite the recognition that our nation's future national security challenges and opportunities will almost certainly require a "whole of government" approach, progress in achieving meaningful integration of efforts has been limited and far too slow. Most importantly, these efforts have not assisted the people the nation has asked to perform difficult and dangerous missions *today* nearly enough.

More can be done now. An independent study should be conducted to better determine the requirements for, and the respective civilian and military roles in, stability operations as these operations transition through the spectrum of conflict. An independent study is particularly appropriate because it will both complement the roles and missions study Congress has required the military services to undertake in 2008 and because it can serve to clarify issues as the Department reevaluates the relationship of stability operations within the context of irregular warfare.[35] Subordinating stability operations within irregular warfare, as appears to be the intent of the Department's policy revision, may send an unintended message of strategic proportions to our adversaries and allies, as well as to our citizens.

Regardless of the Department's ongoing reevaluation, we return to our earlier observation that non-DOD departments and agencies must have more capacity to deploy and operate overseas with military forces in all phases of peace and conflict. Consequently, additional structural changes which, among other improvements, would further empower the Office of the Coordinator for Reconstruction and Stabilization and increase the number of Foreign Service Officers and other civil servants who by disposition and position can be deployed for contingencies, are important. Building capacity and changing structures will not be enough. Unity of command is missing at the tactical and operational levels. Perhaps more critically, that absence exists at the national level as well. The result is that there is no "quarterback" for PRTs. There is no quarterback for stability, security, transition, and reconstruction planning and operations. There is no quarterback for interagency coordination and actions. The nation needs these quarterbacks now.

[34] Statement of Ambassador John Herbst before the House Armed Services Subcommittee on Oversight & Investigations, October 30, 2007.
[35] Section 941, National Defense Authorization Act for Fiscal Year 2008 (Public Law 110-181).

MILITARY AND CIVILIAN ROLES IN STABILITY OPERATIONS THROUGHOUT THE SPECTRUM OF CONFLICT

Findings:

(1) The Provincial Reconstruction Team experience in Afghanistan and Iraq demonstrates that, where inadequate civilian capacity to deploy for post-conflict stabilization and reconstruction operations exists, military and Department of Defense civilian personnel will be employed to carry out stability operations, regardless of whether they possess the requisite skills, technical expertise, or training.

(2) Military personnel are performing stability operations in certain instances where the employment of civilian personnel would be appropriate and preferable.

(3) Joint Forces Command and the services are developing operational concepts and doctrine for stability operations.

(4) The Army is considering how to develop an enduring capability to train teams of military personnel to perform Provincial Reconstruction Team-like missions.

(5) Currently, there is no career track or special experience identifiers in the military services for stability operations, yet the services understand that assignment with, and command of, Provincial Reconstruction Teams must be incentivized and valued.

(6) Currently, there is no career track for personnel performing stability operations in the Department of State or other departments and agencies.

(7) In none of the departments or agencies did the subcommittee find overwhelming confidence among PRT members and veterans that they would be promoted ahead of or equal to their peers in classic combat, diplomatic, or development posts despite performing dangerous, critical, joint, interagency, and multinational stability and reconstruction missions.

(8) Several different sources of funding have been employed in Afghanistan and Iraq to perform stability and reconstruction operations.

(9) Non-governmental organizations play a significant role in pre-conflict and post-conflict environment, but currently they do not participate regularly in stability and reconstruction operations planning.

(10) Military units in Afghanistan and Iraq have performed stability and reconstruction operations, without particular specialized training, as part of their mission.

Recommendations:

The Secretary of Defense, with the Secretary of State, should establish an independent advisory panel to review and produce a report on the respective military and civilian roles in the conduct of stability and reconstruction operations throughout the spectrum of conflict.

a. The advisory panel should assess the requirement for and the respective roles of civilian and military personnel as stability and reconstruction operations are conducted and transition throughout the spectrum of conflict;

b. The panel should then make recommendations to Congress in the following areas:

    i. What skills and capabilities are required within the civilian and military ranks in order to perform stability and reconstruction operations, and which of those skills and capabilities are more suitably provided by non-military interagency partners or other civilians;
    ii. The adequacy of joint and service concepts and doctrine development to define the nature, uses, and appropriate employment of civilian and military personnel in stability and reconstruction operations;
    iii. What interagency training curriculum should be adopted to enhance interagency integration in the performance of stability and reconstruction operations;
    iv. What actions are necessary to build a sufficiently trained cadre of future stability and reconstruction operations military commanders and personnel, including whether a formal career field and/or a special experience indicator should be established;
    v. What actions are necessary to develop an appropriate career track within the Department of State and other departments and agencies to build a cadre of future civilian stability and reconstruction operations leaders and personnel;
    vi. What funding mechanisms are appropriate for stability and reconstruction operations;
    vii. How U.S. Government planning and operations should take into account the role non-governmental organizations play during stability and reconstruction operations throughout the spectrum of conflict; and
    viii. Whether land component units should contain a stability operations-like element as a matter of standard force generation, and if so, at what unit level.

c. The advisory panel should take into account the Provincial Reconstruction Team experience in Afghanistan and Iraq; the Department's efforts to implement DOD Directive 3000.05; the Department of State's implementation of National Security Presidential Directive-44; the Irregular Warfare Roadmap and Joint Operating Concept; the Military Support to Stabilization, Security, Transition, and Reconstruction Joint Operating Concept; Joint Publication 3-0 on Operations and the Army Field Manual 3-0 on Operations; the National Strategy for the Development of National Security Professionals and the May 17, 2007 Executive Order 13434 on National Security Professional Development; and any other material it deems relevant.

A WORD ABOUT CONGRESS

> Of all our recommendations, strengthening congressional oversight may be among the most difficult and important. So long as oversight is governed by current congressional rules and resolutions, we believe the American people will not get the security they want and need.
>
> *The 9/11 Commission Report*[36]

The National Defense Authorization Act for Fiscal Year 2008 (Public Law 110-181) contained a provision, Section 1049, titled "Study on National Security Interagency System." This required the Secretary of Defense to commission a study and report to Congress and the President results and recommendations for legislative or regulatory changes to the national security interagency system by September 2008. The "system" is defined as "the structures, mechanisms, and processes by which the departments, agencies, and elements of the Federal Government that have national security missions coordinate and integrate their policies, capabilities, expertise, and activities to accomplish such missions."

The report language gives more insight into what the Armed Services Committees considered important and is relevant to our efforts on Provincial Reconstruction Teams:

> The conferees believe that the interagency coordination and integration of the United States Government for the training for, planning of, support for, and execution of overseas post-conflict contingency relief and reconstruction operations requires reform and that recent operations, most notably in Iraq, lacked the necessary consistent and effective interagency coordination and integration in planning and execution. As a result, the conferees note that the study conducted under the authority of this section should include… recommendations for improvements in *congressional*, executive, and other oversight structures and procedures that would enhance accountability within such operations. [emphasis added]

In some ways, our investigation validated common perceptions among national security professionals that the interagency process is broken, but not just in the executive branch. Congressional oversight of national security programs is divided among many different committees, including the Armed Services Committees, the Select Committees on Intelligence, the House Committee on Foreign Affairs and the Senate Committee on Foreign Relations, the House Committee on Oversight and Government Reform, and the Committee on Homeland Security, among others. In addition, interagency national security planning and execution mechanisms defy easy categorization within the existing Congressional budget and oversight structure, sometimes affecting Congress' ability to exercise effective oversight. In many ways, Congress is as "stovepiped" as the agencies and functions we oversee. We should consider ways to best address national security issues more holistically. With that said, during

[36]*The 9/11 Commission Report: Final Report of the National Commission on Terrorist Attacks Upon the United States.* W.W. Norton and Company, New York, 2004, p. 419.

the course of our study this subcommittee has been pleased with the bipartisan cooperation and support of related committees at the staff and member level, particularly with the House Committee on Foreign Affairs and the House Committee on Oversight and Government Reform. During the course of our investigation, other congressional efforts to more closely coordinate national security issues have also moved forward, including the Working Group on National Security Interagency Reform, created by subcommittee members Susan Davis (D, CA) and Geoff Davis (R, KY), and the House Armed Services Committee Roles and Missions Panel, which recently called for more creative thinking about the future of national security issues. Still, more remains to be done.

CONCLUSION

We have learned much from our six-month look at interagency operations through the lens of the Provincial Reconstruction Teams in Afghanistan and Iraq. Yet, the subcommittee remains unsure that the people directing the PRT effort now, and those planning for the future of such operations, fully appreciate how this experience may instruct government at all levels, from the field to combatant commands, departments and agencies, as well as at senior levels in the nation's capital. While careful planning is necessary for the future, our people in the field cannot wait. We, in government, must gather good ideas, share them comprehensively, and make adjustments as quickly as possible in order to give people in the field the best possible guidance and resources now. The subcommittee's work confirmed that many of the issues identified not only cross departmental and agency boundaries, but also cut across Congress as a whole and are not confined to any single committee's jurisdiction. Therefore, no one committee alone will be able to make the critical changes we need. The nation's ability to prevent, prepare for, and respond to national security challenges today, and in the future, may depend on how well and how quickly both the executive and legislative branches can overcome these jurisdictional and institutional barriers. All of government must exercise a greater sense of urgency in developing and practicing greater strategic agility, rather than having our national efforts diminished by stereotypical agency stovepipes.

APPENDIX A: ACRONYMS

BCT	Brigade Combat Team
CA	Civil Affairs
CDR	Commander
CENTCOM	U.S. Central Command
CERP	Commanders' Emergency Response Program
COCOM	Combatant Command
COIN	Counterinsurgency
CORDS	Civil Operations and Rural Development Support
CSI	Civilian Stabilization Initiative
DOD	Department of Defense
DODD	Department of Defense Directive
DOS	Department of State
e-PRT	Embedded Provincial Reconstruction Team
ESC	Executive Steering Committee
ESF	Economic Support Fund
EU	European Union
FM 3-0	Army Field Manual 3-0 (Operations)
FOB	Forward Operating Base
FSI	Foreign Service Institute
FSO	Foreign Service Officer
GAO	Government Accountability Office
GPF	General Purpose Forces
HASC	House Armed Services Committee
ISAF	International Security Assistance Force
JCP	Joint Campaign Plan
JCS	Joint Chiefs of Staff
JFC	Joint Force Commander
JFCOM	Joint Forces Command
LGCD	Local Governance and Community Development
MEF	Marine Expeditionary Force
MNC-I	Multi-National Corps - Iraq
MNF-I	Multi-National Force – Iraq
MOF	Ministry of Finance
NATO	North Atlantic Treaty Organization
NDAA	National Defense Authorization Act
NGO	Non-Governmental Organization
NSC	National Security Council
NSPD	National Security Presidential Directive
OPA	Office of Provincial Affairs
OPCON	Operational Control
OSD	Office of the Secretary of Defense

PIC	Provincial Iraqi Control
PKSOI	U.S. Army Peacekeeping and Stability Operations Institute
PRT	Provincial Reconstruction Team
PST	Provincial Support Team
QRF	Quick Reaction Funds
RCT	Regimental Combat Team
RRD	Regimental Reconnaissance Detachment
S/CRS	Department of State Coordinator for Reconstruction and Stability
SHAPE	Supreme Headquarters Allied Powers, Europe (NATO)
SIGIR	Special Inspector General for Iraq Reconstruction
SRSG	Special Representative of the Secretary-General
SSTR	Stability, Security, Transition, and Reconstruction
TCN	Troop Contributing Nation
TTP	Tactics, Techniques, and Procedures
UN	United Nations
UNSCR	United Nations Security Council Resolution
USAID	U.S. Agency for International Development
USARC	U.S. Army Reserve Command
USDA	U.S. Department of Agriculture
USG	United States Government
USIP	U.S. Institute of Peace

APPENDIX B: HEARINGS, BRIEFINGS, INTERVIEWS

OVERSIGHT & INVESTIGATIONS HEARINGS:

"The Role of the Department of Defense in Provincial Reconstruction Teams (PRTs) in Iraq and Afghanistan" *September 5, 2007*

Ms. Ginger Cruz
Deputy Inspector General
Special Inspector General for Iraq Reconstruction

Ms. Michelle Parker
International Affairs Fellow (Council on Foreign Relations)
RAND Corporation

Mr. Frederick D. Barton
Senior Advisor & Co-Director, Post-Conflict Reconstruction Project
Center for Strategic & International Studies

"Benefits and Medical Care for Federal and U.S. Contractor Employees Deployed to Iraq and Afghanistan" *September 18, 2007*

Ms. Brenda Farrell
Director, Defense Capabilities and Management Team
U.S. Government Accountability Office

Secretary Patricia Bradshaw
Deputy Under Secretary for Civilian Personnel Policy
Department of Defense

Mr. Shelby Hallmark
Director, Office of Workers' Compensation Programs
Department of Labor

"The Role of the Department of Defense in Provincial Reconstruction Teams (PRTs) in Iraq and Afghanistan" *October 4, 2007*

Mr. Mitchell Shivers
Deputy Assistant Secretary of Defense, Central Asia Affairs
Office of the Secretary of Defense (Policy)

Major General Bobby J. Wilkes, USAF
Deputy Director for Politico-Military Affairs (Asia)
Strategic Plans and Policy
The Joint Staff

Mr. Mark Kimmitt
Deputy Assistant Secretary of Defense, Near Eastern and South Asian Affairs
Office of the Secretary of Defense

Colonel (Promotable) Ralph O. Baker, USA
Deputy Director for Politico-Military Affairs (Middle East)
Strategic Plans and Policy
The Joint Staff

"Civilians on the Battlefield: Incentives, Benefits and Medical Care for Federal Civilian Employees Deployed to Iraq and Afghanistan" *October 16, 2007*

Ambassador Harry Thomas
Director General
U.S. Department of State

Mr. Mark Ward
Senior Deputy Assistant Administrator for Asia & Near East Bureau
U.S. Agency for International Development

Mr. Kirk Miller
Associate Administrator for the Foreign Agriculture Service
U.S. Department of Agriculture

Mr. Bruce Swartz
Deputy Assistant Attorney General Criminal Division
U.S. Department of Justice

Mr. Larry McDonald
Deputy Assistant Secretary for the Office of Technical Assistance
U.S. Department of Treasury

"Measuring and Increasing the Effectiveness of Provincial Reconstruction Teams" *October 18, 2007*

The Honorable Stuart W. Bowen, Jr.
Special Inspector General for Iraq Reconstruction

Mr. Robert Perito
Senior Program Officer
Center for Post-Conflict Peace and Stability Operations
United States Institute of Peace

"Stabilization and Reconstruction Operations: Learning from the Provincial Reconstruction Team (PRT) Experience" *October 30, 2007*

Ambassador John E. Herbst
Coordinator, Office of Reconstruction and Stabilization
Department of State

Ms. Celeste Ward
Deputy Assistant Secretary, Stability Operations Capabilities
Department of Defense

Ms. Janet St. Laurent
Director, Defense Capabilities and Management
U.S. Government Accountability Office

Mr. Joseph A. Christoff
Director, International Affairs and Trade Team
U.S. Government Accountability Office

"Provincial Reconstruction Teams (PRTs), Historical and Current Perspectives on Doctrine and Strategy" *December 5, 2007*

Mr. Bernard Carreau
Senior Research Fellow, Center for Technology and National Security Policy
National Defense University

General Volney F. Warner, USA (Ret.)
President and Chief Executive Officer
V.F. Warner and Associates

Brigadier General Eric "Rick" Olson, USA (Ret.)
Former Commander, Combined/Joint Task Force-76
Former Director, National Coordination Team

Ms. Kathleen Hicks
Senior Fellow, International Security Program
Center for Strategic and International Studies

"A Continuing Dialogue: Post-Surge Alternatives for Iraq (Part 1 of 2)" *January 16, 2008*

The Honorable John J. Hamre
President & CEO
Center for Strategic & International Studies

General Jack Keane, USA (Ret.)
Former Vice Chief of Staff of the Army

General Barry McCaffrey, USA (Ret.)
President, BR McCaffrey Associates, LLC

Mr. Christopher A. Kojm
Professor of the Practice of International Affairs
The Elliott School of International Affairs
George Washington University

"A Continuing Dialogue: Post-Surge Alternatives for Iraq (Part 2 of 2)" *January 23, 2008*

Dr. Stephen Biddle
Senior Fellow for Defense Policy
Council on Foreign Relations

Dr. Andrew F. Krepinevich, Jr.
President, Center for Strategic and Budgetary Assessments

Professor Lawrence B. Wilkerson
Former Chief of Staff to Secretary of State Colin Powell
Visiting Pamela C. Harriman Professor of Government
College of William and Mary

Mr. Michael Eisenstadt
Director, Military and Security Studies Program
The Washington Institute for Near East Policy

"Interagency Reform: Can the PRT Case Study Illuminate the Future of Reconstruction and Stabilization Operations?" *January 29, 2008*

Ambassador Barbara Bodine
Diplomat-in-Residence, The Woodrow Wilson School
Princeton University

Ambassador Carlos Pascual
Vice President and Director, Foreign Policy
The Brookings Institution

Ms. Michéle Flournoy
President
Center for a New American Security

Dr. Nora Bensahel
Senior Political Scientist
RAND Corporation

"Provincial Reconstruction Teams: A Case for National Security Reform?" *February 14, 2008*

The Honorable Ryan Henry
Principal Deputy Under Secretary for Policy
Department of Defense

Mr. Barry Pavel
Principal Deputy Assistant Secretary for Special Operations,
Low Intensity Conflict & Interdependent Capabilities
Department of Defense

Ambassador Stephen Mull
Acting Assistant Secretary, Bureau of Political-Military Affairs
Department of State

The Honorable Michael E. Hess
Assistant Administrator of the Bureau for Democracy,
Conflict and Humanitarian Assistance
U.S. Agency for International Development

"Hearing on Irregular Warfare and Stability Operations: Approaches to Interagency Integration" *February 26, 2008*
[Joint Hearing with the Terrorism and Unconventional Threats and Capabilities Subcommittee]

The Honorable Michael G. Vickers
Assistant Secretary of Defense for Special Operations,
Low Intensity Conflict & Interdependent Capabilities
U.S. Department of Defense

Ambassador John E. Herbst
Coordinator for Reconstruction and Stabilization
U.S. Department of State

RADM Dan W. Davenport
Director, Joint Concept Development and Experimentation (J-9)
U.S. Joint Forces Command

Brigadier General Robert H. Holmes, USAF
Deputy Director of Operations (J-3)
U.S. Central Command

Lieutenant General Frank Kearney, USA
Deputy Commander
U.S. Special Operations Command

Colonel Joseph E. Osborne, USA
Director, Irregular Warfare Directorate (J-10)
U.S. Special Operations Command

FULL COMMITTEE HEARINGS:

"Beyond the September Report: What's Next for Iraq?" *September 6, 2007*

The Honorable William J. Perry
Senior Fellow, Hoover Institution, and
Professor, Stanford University

Major General John Batiste, USA, Retired
President, Klein Steel Services, Incorporated

General John M. Keane, USA, Retired
Keane Advisors, LLC

"The Status of the War and Political Developments in Iraq" *September 10, 2007*

General David Petraeus, USA
Commander, Multi-National Forces—Iraq

Ambassador Ryan Crocker
United States Ambassador to Iraq

"Security and Stability in Afghanistan: Status of U.S. Strategy and Operations and the Way Ahead" *December 11, 2007*

The Honorable Robert M. Gates
Secretary of Defense
Department of Defense

Admiral Michael G. Mullen, USN
Chairman
Joint Chiefs of Staff

Ambassador Eric S. Edelman
Under Secretary of Defense for Policy
Department of Defense

Lieutenant General John F. Sattler, USMC
Director of Strategic Plans and Policy
Joint Chiefs of Staff

"Assessment of U.S. Strategy and Operations in Afghanistan and the Way Ahead" *January 23, 2008*

Lieutenant General David W. Barno, USA (Ret.)
Director, Near East South Asia Center for Strategic Studies
National Defense University

Ambassador Karl F. Inderfurth
John O. Rankin Professor of the Practice of International Affairs
George Washington University

Dr. Barnett R. Rubin
Director of Studies and Senior Fellow, Center on International Cooperation
New York University

MEMBER BRIEFINGS:

"Panel Discussion with Former Members of Provincial Reconstruction Teams (PRTs) in Afghanistan" *September 7, 2007*

"Panel Discussion with Former Members of Provincial Reconstruction Teams (PRTs) in Iraq" *September 27, 2007*

"Panel Discussion with Wounded Federal Civilian Employees and Representatives from their Advocacy Organizations" *October 2, 2007*

"Non-Governmental Organizations and Provincial Reconstruction Teams" *December 19, 2007*

"National Security Interagency Reform Working Group" *January 17, 2008*

"Panel Discussion with Authors of the Recent CSIS Report, 'Integrating 21st Century Development and Security Assistance'" *January 23, 2008*

STAFF BRIEFINGS AND MEETINGS:

Qubad Talabany, Kurdish Regional Government Representative *August 7, 2007*
Patrick Dickriede, Special Inspector General for Iraq Reconstruction PRT Audit Lead *August 10, 2007*
Government Accountability Office (GAO) *August 10, 2007*
Robert Perito, U.S. Institute of Peace *August 15, 2007*
Department of Defense: Office if the Secretary of Defense (OSD), Joint Staff *August 21, 2007*
Mac McLaughlin, Interagency Resources Cell, U.S. Embassy Kabul *August 22, 2007*

James Miller and Shawn Brimley, Center for New American Security	*August 22, 2007*
BGen McMenamin, USMC (Ret.)	*August 23, 2007*
Michelle Parker, RAND	*August 27, 2007*
Frederick Barton, Center for Strategic and International Studies (CSIS)	*August 28, 2007*
The Office of the Secretary of Defense (OSD)/Joint Staff	*August 30, 2007*
The Government Accountability Office (GAO)	*August 30, 2007*
Lt Col McCarthy , USMC	*September 7, 2007*
Scott Kamins, Department of State	*September 20, 2007*
OSD/Joint Staff (Stability Operations Capabilities)	*September 20, 2007*
Stuart Bowen, SIGIR	*September 24, 2007*
GAO	*September 28, 2007*
GAO (Civilian PRT/deployment staffing)	*October 3, 2007*
OSD, Joint Staff (Afghan National Security Forces)	*October 4, 2007*
Project Horizon, National Defense University	*October 5, 2007*
GAO (Stability, Security, Transition, and Reconstruction & Interagency Issues)	*October 19, 2007*
Department of State (Role in PRTs in Iraq and Afghanistan)	*October 19, 2007*
Department of State, Coordinator of Reconstruction and Stability (S/CRS)	*October 24, 2007*
Michéle Flournoy, Center for a New American Security	*October 26, 2007*
Center for Army Lessons Learned (PRT Lessons Learned)	*October 30, 2007*
Catholic Relief Services Afghan Region Representative	*October 31, 2007*
U.S. Agency for International Development	*November 7, 2007*
OSD/Joint Staff (PRT Personnel and Staffing Briefing)	*November 13, 2007*
Kathleen Hicks, CSIS	*November 15, 2007*
Patrick Dickriede, SIGIR PRT Audit Lead	*November 15, 2007*
Stephanie Miley, PRT Team Leader Iraq	*November 15, 2007*
Robert Perito, U.S. Institute of Peace, Princeton PRT Class	*November 16, 2007*
Stephen Biddle, Council on Foreign Relations (Briefing on trip to Iraq)	*December 3, 2007*
CAPT Sterling Deramus, USN, CJ-9 (PRT Chief), ISAF	*December 11, 2007*
Robert Perito, U.S. Institute of Peace, Princeton PRT Class	*December 14, 2007*
Brigadier General Eric "Rick" Olson, USA (Ret.), former Director, National Coordination Team (NCT)	*December 14, 2007*
GAO (Deployed Civilians Study)	*December 20, 2007*
International & Defense Solutions International (PRT Training)	*January 3, 2008*
World Vision Afghanistan Country Director	*January 8, 2008*
DOD/State (Iraq PRT Briefing for HCFA and HASC, Part 1 of 2)	*January 10, 2008*
DOD/State (Iraq PRT Briefing for HCFA and HASC, Part 2 of 2)	*January 11, 2008*
Special Operations Command (Unconventional Warfare Activities)	*January 17, 2008*
Phyllis Powers, Office of Provincial Affairs (OPA) Director, HCFA briefing	*January 18, 2008*
Phyllis Powers, OPA Director	*January 18, 2008*
DOD/State (Afghanistan PRT Briefing for HCFA and HASC, Part 1 of 2)	*January 25, 2008*
Training & Doctrine Command (Combined Arms Center Briefing on Army FM 3.0)	*January 28, 2008*
DOD/State (Afghanistan PRT Briefing for HCFA and HASC, Part 2 of 2)	*January 29, 2008*
GAO (Joint Campaign Plan)	*February 5, 2008*
Southern Command (Reorganization briefing)	*February 8, 2008*
GAO (Joint Campaign Plan and PRTs)	*February 8, 2008*
DOD (Iraq Concerned Local Citizens)	*February 8, 2008*
CRS (Fiscal Year 2009 International Affairs Budget)	*February 8, 2008*
RAND (Building Complete Capabilities for Counterinsurgency)	*February 11, 2008*
GAO (Commanders' Emergency Response Program)	*February 12, 2008*
Joint Forces Command (JFCOM)(Briefing on PRTs, DODD 3000.05, interagency integration)	*February 15, 2008*
JFCOM (Budget Brief)	*February 26, 2008*
JCS/J-7 Role (PRTs, DODD 3000.05, NSPD-44)	*February 28, 2008*
COL (P) Cheeks (PRT as Enduring Requirement)	*March 5, 2008*

CODELs AND STAFFDELS:

CODEL Ellsworth to Afghanistan	*September 8-9, 2007*
CODEL Abercrombie to Iraq and Afghanistan (Air Land Subcommittee)	*September 20-25, 2007*
CODEL Davis to Afghanistan (Military Personnel Subcommittee)	*January 18-22, 2008*
Staffdel Kruse to Kuwait and Afghanistan	*October 11-16, 2007*
Staffdel Kruse to SOCOM/CENTCOM/SOUTHCOM	*November 26-28, 2007*
Staffdel McKenna to U.S. Army Peacekeeping and Stability Operations Institute, Carlisle, PA	*November 29, 2007*
Staffdel Fenner to Army Ops Center, Pentagon	*December 11, 2007*
Staffdel Fenner to Fort Bragg	*December 12-13, 2007*
Staffdel Fenner to Joint Forces Command, Training & Doctrine Command	*December 16-18, 2007*
Staffdel Fenner to the Foreign Service Institute	*December 19, 2007*
Staffdel Fenner to Princeton University	*January 7, 2008*
Staffdel Fenner to the National Guard Bureau	*January 8, 2008*
Staffdel Fenner to the Army Human Resources Command	*January 11, 2008*
Staffdel Oostburg to Iraq and Afghanistan	*Jan 31 – Feb 4, 2008*
CODEL Andrews to Afghanistan	*February 15-19, 2008*
CODEL Etheridge to Iraq	*February 17-21, 2008*
Staffdel Fenner to National Defense University	*February 28, 2008*

APPENDIX C: PRT SURVEYS

INTRODUCTION

Between September 2007 and March 2008, the House Armed Services Subcommittee on Oversight and Investigations conducted more than 100 surveys and interviews with recent and current members of Provincial Reconstruction Teams (PRTs). The surveys were conducted both formally, with the assistance of the service legislative liaisons, and informally, through colleagues and when staff traveled to theater. The responses received reinforce the subcommittee's findings and recommendations and illustrate the depth of commitment military and civilian team members have to the Provincial Reconstruction Team program.

More than 87% of survey respondents were military (Army, Air Force, and Navy) in either the active or reserve component, ranging in enlisted rank from E-3 to E-7 and officer rank from O-2 to O-6.[1] The remaining respondents were civilian employees of the Departments of State and Agriculture, in both the foreign and civil service. 81% of those who responded to the survey served in Afghanistan,[2] while 19% served in Iraq[3] (see Figure 1). The majority of survey participants (79%) served on a PRT within the past two years, and many are currently deployed.[4]

Location of Survey Respondents

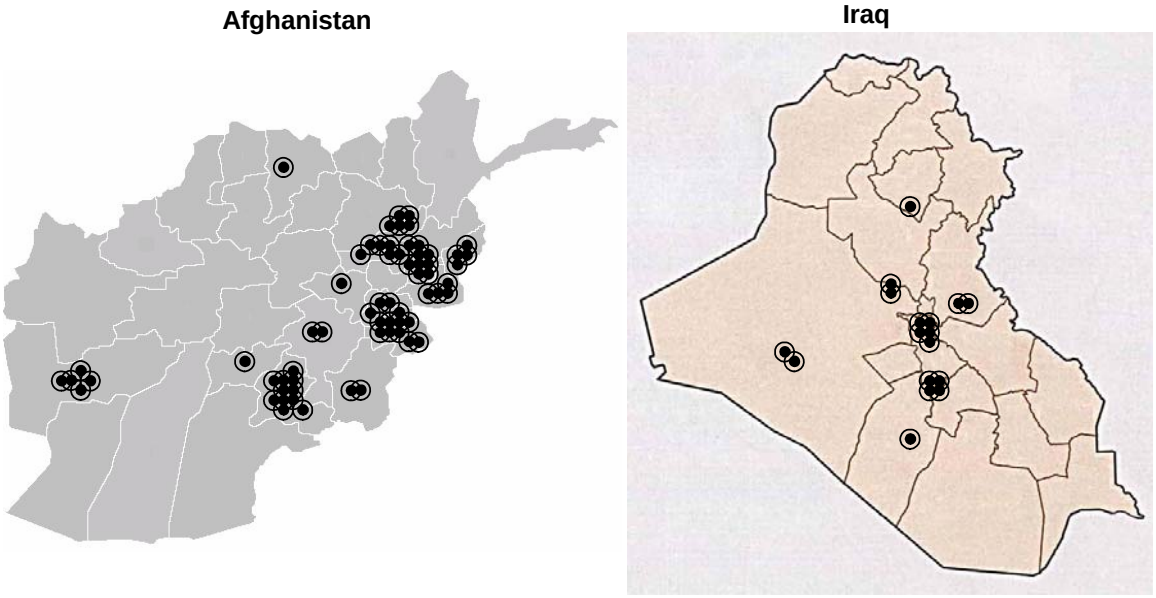

Figure 1

[1] The Marine Corps have few personnel directly assigned to PRTs, and declined to provide a response.
[2] Respondents served in the following Afghan provinces: Balkh, Farah, Gardhez, Ghazni, Kapisa, Khost, Kunar, Laghman, Logar, Nangarhar, Oruzgan, Paktia, Paktika, Panjshir, Parwan, Wardak, and Zabul.
[3] Respondents served in the following Iraqi provinces: Anbar, Babil, Baghdad, Diyala, Kirkuk, Najaf, Salah ad Din.
[4] Although USAID conducted its own surveys, the agency was unable or unwilling to share its results.

PRTs are involved in a wide array of activities in both countries (see Figure 2). Nevertheless, members identified numerous tactical and operational obstacles to success both before and during deployment (the most commonly cited challenges are illustrated in Figure 3). They also made several strategic-level suggestions for the continued improvement of the PRT program.

Sample of Recent Projects Undertaken by PRTs

Agriculture: agribusiness, drainage ditches, cold storage, irrigation, soil testing labs, farming cooperatives, flood protection walls, veterinary services, solar meat chillers, poultry industry development, fish farms, wind farms
Education: school construction and repair, teacher training colleges, trade and vocational schools, literacy courses, small business development programs
Power: erecting electrical poles, distributing fuel, initiating hydro-electric projects, promoting power networks, renovating electrical grids and power facilities
Transportation: construction of airfields and airports, roads, bridges
Governmental capacity: rebuilding district centers and government buildings, conducting village assessments and town halls, budget execution and economic capacity building, training and mentoring
Healthcare: building clinics and hospitals, providing medical supplies, creation of a central sterile supply, public health projects
Rule of law: building courthouses, establishing major crimes court, establishing federal appeals court
Water projects: retention walls, wells, dams, micro-hydro projects, solar water treatment facilities, water compact units
Finance: microfinance assistance, bank construction
Media: reorganization of district media center, founding newspapers, purchasing radio station equipment
Police assistance: building police stations, building police outposts along major roads, providing police with radio communications
Other essential services: founding orphanages, building public works stations, establishing social welfare trailers, rebuilding sewer systems, initiating work for food programs, providing humanitarian aid

Figure 2[5]

PRE-DEPLOYMENT

Recruitment: "Voluntold" versus " Volunteered."

Many survey participants recommended increased transparency in PRT recruiting, with regard to describing the applicant's required skills and the actual job itself. When asked why she was selected for the PRT, one respondent replied, "a willingness to come to Iraq, a security clearance, a medical clearance, and a pulse? Honestly, I have little idea how 'they' decide on some of the candidates but I'd wager 'they' don't know either." Some PRT members were selectees rather than volunteers, but most feel strongly that volunteers are better suited to the rigors of life on the PRT – "people who do not want to be there should certainly not be the ones interacting the most with Afghans." Many felt blindsided when the reality in-country did not match the job description for the billet they thought they were

[5] Sample of responses to survey question 5.1: "What major projects did your PRT conduct?"

filling. One wrote, "the canned advertisement does not really tell the story and people don't know what they are getting into." Several survey respondents offered additional suggestions for improving recruitment and retention in the future, including allowing current PRT members to interview their replacements and establishing greater communication with civilian agencies to better emphasize the importance of participation in the PRT program.

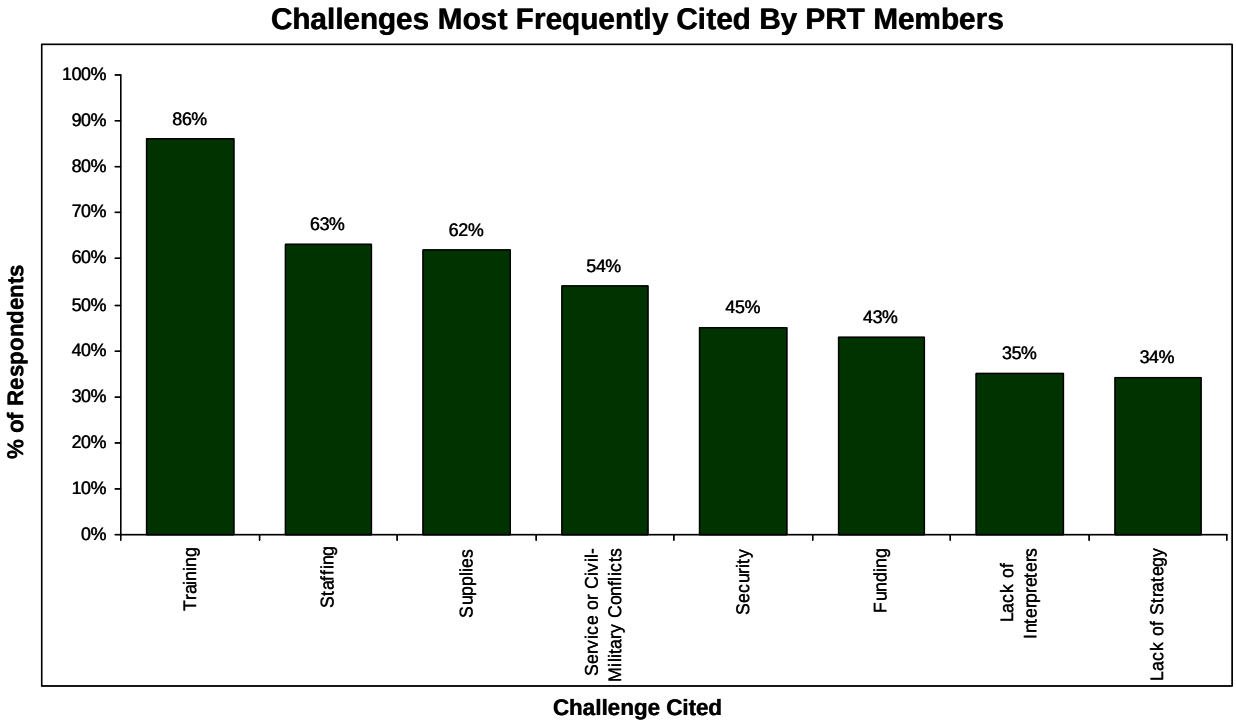

Figure 3[6]

When asked what incentives currently exist for PRT assignments, participants mentioned increased hazard pay, credit for a "joint" assignment (for military officers who command a PRT), additional leave time (for civilians), and tax breaks. They frequently cited as motivating factors a sense of personal duty and accomplishment. However, survey participants also cited a worrying number of disincentives for PRT service, including the long length of tours, and a fear that the PRT skill set would make them a target for future deployments. Some were disappointed in the PRT's perceived inability to increase the pace of change, the "frustration because of the inability to accomplish anything here and feeling like a stupid 'Pollyanna' for volunteering." Many fear that service outside of a traditional career path will not be recognized. One respondent wrote, "Can only hope that Promotion Boards understand that IA [individual augmentee] tour on PRT is cutting edge, fall more in realm of Special Operation [than] in world of conventional forces." PRT members perceived that their tours were undervalued by their home department or military service, and thus had a negative impact on career progression. One respondent summarized the feelings of many when she wrote that PRT service is a "probable career disruption rather than enhancing; agencies view

[6] Based on overall survey responses. Common responses grouped and tallied.

service as adversely affecting them, and may take it out on those who serve." A lack of career-enhancing incentives may have a negative impact on volunteerism and recruitment for PRTs.

Staffing: "One deep in a lot of critical positions."

PRT members consistently noted a need not only for *more* people, but the *right* people. A majority of survey participants agreed that PRTs are understaffed for the mission assigned – one wrote that "we had the manning for one province, while we are assigned two." Most felt that they had the right mix of military and civilians, although several noted a specific need for additional engineers and agricultural specialists. PRT members described themselves as "motivated," "flexible," and "creative," similar to "candlewax filling the cracks." However, many said that they were regularly assigned to perform tasks outside of their military career field or area of civilian expertise. One wrote, "We had computer administrators and dental assistants driving Humvees." One respondent summarized his PRT's staffing issues by saying, "Some should not of [sic] been there. However, most were smart, motivated, quick learning professionals and grew into a team that accomplished a lot!"

Training: "We were 'trained' … but it was nothing like that when we got there."

The quality of the training program drew persistent complaints from survey participants. Language training, which ranged from one one-hour session to one week, was a particular area of concern, with more than two-thirds (69%) of respondents rating it as insufficient. Additionally, many PRT members serving in Afghanistan complained that the training at Fort Bragg for Afghanistan PRTs is too Iraq-centric, with one saying, "we made the best of it, but again the training was not geared for our sort of PRT or the operational environment we were in," and another calling it "laughable at best, dangerous at worst." Some commented that the training was not focused enough on PRT-specific skills. However, the Air Force and Navy personnel praised the Fort Bragg combat skills training, with one respondent writing that it was "vital for a group of airmen who were not familiar with land combat skills."

When asked how training could be improved, the most common suggestion was that teams should train as a team, with military and civilian PRT members as well as the PRT's force protection unit included, in order to develop a comfort level early on and facilitate civil-military understanding. Other suggestions for additional training included: how to drive an uparmored vehicle ("it took a little time to get used to driving them"); the use of standard communications equipment, particularly Blue Force tracker ("I didn't really know how to use it"); as well as classes in governance issues, the Commanders' Emergency Response Program (CERP) funding process, and management of contract projects.

DEPLOYMENT

Funding: "You could always use more."

PRT members were generally satisfied with recent changes in funding sources and processes, particularly the introduction of the Department of State's Quick Response Funds (QRF). One wrote, "There has been a drastic change in the system of accounting for funds. The new accountability allows for greater planning ability, as PRT team leaders are now aware of exactly what monies are available. This was not always the case." However, they reported some continued frustrations, specifically, that QRF funding for projects greater than $25,000 becomes mired in bureaucracy and often takes months for approval. Others reported that uncertainty over future funding amounts limited their ability to commit to long-term reconstruction projects, with one respondent questioning, "How can you plan strategically when you do not have a budget?" To ease process challenges, survey participants suggested including a budget officer on each team, and easing the restrictions on the use of QRF to mirror the military funding available through DOD's Commanders' Emergency Response Program.

Supplies: "It is difficult to find a stapler."

The surveys reveal a general perception among PRTs members that they are often last in line to receive needed equipment. One wrote, "PRTs are relegated to second string in receiving equipment for replacement or upgrade despite the assertion we are the main effort." Many purchased their own supplementary equipment, particularly office supplies (most often digital cameras and handheld commercial GPS systems), weapon holsters, and terrain-specific personal gear. Survey participants wrote that even basic provisions such as office equipment (copiers, scanners, shredders, and modern computers) are in short supply. They also expressed frustration that the lack of communications equipment (such as satellite phones and radio, and computers with access to the classified network) leaves them "out of contact with the world." Finally, PRT members reported a lack of equipment necessary for movement off the Forward Operating Base (FOB), specifically, vehicles outfitted with Blue Force Tracker and a sufficient number of crew-served weapons. Many deployed to Afghanistan also noted that their HMMWVs were of low overall quality and were inappropriate for the rough terrain. One wrote, "The age and condition of the fleet negatively impacted our ability to accomplish our mission as the vehicles were breaking down constantly. During the summer months we returned back to base towing our vehicles more than not." Survey respondents pointed out that this is a critical failure given that interaction with local nationals is an essential element of the PRT mandate.

Security: "Always an Issue."

A majority of survey participants reported inadequate security for their mission some or all of the time. Some noted that they were at the mercy of the brigade combat team (BCT) in their area of operation when they wanted to travel to meetings, projects, and other events.

One respondent noted that, though his PRT had a good relationship with the military, "If Brigade did not like you it would have been difficult." In addition to insufficient security during movement, many respondents noted that their already understaffed teams were responsible for security and administration while on the FOB, further straining their personnel. Additional force protection was a consistent request across all surveys in both countries (excluding e-PRTs), and many suggested that a combat maneuver element should be dedicated to each PRT.

Interpreters: "Country-wide shortage."

Access to interpreters varied across the PRTs. Many reported that while a sufficient number of interpreters and Bilingual Bicultural Advisors were provided, quality was both more important, and more inconsistent, than quantity. When asked if his team had a sufficient number of interpreters, one respondent seemed to summarize the general opinion when he wrote, "Yes in total, but only a few were well qualified and trustworthy." Some survey participants reported infighting over who controlled and tasked interpreters. A lack of qualified interpreters sometimes meant that missions were delayed or documents were not translated. Specifically, respondents called for additional female interpreters, as well as interpreters with functional subject matter expertise, validated language skills, and security clearances.

STRATEGIC CHALLENGES

Strategy, Metrics, and Tracking: "Unclear what everyone was working towards."

When asked about their mission, survey participants generally believed that it encompassed reconstruction, security and counterinsurgency, extending the rule of the central government, and winning hearts and minds. However, they were often surprised by the lack of instruction given to them or unsure of how their projects fit into the larger mission. One wrote, "Many of the factors contributing to success or failure were out of the PRT's control, such as lack of clearly defined role, lack of required subject matter/technical expertise, lack of specific instructions or standard operating procedures." As a result, many PRTs created their own plans in conjunction with the BCT and local government officials, with one participant noting, "We have had to 'write the book' as we go." Some respondents suggested that lack of planning led PRTs to pursue short-term "feel good" projects (with success measured by money spent or satisfaction of the local governor) without consideration of larger strategic and capacity-building implications.

Many respondents noted that PRT effectiveness is hard to quantify, particularly in the short-term. One wrote, "I'd say most of us use a 'gut' check. Although the work plan contained an 'Indicators and Targets' column, the PRT did not have what I'd define as specific, measurable, agreed-upon, realistic, time-sensitive performance standards nor relevant, verifiable, consistent, easily-interpretable performance measures by which to evaluate

achievement of goals and objectives." Among some PRT members, there was a sense of frustration at the amount of paperwork required, and some questioned whether the project reviews and metrics they submitted were actually used to evaluate PRT performance. Survey participants had an awareness of the unique nature of their role, and some wondered if their knowledge was being secured for future contingencies. One wrote that "there seemed to be no plan to recruit the right people or capture their experience afterwards." Another suggested that many PRT members would return for an additional rotation in a couple of years if they were asked, but "instead we completely fall off their radar."

Joint and Civil-Military Challenges: "Let's make sure we are all on the same page."

Tensions between the services and between the civilian and military segments of the PRT are exacerbated by the interagency struggles that PRTs witness on a larger scale in Baghdad, Kabul, and Washington. One respondent noted, "This is a 'Sunday pick up team' for a war time mission, not a cohesive unit." Within the military, PRTs often reflect the strains of the joint operating environment, particularly in Afghanistan, where soldiers, sailors, and airmen frequently expressed frustration with each other in their survey responses. Interagency tensions exist as well, particularly between the Departments of State and Defense, with one respondent writing that there was "no real understanding of how civilians could contribute to the team." For their part, the civilian component felt undervalued by the military. Military respondents indicated impatience with the initial lack of civilian presence and with the civilians' style of operating and management. The surveys revealed a perception amongst the PRT civilians that "the military will always have the upper hand in a situation like Iraq because they have the guns." Many PRTs function successfully and thrive in the joint interagency environment. Problems, when they occur, often appear to be personality-driven rather than institutional. However, according to the surveys, a lack of clarity and limited guidance on operational control too often exacerbated these challenges. One respondent wrote, "We never knew exactly who had authority over us. Seemed to keep changing." The survey responses indicate that struggles between some PRT and BCT commanders still exist and can have a chilling effect on the morale and operation of the PRT overall.

CONCLUSION

Members of Provincial Reconstruction Teams generally reported that they are positive about the mission and the work they have accomplished, despite the numerous challenges they face. They called the program "indispensable" and "an excellent concept." However, they noted that "reconstruction in an insecure environment is inherently and painfully slow and costly," and frustration with the limitations on and speed of change is apparent. One survey participant wrote, "I am proud of my service, proud of my troops. My Soldiers did more with less than in any other position I have held. That being said, working with the PRT was very frustrating," while another noted a "feeling of accomplishment to help people. But we could have done a lot more." Still, they called working on the PRT "one of the best experiences of my military career," "the best job in the Foreign Service," and the "most rewarding experience of my life." One participant summarized the general view when he wrote, "The PRT program is an excellent concept and if properly funded, equipped with a kinetic capability and competent staff, it will be very effective in the future."

APPENDIX D: NSPD-44

7007

THE WHITE HOUSE

WASHINGTON

December 7, 2005

NATIONAL SECURITY PRESIDENTIAL DIRECTIVE/NSPD-44

MEMORANDUM FOR THE VICE PRESIDENT
THE SECRETARY OF STATE
THE SECRETARY OF THE TREASURY
THE SECRETARY OF DEFENSE
THE ATTORNEY GENERAL
THE SECRETARY OF AGRICULTURE
THE SECRETARY OF COMMERCE
THE SECRETARY OF HEALTH AND HUMAN SERVICES
THE SECRETARY OF TRANSPORTATION
THE SECRETARY OF ENERGY
THE SECRETARY OF HOMELAND SECURITY
CHIEF OF STAFF TO THE PRESIDENT
DIRECTOR, OFFICE OF MANAGEMENT AND BUDGET
DIRECTOR OF NATIONAL INTELLIGENCE
ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY AFFAIRS
ASSISTANT TO THE PRESIDENT AND COUNSEL TO THE PRESIDENT
ADMINISTRATOR, AGENCY FOR INTERNATIONAL DEVELOPMENT
CHAIRMAN, JOINT CHIEFS OF STAFF

SUBJECT: Management of Interagency Efforts Concerning Reconstruction and Stabilization

Introduction

The purpose of this Directive is to promote the security of the United States through improved coordination, planning, and implementation for reconstruction and stabilization assistance for foreign states and regions at risk of, in, or in transition from conflict or civil strife.

Policy

The United States has a significant stake in enhancing the capacity to assist in stabilizing and reconstructing countries or regions, especially those at risk of, in, or in transition from conflict or civil strife, and to help them establish a sustainable path toward peaceful societies, democracies, and

market economies. The United States should work with other countries and organizations to anticipate state failure, avoid it whenever possible, and respond quickly and effectively when necessary and appropriate to promote peace, security, development, democratic practices, market economies, and the rule of law. Such work should aim to enable governments abroad to exercise sovereignty over their own territories and to prevent those territories from being used as a base of operations or safe haven for extremists, terrorists, organized crime groups, or others who pose a threat to U.S. foreign policy, security, or economic interests.

Responsibilities of the Department of State

Need for Coordinated U.S. Efforts. To achieve maximum effect, a focal point is needed (i) to coordinate and strengthen efforts of the United States Government to prepare, plan for, and conduct reconstruction and stabilization assistance and related activities in a range of situations that require the response capabilities of multiple United States Government entities and (ii) to harmonize such efforts with U.S. military plans and operations. The relevant situations include complex emergencies and transitions, failing states, failed states, and environments across the spectrum of conflict, particularly those involving transitions from peacekeeping and other military interventions. The response to these crises will include among others, activities relating to internal security, governance and participation, social and economic well-being, and justice and reconciliation.

Coordination. The Secretary of State shall coordinate and lead integrated United States Government efforts, involving all U.S. Departments and Agencies with relevant capabilities, to prepare, plan for, and conduct stabilization and reconstruction activities. The Secretary of State shall coordinate such efforts with the Secretary of Defense to ensure harmonization with any planned or ongoing U.S. military operations across the spectrum of conflict. Support relationships among elements of the United States Government will depend on the particular situation being addressed.

To achieve the objectives of this directive, the Secretary of State shall be responsible for the following functions and may direct the Coordinator for Reconstruction and Stabilization ("Coordinator") to assist the Secretary to:

(1) Develop and approve strategies, with respect to U.S. foreign assistance and foreign economic cooperation, for reconstruction and stabilization activities directed towards foreign states and regions at risk of, in, or in transition from conflict or civil strife;
(2) Ensure program and policy coordination among Departments and Agencies of the United States Government in carrying out the policies set forth in the Foreign Assistance Act of 1961, the Arms Export Control Act, and other relevant assistance laws, as well as section 408 of the Departments of Commerce, Justice, and State, the Judiciary and related Agencies and Appropriations Act, 2005, with respect to such states;
(3) Coordinate interagency processes to identify states at risk of instability, lead interagency planning to prevent or mitigate conflict, and develop detailed contingency plans for integrated United States Government reconstruction and stabilization efforts for those states and regions and for widely applicable scenarios, which are integrated with military contingency plans, where appropriate;
(4) Provide United States Government decision makers with detailed options for an integrated United States Government response in connection with specific reconstruction and stabilization operations including to recommend when to establish a limited-time PCC-level group to focus on a country or region facing major reconstruction and stabilization challenges;
(5) Coordinate United States Government responses for reconstruction and stabilization with the Secretary of Defense to ensure harmonization with any planned or ongoing U.S. military operations, including peacekeeping missions, at the planning and implementation phases; develop guiding precepts and implementation procedures for reconstruction and stabilization which, where appropriate, may be integrated with military contingency plans and doctrine;
(6) Coordinate reconstruction and stabilization activities and preventative strategies with foreign countries, international and regional organizations, nongovernmental organizations, and private sector entities with capabilities that can contribute to such efforts provided that the Secretary of the Treasury shall lead coordination with the international financial institutions and multilateral financing bodies and shall facilitate the Secretary of State's stabilization and reconstruction work with respect to these institutions and bodies;
(7) As appropriate, work with people and organizations, including in expatriate and foreign communities, with relevant ties, expertise, or knowledge related to countries

in which the United States may conduct stabilization and reconstruction activities;

(8) Develop strategies to build partnership security capacity abroad and seek to maximize nongovernmental and international resources for reconstruction and stabilization activities;

(9) Lead United States Government development of a strong civilian response capability including necessary surge capabilities; analyze, formulate, and recommend additional authorities, mechanisms, and resources needed to ensure that the United States has the civilian reserve and response capabilities necessary for stabilization and reconstruction activities to respond quickly and effectively;

(10) Identify lessons learned and integrate them into operations;

(11) Resolve relevant policy, program, and funding disputes among United States Government Departments and Agencies with respect to U.S. foreign assistance and foreign economic cooperation, related to reconstruction and stabilization consistent with the Office of Management and Budget's budgetary and policy coordination functions; and

(12) When necessary, identify appropriate issues for resolution or action through the NSC interagency process in accordance with NSPD-1. Such issues would include the establishment of a PCC-level group as described in sub-paragraph (4) above.

Responsibilities of Other Executive Departments and Agencies

To enable the Secretary of State to carry out the responsibilities in this directive and to support stabilization and reconstruction activities and requirements with necessary resources, Executive Departments and Agencies whose programs and personnel may be able to assist in addressing the relevant challenges will:

(1) Coordinate with S/CRS during budget formulation for relevant reconstruction and stabilization activities prior to submission to OMB and the Congress or as required to coordinate reconstruction and stabilization activities;

(2) Identify, develop, and provide the Coordinator with relevant information on capabilities and assets;

(3) Identify and develop internal capabilities for planning and for resource and program management that can be mobilized in response to crises;

(4) Identify within each agency current and former civilian employees skilled in crisis response, including employees employed by contract, and establish under each agency's authorities mechanisms to reassign or reemploy skilled

personnel (including by contract) and mobilize associated resources rapidly in response to crises;

(5) Assist in identifying situations of concern, developing action and contingency plans, responding to crises that occur, assessing lessons learned, and undertaking other efforts and initiatives to ensure a coordinated U.S. response and effective international reconstruction and stabilization efforts;

(6) Designate appropriate senior United States Government officials and government experts as points of contact to participate in relevant task forces, planning processes, gaming exercises, training, after action reviews, and other essential tasks; and

(7) Make available personnel on a non-reimbursable basis, as appropriate and feasible, to work as part of the Office of Reconstruction and Stabilization and develop plans for additional personnel exchanges, as appropriate, across departments and agencies to increase interoperability for stabilization and reconstruction operations.

Coordination between the Secretary of State and the Secretary of Defense

The Secretaries of State and Defense will integrate stabilization and reconstruction contingency plans with military contingency plans when relevant and appropriate. The Secretaries of State and Defense will develop a general framework for fully coordinating stabilization and reconstruction activities and military operations at all levels where appropriate.

Within the scope of this NSPD, and in order to maintain clear accountability and responsibility for any given contingency response or stabilization and reconstruction mission, lead and supporting responsibilities for agencies and departments will be designated using the mechanism outlined in NSPD-1. These lead and supporting relationships will be re-designated as transitions are required.

Policy Coordination Committee

I hereby establish a Policy Coordination Committee (PCC) for Reconstruction and Stabilization Operations. The PCC will be chaired by the Coordinator for Reconstruction and Stabilization and a designated member of the NSC staff. The PCC shall include representatives in accordance with NSPD-1.

Nothing in this directive shall be construed to impair or otherwise affect the authority of the Director of the Office of Management and Budget relating to budget, administrative, or legislative proposals. In addition, this Directive is not intended to, and does not: (1) affect the authority of the Secretary of Defense or the command relationships established for the Armed Forces of the United States; (2) affect the DNI's and D/CIA's authorities under title 50 of US Code; (3) affect the authority of the President's Special Coordinator for International Disaster Assistance under Section 493 of the Foreign Assistance Act of 1961, as amended; and, (4) create any right or benefit, substantive or procedural, enforceable at law or in equity, by a party against the United States, its departments, agencies, entities, instrumentalities, its officers or employees, or any other person.

This directive supersedes Presidential Decision Directive/NSC 56, May 20, 1997, "Managing Complex Contingency Operations."