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Response to the Senate Select Committee on Intelligence

Additional Questions for
Ellen E. McCarthy upon her nomination to be
Assistant Secretary of State for Intelligence and Research



July 20, 2018

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**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 1
Senate Select Committee on Intelligence
July 11, 2018**

Question:

What do you believe are currently the highest priority national security and foreign policy issues for INR?

Answer:

The highest priority national security or foreign policy issues for INR are those that occupy the Secretary of State and other national security policymakers on a daily basis, especially those that impact the vital interests of the United States and its allies. These often involve country-specific or regional issues, but also transnational threats and challenges.

If confirmed, I will work to ensure that INR and the IC continue to support the President and the Secretary's foreign policy priorities.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 2
Senate Select Committee on Intelligence
July 11, 2018**

Question:

What unique role does INR's analysis play, as compared to the analysis produced by other IC agencies?

Answer:

INR's analysis is unique in part because of its proximity to the Secretary of State and the Department of State's policymakers and its mission of providing timely and tailored intelligence to support foreign policy decision-making. These are worldwide responsibilities; INR needs to be able to provide both country and region-specific analysis, as well as analysis focused on transnational functional issues. It also needs to support policy engagements specific to the Department of State, such as bilateral meetings and multilateral conferences. INR's analysis draws on a unique combination of long-term civilian expertise, IC personnel who have rotated into INR on joint duty assignments, their analytic outreach network and most especially the expertise of the Foreign Service. All of these factors allow INR to provide first-rate analysis that benefits not just the Department but the entire national security community.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 3
Senate Select Committee on Intelligence
July 11, 2018**

Question:

If confirmed, how would you focus INR's resources to achieve these priorities and ensure that State Department policy makers had sufficient support in these areas?

Answer:

One of my priorities will be to ensure that INR has the resources it needs to grow its impact on the Secretary of State's priorities and the Department's global responsibilities. I also will be a strong advocate for enhanced IC collections to support the Secretary's needs. I understand that INR's ability to cover both the high-profile and the "over the horizon" issues is attributable in significant measure to both the deep expertise common among its analysts and the close, daily proximity between INR personnel and their colleagues among policymakers at the State Department. I will certainly work to maintain and even further enhance INR's close relationships with its policy clients.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 4
Senate Select Committee on Intelligence
July 11, 2018**

Question:

If confirmed, how would you plan to ensure that INR analysts have access to all sources of information available to the IC?

Answer:

I understand that INR analysts have access to intelligence reporting, including sensitive compartmented information that is relevant to their portfolio, primarily through the use of the IC's NGT search system. In the very few situations in which an analyst does not have routine access to a particularly sensitive reporting line that becomes relevant to the analyst's work, INR has developed procedures with the other IC collection agencies that permit the analyst to gain access to the relevant information with one-time read-ins. INR coordinates on all IC-joint production, including all PDB articles; in a very few rare instances, because of highly sensitive compartmentalization, coordination by INR or other agencies without access, are waived by ODNI. These rare cases arise where there is a need to protect an extremely sensitive source.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 5
Senate Select Committee on Intelligence
July 11, 2018**

Question:

If confirmed, how would you ensure that INR analysts provide independent analysis and assessments? How would you ensure that differing assessments are incorporated into final analyses?

Answer:

INR has a long history of “telling it like it is” and providing independent analysis to policymakers in the Department. If confirmed, it will be my priority to ensure that INR maintains its analytic independence while holding itself to the highest standards of analytic tradecraft.

Analytical dissents are a normal part of the IC collaboration process. Policymakers appreciate and benefit from knowing when and why analysts disagree. If confirmed I would fully support INR analysts who offer well-grounded dissenting opinions that touch on the major judgments of IC-coordinated products

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 6
Senate Select Committee on Intelligence
July 11, 2018**

Question:

Whom do you consider to be INR's primary customers?

Answer:

INR's primary customer is of course the Secretary of State. Its focus is to supply intelligence and analysis for the Secretary and other Department of State officials, and that will be my priority if confirmed. INR analysts also write articles for the President's Daily Briefing and other IC joint products, and regularly coordinate and collaborate with other intelligence community elements on a wide range variety of analytic products intended for the broader national security community. If confirmed, I look forward to reviewing INR's current activities and hearing from Department policymakers on their needs to advance U.S. foreign policy.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 7
Senate Select Committee on Intelligence
July 11, 2018**

Question:

If confirmed, how would you direct INR's analytical resources to fulfill its mission to those different customers?

Answer:

While INR's primary focus is to supply intelligence and analysis for the Secretary of State and the Department, the requirements of its external customers are often very much in line with their priority internal State customers. I understand that INR analytic products are widely disseminated and valued across the Executive Branch. INR's Program of Analysis is developed in consultation with INR's policy clients and reflects the priorities of the Department as well as the President's Intelligence Priorities, and the National Intelligence Priorities Framework. If confirmed, I look forward to engaging INR's various clients to better understand their policy support requirements.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 8
Senate Select Committee on Intelligence
July 11, 2018**

Question:

If confirmed, how do you envision utilizing INR's Office of Analytical Outreach (INR/AO), which exchanges analyses with the private sector to benefit the IC with outside expertise?

Answer:

INR has a leading role in analytic outreach in the Intelligence Community (IC) and has been designated as the outreach coordinator on behalf of the National Intelligence Council and is the permanent Co-Chair of the National Intelligence Analysis Board's Analytic Outreach Committee, which is mandated to implement ICD 205 throughout the IC. INR is the only IC element with an office dedicated to analytic outreach. In this capacity, INR convenes experts from the private sector, academia, think tanks, and international and nongovernmental organizations to share their research and analytic insights with IC analysts and USG policy makers to inject a variety of views and new thinking to help inform intelligence analysis. All of INR's exchanges are designed for a broad USG audience in an off-the-record and not for-attribution setting to foster candid discussion with outside experts. I believe that this function is very important for analyst and policymakers, as it helps guard against tunnel vision and group think. If confirmed I will ensure that INR continues to expose the IC and policymakers to diverse perspectives.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 9
Senate Select Committee on Intelligence
July 11, 2018**

Question:

What do you understand to be the obligation of the Assistant Secretary of State to keep congressional intelligence committees fully and currently informed about matters relating to compliance with the Constitution and laws?

Answer:

If confirmed, I will keep you fully and currently informed about matters relating to compliance with the Constitution and laws. This is a matter of statutory compliance but also good government. I fully appreciate and respect the important oversight role of Congress. If confirmed, I will make myself, my senior team, and INR staff available for meetings and briefings.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 10
Senate Select Committee on Intelligence
July 11, 2018**

Question:

If confirmed, how would you manage and achieve INR's obligations to the Secretary of State and to the Director of National Intelligence?

Answer:

INR is a bureau of the Department and operates under the Department's personnel system, budget, and guidance in a number of respects. In other areas it is under IC authorities. My sense is that the relative roles of INR within the Department and the Intelligence Community are not at odds, but are instead essential to its success. The bureau serves, in other words, as a bridge between the worlds of diplomacy and intelligence, playing a role that is critical for both the Secretary of State and the DNI.

INR's mission is to ensure that well-informed and independent analysis informs foreign policy decisions and that intelligence and counterintelligence activities support America's foreign policy. If confirmed, it will be my priority to work with Secretary Pompeo to understand what he needs from INR and the form in which he needs it. I will ensure that INR continues to make a valuable contribution to the Secretary of State and that INR leverages the global presence of the Department of State to make an important contribution to the Intelligence Community.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 11
Senate Select Committee on Intelligence
July 11, 2018**

Question:

How do you view INR's role within the Department of State versus INR's support to the IC?

Answer:

INR's primary focus is to supply intelligence and analysis for Secretary of State and other Department policymakers. INR also has a role to play as part of the IC. INR analysts write articles for the President's Daily Briefing and other IC joint products, and regularly coordinate and collaborate with other intelligence community elements on a wide range of analytic products intended for a broader national security community. INR coordination officers work closely with other IC elements on collection, evaluation, and intelligence policy issues. INR's role in the worlds of diplomacy and intelligence complement each other and are vital to its success.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 12
Senate Select Committee on Intelligence
July 11, 2018**

Question:

If confirmed, what would be your role in mediating any differences that should arise between the Office of the Director of National Intelligence and the Department of State regarding National Intelligence Program resource allocation?

Answer:

I do not anticipate such differences ever arising, but if they did, I would work with both the DNI and the Secretary to find a solution that would ensure that policymakers continue to receive the intelligence support they need. If a collection resource issue had to be referred to OMB, I will support efforts to achieve a satisfactory resolution.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 13
Senate Select Committee on Intelligence
July 11, 2018**

Question:

Please describe the role of INR in ensuring that the programs and operations of the IC are consistent with, and support, United States foreign policy.

Answer:

INR coordinates activities between the Department of State and the IC to ensure that they are mutually supportive and are consistent with foreign policy. I understand it does this in part by maintaining a staff of intelligence professionals who have an expertise in intelligence operations while also tracking foreign policy developments. These professionals brief Department policymakers on intelligence activities, including the likely gains and risks, so that policy makers can make informed judgments about whatever is proposed.

If confirmed, I will work with senior policymakers to ensure INR's coordination staff continues to have direct access to the Department's most senior officials and can provide them the benefit of their insight, expertise and ability to reach into the IC for more information. These professionals also can communicate policy guidance to the IC in secure channels.

If confirmed, I will maintain this critical INR function and work to ensure that INR supports State policymakers so that they can make fully informed decisions.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 14
Senate Select Committee on Intelligence
July 11, 2018**

Question:

What role should INR play in advocating on behalf of Department of State policymakers for expanded “read in” to compartmented collection activities (and analyses derived from those activities) and covert action programs?

Answer:

I believe that we can balance the need to protect sensitive information with the need for access. If INR staff are aware of sensitive intelligence that policymakers need to see in order to do their jobs, I will be prepared, if confirmed, to advocate for that access, while at the same time ensuring that we are doing all that we can to protect sensitive sources and methods.

With respect to covert action programs, and analyses derived from those activities, if confirmed, I will continue to ensure that INR follows the NSC’s security rules. I understand that those rules allow INR to decide who needs to be read in to programs in most cases; if confirmed I will continue INR’s policy of ensuring that the needs of policymakers for access are met but that security rules are also strictly adhered to.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 15
Senate Select Committee on Intelligence
July 11, 2018**

Question:

Do you believe that INR has the structure and resources necessary to support United States foreign policy and Department of State policymakers? Upon what factors do you base your answer?

Answer:

I understand that INR has realigned and reorganized resources over the last several years to ensure that it is postured to meet current challenges. Importantly, it created the Office of Technology and Innovation, headed by a Senior Executive Service official, to ensure that INR continues to modernize its IT infrastructure so that INR officers have access to appropriate IT tools and resources, including those available in the wider IC. It also made other changes, including changes that enhanced its ability to support policymakers' requests for cleared language and to participate in the IC's counterintelligence policy work.

I understand that the hiring freeze left INR, like the rest of the State Department, with vacancies but that Secretary Pompeo has lifted the freeze and is pressing the Department to "get back on the field". If confirmed, I will work with resource managers in the Department to determine how and when we can fill INR's most critical vacancies.

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My number one priority will be to ensure that the INR workforce has the resources, tools and tradecraft it need to increase its impact in the already top-notch support it provides the Secretary of State and other Department policymakers.

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**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 16
Senate Select Committee on Intelligence
July 11, 2018**

Question:

Please describe what you believe should be INR's role in supporting United States Chiefs of Missions, in terms of analytic support and in facilitating policy guidance related to collection and covert action programs and operations.

Answer:

One of INR's key missions is to ensure that Chiefs of Mission know and understand their intelligence oversight authorities and responsibilities, including their responsibility to clear on sensitive intelligence activities. INR emphasizes that in most cases the Chief of Mission is the only policy maker who decides whether the likely gain from an intelligence operation justifies its risks. To support Chiefs of Mission, INR conducts intelligence oversight training for new Chiefs of Mission and Deputy Chiefs of Mission, arranges briefings at IC elements, and issues guidance on a regular basis.

INR staff is also available 24/7 to respond to requests for information and assistance from Chiefs of Mission around the world. INR actively reaches out to Chiefs of Mission to solicit their views for proposed intelligence activities.

INR makes its analytic products, including foreign public opinion research analysis, available to Chiefs of Mission and other embassy staff. Additionally, INR analysts travel to the field to provide in-person briefings and conduct consultations.

If confirmed, I intend to ensure that INR is doing all it can to support our Chiefs of Mission.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 17
Senate Select Committee on Intelligence
July 11, 2018**

Question:

Is the IC obligated to cease intelligence activities that do not have the concurrence of the Chief of Mission, absent presidential direction?

Answer:

It is my understanding that the IC is obligated to suspend intelligence activities that do not have the concurrence of the Chief of Mission and to refer disputes to Washington headquarters elements for resolution.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 18
Senate Select Committee on Intelligence
July 11, 2018**

Question:

Is Chief of Mission concurrence required for intelligence activities, such as certain signals intelligence and cyber operations that affect the country in question but may not be conducted by members of the U.S. mission? What should be the role of INR in ensuring that Chiefs of Mission are aware of these activities?

Answer:

My understanding is that Chiefs of Mission would have a role to play in reviewing and providing concurrence for certain types of signals intelligence collection or cyber operations.

INR's role is to ensure that policymakers in the Department and Chiefs of Mission overseas have the opportunity to provide foreign policy review and conduct a risk/benefit analysis when appropriate.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 19
Senate Select Committee on Intelligence
July 11, 2018**

Question:

Should INR have a role in resolving disagreements that arise between Chiefs of Mission and the Department of Defense?

Answer:

Whether INR would have a role in resolving any disagreements between the Department of Defense and Chiefs of Mission would depend very much on the nature of the issue. The Bureau of Political-Military Affairs serves as central coordinating offices for many State-DOD issues. INR could have a role to play if the disagreement involved an intelligence issue. I understand that INR is represented on a State Department internal working group that helps ensure appropriate Chief of Mission oversight of certain sensitive DOD deployments overseas and would be one of several bureaus in the working group that would work to resolve any interagency disagreements. In addition, DIA has a senior liaison officer assigned to the State Department who is embedded in INR; this officer and INR work together as appropriate to help resolve intelligence coordination issues that arise at our missions or between the Department and elements of DoD.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 20
Senate Select Committee on Intelligence
July 11, 2018**

Question:

Section 1.8 of Executive Order 12333 tasks the Secretary of State with transmitting reporting requirements and advisory taskings of the Intelligence Community to Chiefs of Mission and disseminating reports received from U.S. diplomatic and consular posts. What should INR's role be in identifying intelligence gaps that could be addressed through diplomatic reporting? What should INR's role be in ensuring that diplomatic reporting is disseminated throughout the Department of State and the Intelligence Community?

Answer:

I understand that INR works with the National HUMINT Requirements Tasking Center (NHRTC) to develop National HUMINT Collection Directives and transmits these Directives to U.S. missions overseas. To help facilitate the work of the NHRTC, a senior Foreign Service Officer serves in a leadership position -- as Chair or Vice Chair -- of the NHRTC. In addition, several other lower-level Foreign Service Officers serve in the Center. NHRTC's taskings are considered advisory taskings for the Department, but INR works hard to encourage diplomatic reporting, particularly on issues identified by NHRTC as information gaps that can best be filled by diplomatic reporting. If confirmed I will continue INR's role in championing diplomatic reporting for the benefit of the entire USG.

With respect to distribution of diplomatic reporting, there are well established mechanisms in the Department and the IC to distribute the Department's diplomatic reporting to those who need to see it. Responsibility for the distribution of diplomatic reporting lies outside of INR, but if

confirmed I will be available to my IC colleagues to help resolve any concerns they have about receiving the diplomatic reporting that they need.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 21
Senate Select Committee on Intelligence
July 11, 2018**

Question:

If confirmed, what modifications (if any) do you envision for INR personnel, in terms of hiring, structure, promotion, and retention?

Answer:

The quality of INR's analysis and production is inextricably linked to its ability to attract, retain and develop a first class work force. I understand that INR already has a highly competitive selection process associated with INR positions to ensure top quality candidates for positions in the bureau. The combination of Civil Service officers who have spent many years on the same account and Foreign Service officers who bring an overseas perspective contributes to INR's reputation for strong, independent analysis.

If confirmed, I would ensure that INR does everything within its power to continue to attract, promote, and retain people of this caliber – individuals with the expertise and integrity that INR is known for.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 22
Senate Select Committee on Intelligence
July 11, 2018**

Question:

Please describe any specific goals that you would have to improve INR?

Answer:

To start, I remain incredibly impressed with the high caliber of INR's people and work

. If confirmed, I would want to see INR continue to play an important role in serving as the nexus between the State Department and the Intelligence Community. My job would be to ensure that the INR workforce has the tools and resources they need to continue to grow their impact on the State Department mission. I would make it a priority to continue to recruit and develop the deep analytic expertise for which it is renowned, while also looking carefully at INR's longer-term needs. I will want to ensure that INR continues to excel in its coordination function. INR's hiring and resource allocations must reflect the priorities and challenges that our policymakers will confront in the years ahead. In addition to people, if confirmed, I will focus on continuing INR's IT modernization. INR staff should have access to state-of-the-art information technology to enable them to carry out their mission in the most secure way possible. I would work to leverage resources that might be available in the broader IC.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 23
Senate Select Committee on Intelligence
July 11, 2018**

Question:

How do you intend to protect whistleblowers, ensure that their complaints are treated appropriately, and that they are protected from reprisals?

Answer:

If confirmed, I will ensure that all INR employees are aware of their rights and the protections available to them. Presidential Policy Directive-19, Protecting Whistleblowers with Access to Classified Information (PPD-19) ensures that employees serving in the IC can effectively report waste, fraud, and abuse while protecting classified national security information. My role as Assistant Secretary would be to ensure that all staff members feel comfortable coming forward with issues of concern without fear of reprisal.

**Prehearing Question Submitted to
INR Nominee Ellen E. McCarthy by
Senator Burr # 24
Senate Select Committee on Intelligence
July 11, 2018**

Question:

Please describe specifically how your experiences will enable you to serve as the Assistant Secretary of State for INR, and how these experiences would enable you to serve effectively in the future.

Answer:

If confirmed, I will come to State INR with over thirty years of broad mission experience across the IC and the private sector and deep expertise in the business of intelligence (to include vision, strategy, people, budget, requirements). It is this experience and a track record of leaving every organization that I have served more capable than when I arrived that will enable me to serve effectively in the future.

INR's primary missions and some examples of how my experience will enable me to serve as the Assistant Secretary of INR include:

1. **All-Source Analysis and Outreach** –The first ten years of my career were spent as an all-source analyst first at the Office of Naval Intelligence and later as the Deputy Director of Analysis at the Atlantic Intelligence Command. In this capacity I coordinated with INR analysts in the production of National Intelligence Estimates, and was an avid consumer of INR products and where I first gained respect for the caliber of their

analysts. If confirmed, my primary focus will be to recruit, retain and develop a diverse staff, the INR brand, and make sure that they have the tools and resources that they need. To do this I will draw upon my experience in professional development while serving as the Director of Human Capital Management as the Office of the Under Secretary of Defense Intelligence, where I developed a certification system for analysis that is currently being implemented across the defense intelligence components. I will also be informed by my currently position as the VP for Intelligence and Analytics at Noblis, a nonprofit organization that provides scientific and technical solutions to the national security sectors toughest technical problems. This position has afforded me real insight into the tools and capabilities that INR analysts need, and more importantly what is available to them, to thrive and operate securely in a digital environment.

To support INR's analytic outreach efforts, I will leverage my experience inside and outside of government, with a focus on building upon INR's expertise in foreign policy and intelligence issues. INR's analytic offices include the Office of the Geographer and Global Issues, headed by the Department's Geographer, which represent both the State Department and the broader U.S. government in geographic mapping. My three years of experience as the Chief Operating Officer at the National Geospatial Intelligence Agency has not only provided a deep understanding of the value of geospatial intelligence, and the capabilities that exist in the public and private sector but a great network to leverage in support of the State Department. INR also co-chairs the National Intelligence Analysis Board's Outreach Committee and conducts hundreds of seminars with the private sector, academic and NGO experts on many of the most challenging foreign policy and intelligence issues. Here I will

apply my experience and network gained while leading the Intelligence and National Security Alliance, the IC's think tank and a forum for collaboration among the public, private and academic sector in tackling the IC most pressing challenges.

2. Intelligence Policy and Coordination – INR also ensures that the IC is supporting the foreign policy mission and conversely that IC missions are informed by foreign policy. In this regard I will draw upon my experience as the Director of Intelligence Operations and Policy at the U.S. Coast Guard. The USCG is a small service, during my time there it was smaller than the New York City police department. Like INR, USCG punched above its weight and that was because of our success in leveraging the IC to support the USCG's law enforcement and defense missions. Also like the State Department, the USCG provided insights and collections that could not be derived from any other source. I will also draw upon my oversight experiences at OUSDI as well as my ability to manage NGA's people, budget and requirements and make sure that they were aligned with the vision of the Director, the DNI and the Secretary of Defense.

I will bring extensive experience across the IC and the private sector and relevant skills should I be confirmed for this position. I will work tirelessly to ensure that INR continues to provide the President, the Secretary of State and other senior policy makers with timely, independent intelligence analysis and that our intelligence activities support our foreign policy and national security objectives.