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8 July 1987

MEMORANDUM FOR: All NIOs
FROM: H. F. Hutchinson, Jr.
Vice Chairman, National Intelligence Council
SUBJECT: Revision of 1981 Guidelines

1. Please provide your comments on the revised guidelines for interagency intelligence production.

2. This revision to the 1981 guidelines was directed by the DCI on 1 June, and I met with Intelligence Community representatives on 16 June to hear their suggestions. Please note the attached summary of their comments.

3. After several discussions with the DCI/DDCI on their preferences for a more streamlined process, we drafted the revised guidelines. Please note that there is a two page Procedures, largely a statement of principles and broad guidelines for the Community. Attached to the Procedures is a Checklist with the more detailed steps the NIO would follow in implementing the Procedures. Also attached to the Checklist is a brief description of the four types of interagency products.

4. We plan to incorporate your comments before consulting the DCI/DDCI and then sending these out for Community comments. After that, we would schedule NFIB discussion.


H. F. Hutchinson, Jr.

Attachments:
As Stated

cc: SRP

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The Director of Central Intelligence

Washington, D.C. 20505

Executive Registry

81-4807

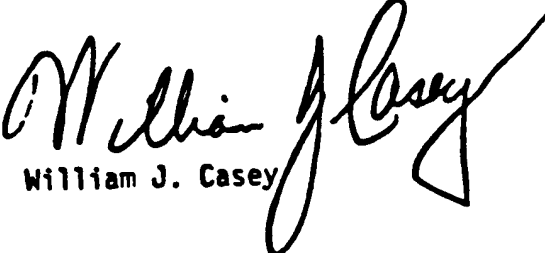
NFAC 4652-81

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30 July 1981

MEMORANDUM FOR: National Foreign Intelligence Board Principals
FROM: Director of Central Intelligence
SUBJECT: Interagency Intelligence Production

The attached procedures for interagency production, which we discussed at NFIB on 21 July, are approved and are effective immediately. When feasible, estimates in progress will be adjusted to conform. I ask your cooperation in making the new system work.


William J. Casey

Attachment:
Procedures For Production
Of Interagency Intelligence
Assessments, dated 27 July 1981

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REVIEW ON JULY 87
Derived from Multiple

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27 July 1981

PROCEDURES FOR PRODUCTION OF
INTERAGENCY INTELLIGENCE ASSESSMENTS

This Notice establishes ~~new~~ guidelines for production of interagency intelligence assessments, based on the experience to date of the National Intelligence Council (NIC), and on recent critiques of existing procedures.

Policy

National Intelligence Estimates (NIEs and SNIEs) are the most important product of the Intelligence Community and should be given the highest priority by all intelligence agencies. They will again become the primary Intelligence Community contribution to the policy formulation process at the national level. (Interagency Intelligence Memoranda will continue to be produced as before, on occasions when the paramount intelligence task is the reaching of factual determinations. See Page 5.)

The principal purpose of these changes

- To produce NIEs and SNIEs which are better suited than are existing estimates for NSC and Cabinet-level examination and consideration, while preserving their usefulness for other important consumers
- To assist senior policymakers by producing interagency assessments which are less bulky -- and to do so quicker.
- To improve the substantive usefulness of such assessments to the policy process.
- To enhance senior review within the Intelligence Community by engaging the DCI and the other NFIB principals more fully in arriving at the judgments set out in these assessments.

Categories of Estimates

Special National Intelligence Estimates will be oriented to a current event or policy issue. The need for such estimates will normally arise from the policy formulation process. To be useful, they must be brief and timely. Papers directed at relatively narrow questions and on particularly short deadlines will normally be produced as "Category A" SNIEs. This category includes "Contingency" estimates, e.g., "What would be the reaction if the US did X?" There will also be broader "Category B" SNIEs, particularly in the political and economic fields, that require expeditious handling. Production of SNIEs will be governed by the "fast track" procedures discussed below (page 2).

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National Intelligence Estimates will also fall in two Categories. "Category I" NIEs will be those devoted to less pressing policy concerns. e.g., Yugoslavia After Tito. Papers in this category will take somewhat longer to prepare than those tied to more immediate issues, and may include extensive back-up analysis. Production will be governed by more deliberate procedures (see page 3). The number of Category I NIEs should decrease in coming months as the number of SNIEs increases. The major periodic estimates, including the Soviet military series, will be listed as Category II NIEs. They will be produced on a schedule approved by the DCI after consultation with NFIB (see page 4).

Content of NIEs and SNIEs

In preparing estimates, Principals, Chairmen, and drafters shall assure that drafts:

- Are as directly relevant to ongoing policy concerns as possible, within the ground rules of appropriate discussion by intelligence officers. They should be written in awareness of the US role in the given situations, analyze the degree to which these situations may be susceptible to the influence of the US or its friends, and address the significance of various outcomes for US interests.
- Contain as much estimative thrust as possible, including where appropriate possible alternative future developments.
- Integrate political, military, economic and other factors-- especially with respect to economic forces and to the broader political purposes of military power.
- Avoid secondary issues and unnecessary detail.
- Contain, as has been the practice, any alternative or dissenting views.
- Indicate the validity of the intelligence supporting the estimate.

Fast-Track Procedures for SNIEs

Initiation: Preparation of SNIEs may be proposed to the DCI by any senior officer, although the concerned NIO is expected to anticipate the need for such estimates through his participation in the policy formulation process. If the DCI approves a proposal, the Chairman NIC will immediately notify NFIB Principals by telephone or LDX, designating an NIO as Chairman of the estimate and requesting that each Principal name a single qualified officer fully empowered to represent him in the coordination process. Representatives should have access to and be able to speak for their Principal.

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Terms of Reference (TORs)/Concept Papers: The Estimate Chairman will immediately prepare draft TORs and a concept paper, check them out with the requester and the DCI, and coordinate them with the representatives by telephone and LDX. For Category A SNIEs, these steps should take no more than 24 hours, for Category B, no more than 3 days.

Drafting Responsibilities: The Chairman will in the course of establishing TORs negotiate with the representatives to identify drafters and contributors who are both qualified and available. It will be the responsibility of the Principals to free assigned drafters and contributors from conflicting duties until the draft is completed. For Category A this should regularly require no more than 2 days, for Category B, 5 days.

Format: The SNIE will regularly run no more than 5 pages for Category A and 10 for Category B. Where essential, annexes may be appended.

Coordination: When the Chairman has a satisfactory draft, he will distribute it to the representatives for coordination, normally by LDX. Representatives should immediately seek the views of their Principals. For Category A SNIEs, the Chairman will, when time permits, convene a representatives meeting to coordinate the paper, but in extreme cases will coordinate by telephone. In any case the time required should not be more than 2 days. For Category B, representatives will normally meet, and coordination should be complete in no more than 5 days.

NFIB Consideration: SNIEs will normally be reviewed by the DCI at this stage. Concurrence of the Principals in Category A SNIEs will then be obtained by telephone or through a special NFIB meeting within the next 24 hours. Category B SNIEs usually will be considered at a regular NFIB meeting if conveniently scheduled, or at a special meeting; no more than 3 days should be required.

Category I NIE Procedures

Initiation: NIEs in Category I will normally be proposed by the NIC and scheduled well in advance, although any NFIB Principal or senior policy officer may request one. The schedule will be considered by NFIB quarterly and approved by the DCI. Should an addition to or deletion from the schedule be proposed, Principals will be given an opportunity to comment prior to a decision by the DCI. Before work begins on a paper, the Chairman, NIC is responsible for designating an NIO as Chairman and notifying the Principals. Each Principal in turn will designate a single qualified officer fully empowered to represent him in preparation of the estimate.

Terms of Reference/Concept Paper: The Estimate Chairman will prepare draft TORs and a concept paper. He will assure that before they are sent out to the agency representatives, these papers have been checked out with the policy officers concerned and have been submitted to the DCI for his review. Once these papers go out to the representatives, the latter will be expected to review them with their Principals before the representatives come to the coordination meetings. The usual time to be given for such review, prior to the meetings of the representatives, will be one week. In cases where...

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circumstances warrant significant changes in the initial purpose, scope, concept, or TORs of a given paper, the Chairman will ensure that these changes have the approval of the DCI and the NFIB Principals.

Drafting Responsibilities: The Chairman will, in the course of preparing and coordinating TORs, negotiate with the representatives to identify drafting officers and arrange for contributions from individual agencies. It will be the responsibility of each Principal to ensure that contributions assigned to his agency are delivered on schedule. Drafts should regularly be completed within one month.

Format: Each draft Category I NIE will normally consist of the basic estimate and a shorter Key Judgments section. Both will be coordinated by the Agency representatives. When published, the first volume of the NIE will contain only the Key Judgments. Volume I should be no more than 10 printed pages in length. The basic estimate will be published as back-up analysis in an accompanying Volume II. There will, of course, be occasions where the length or complexity of the estimate will necessitate variations on this concept.

Coordination: When the Chairman has a satisfactory draft, he will distribute it to the representatives. The latter will be given 2 weeks to consult with their respective Principals on the content of a draft before the representatives meet for coordination with the paper's Chairman. The representatives will meet on consecutive working days for as long as necessary to complete coordination. Discussion at these meetings will center on ironing out questions of fact, examining the principal assessments of the given paper, and identifying main areas of agreement or disagreement/dissent. If major revisions are necessary, there can be a clean-up meeting to review the final text; new issues will not be raised at clean-up meetings. Any major issues not resolved at representatives' meetings will be examined at NFIB by the DCI and the Principals.

NFIB Consideration: Volume I as coordinated by the representatives (that is, Key Judgments, together with any dissents or unresolved issues) will go to the DCI for approval and distribution to the Principals, who will be given at least 7 working days to review the final draft. It will be scheduled for the next regular meeting of NFIB thereafter. At NFIB, discussion will center on the estimate's major questions, with any necessary editorial or minor fixes to be done subsequently under the direction of Chairman, NIC and the paper's Chairman, as directed at NFIB by the DCI. The Chairman will also be responsible for conforming a coordinated Volume II to Volume I. Volume II will be published within one month after Volume I.

Category II (periodic) NIE Procedures

The procedures outlined above for Category I NIEs in general apply also to Category II. These papers are likely to be longer (sometimes more than two volumes) and more complex than those in Category I, and arrangements for

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their production may involve an elaborate structure of working groups and subgroups, DCI Committees, etc. They will also take more time to prepare. Nonetheless, every effort will be made to move them along expeditiously, and to keep Volume I concise and policy-oriented. Present production of periodic NIEs should not be significantly changed under these procedures.

Interagency Intelligence Memoranda (IIM)

The IIM will be prepared in accordance with SNIE or NIE procedures as appropriate to the issue addressed, except that it will be coordinated in the Community at the NFIB representatives level and issued by the Chairman, NIC. Representatives may, of course, seek the approval of their Principals. An IIM may be referred to NFIB and issued by the DCI if he so decides, or if requested by a NFIB Principal.

General

These procedures should provide a maximum of one week for the production of Category A SNIE's, three weeks for Category B SNIE's, and three to four months for the production of Volume I of Category I and most Category II NIE's. Principals will, of course, retain their right of dissent in all cases and categories of estimates, including IIM's.

After NFIB discussion of an SNIE or NIE, the estimate Chairman will convene the representatives for a review of and follow-up to the NFIB proceedings. This meeting should also focus on identifying gaps in collection or analysis for future emphasis. The Chairman will be responsible for initiating further action through appropriate channels to fill such gaps.

These procedures may be abridged by C/NIC when an estimate is needed more quickly than they will permit. The only essential conditions are that each agency have an opportunity to dissent, and that the DCI approve the final product.

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24 June 1987

Summary of NFIB Agency Views on Procedures

Comments prepared for your 16 June meeting and for the NFIB session on "objectivity and integrity" demonstrate a broad consensus within the Community on seven principal areas:

I. The number of estimates should be reduced and more rigorous standards for both topics and quality should be adopted.

--The Director of INR urges that NFIB review production plans with the aim of producing fewer, more relevant and better products. He observes that "there appears to be considerable question as to whether the products serve any useful purpose."

--The DDI also contends that "We are clearly doing too many estimates, and too many of our estimates look more like research papers than estimates." He recommends that estimates address only critical intelligence questions on important policy issues and that they be "analytic and estimative in nature."

--DIA proposes that the number of estimates in the NIC Production Plan be reduced "to a reasonable number," allowing for ad hoc requests and a better balance between volume and resources. DIA would exclude drafts which are "largely background papers containing current/historical information but little if any estimative judgments geared to policy-maker needs."

--Air Force and Navy agree that estimates should meet the test of "utility to the policy arena" and that their "substantive thrust" should be estimative, not "factual."

--The Director of NSA points out that "the quality of TORs is not uniformly high. Yet that is where the issues should be framed, not after someone has provided a draft and community representatives are left with nothing to do but take petty swipes at details."

II. Estimates should be shorter, more concise and more easily grasped by busy readers.

--DIA, Army, Navy and Air Force all agree that "some estimates are too lengthy" and unwieldy. DIA particularly stresses a need to shorten the Key Judgments and suggested that Executive Summaries might be prepared for "those without time to read."

III. More careful attention should be given to defining the purpose and concept of estimates before drafting begins. Drafts should hold narratives of facts and events to a minimum. The main thrust should be analytic and estimative.

--The Director of INR suggests that estimate chairmen should consult

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NFIB representatives before TORs are drafted. Chairmen should convene pre-TOR meetings to discuss concepts and definitions of papers.

--DIA, Air Force and Navy agree that most estimates devote excessive space and attention to reciting facts and recent history, at the expense of thoughtful and carefully crafted projections of future trends, events, and alternatives.

IV. The NIOs, acting as estimate chairmen, should perform the role of manager, coordinator and "honest broker" in pulling together the views of NFIB agencies. They should not advocate any particular analytic line, nor should they coordinate or chair estimates they have drafted.

V. More time should be allowed for review and coordination.

--DIA recommends "Slow down the interagency process to allow more time for review by experts."

--INR suggests that "NIOs should be held to established coordination procedures."

--Navy proposes that "specific production timelines" be eliminated.

VI. Changes in a coordinated text either before or after NFIB consideration should be held to a minimum and should be reviewed and approved by NFIB representatives.

--INR proposes that if the DCI makes changes in a final draft, the paper should be remanded to the representatives for review and comment.

VII. NFIB Principals should be involved earlier and more deeply in the process.

--DIA counsels "Get the Principals involved early, especially on those estimates that promise to be controversial."

--The DDI expressed the view that NFIB should approve TORs "to ensure that only important topics are selected for NFIB consideration, and that the critical issues are being addressed in the estimative process."

--The Director of INR calls for interagency consultations prior to the drafting of TORs.

--The Director of NSA complains that "TORs are pulled out of the air. They arrive too late for me to review them."

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7 July 1987PROCEDURES FOR PRODUCTION OF
INTERAGENCY INTELLIGENCE ASSESSMENTS

This Notice establishes revised guidelines for production of national intelligence estimates and assessments.

Purpose

These procedures are intended to strengthen the Intelligence Community's capacity to support the DCI in producing national intelligence responsive to the needs of senior consumers. The system must be able to respond quickly to foreign trends and developments that create new requirements for intelligence assessments. National Intelligence Estimates, Special National Intelligence Estimates, and Interagency Intelligence Memoranda and Assessments will be formulated primarily with a view to assisting senior policymakers at the NSC and Cabinet level. These products will be predominantly analytical and usually will address a limited number of policy relevant key questions; accordingly, they will avoid unnecessary detail and their scope streamlined.

Categories of Interagency Assessments

National Intelligence Estimates and Special National Intelligence Estimates will remain the Intelligence Community's principal contribution to the formulation of foreign and security policies at the national level. The production plan for NIEs will reflect the prevailing mid-range policy agenda (2 to 5 years). Although any NFIB Principal or senior policy officer may request a NIE, the production plan normally will be prepared annually by the NIC and be approved by the DCI in consultation with NFIB. SNIEs will be reserved for assessments of specific events, narrow questions, or policy issues that require short deadlines. Because of the urgency and ad hoc nature of SNIEs, they normally will be produced on a "fast-track" schedule. They should be accorded the highest priority by NFIB members.

Procedures

Before work begins on an interagency intelligence product, the Chairman, NIC will designate an NIO to be responsible for the paper and will notify the NFIB Principals. Each Principal will designate an officer to represent him in preparation of the estimate.

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The NIO, in consultation with NFIB representatives and policy officers, will prepare draft Terms of Reference and a Concept Paper. The Concept Paper, Terms of Reference, and Key Questions of the estimate will be approved by the DCI.

After the TORs have been approved, the NIO, in consultation with the representatives, will designate drafters and contributors. The NFIB Principals should relieve these officers of regular duties until their special assignments to the estimate have been fulfilled.

Schedules for drafts, coordination, and presentation to NFIB will be established by the NIO, in consultation with the representatives. It is not feasible to prescribe more than general schedules for products that vary so much in scope, detail, and length. The TORs and Concept Papers for scheduled NIEs will be reviewed and should be approved by NFIB Principals and their representatives within three weeks. For SNIEs, this review should be completed within a week, unless the DCI mandates an accelerated schedule of hours or days. With the change to shorter, more concise estimates, however, the drafting and coordination process will require substantially less time than in the recent past.

The DCI usually will review draft texts of estimates before they are submitted to NFIB representatives for coordination to confirm that the paper and its key judgments meet the criteria established by the Concept Paper and Terms of Reference.

The NFIB representatives should have sufficient delegated authority to agree to changes in the text at the coordination meeting that are, except in the most unusual circumstances, binding on their Principals. Changes submitted after coordination usually will be reviewed by the representatives before sending the text to the NFIB principals. For scheduled NIEs, NFIB agencies should have 10 working days to review final drafts prior to the NFIB meeting. For SNIEs, agencies should have five working days to review final drafts, except for the most time-sensitive estimates.

Dissenting views and alternative judgments or interpretations will be expressed in the body of the estimate. Footnotes will be used only for references to other national intelligence products or for explanatory information.

At the discretion of the NIO more complex and detailed NIEs may include a brief Executive Summary in addition to the Key Judgments section.

Interagency Intelligence Memoranda and Assessments

These papers will be produced in accordance with NIE and SNIE procedures, except that they will not be formally approved by NFIB. They will be issued by the Chairman, NIC rather than by the DCI. Any IIM or IIA, however, may be referred to NFIB and issued by the DCI if he so decides, or if requested by a NFIB Principal.

Attachment: Summary Production Checklist

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Draft
7 July 1987

SUMMARY PRODUCTION CHECKLIST

I. TOPIC DEVELOPMENT

- NIO develops with community
- NIO through C/NIC proposes and provides rationale for start, stop, major change to DCI/DDCI and requests approval of recommended action. Rationale for start includes tentative concept paper and terms of reference. DCI approves, disapproves, directs changes
- NIO through C/NIC informs NFIB Principals of DCI approval to proceed and requests representatives

II. PRE-COORDINATION TOR

- NIO develops with drafter and community*
- NIO through C/NIC seeks SRP comments*
- NIO through C/NIC transmits draft TOR to NFIB Principals and schedules representatives meeting

III. COORDINATED TOR

- NIO coordinates with community representatives
- NIO through C/NIC forwards for information to DCI/DDCI coordinated TOR/CP and indicates how SRP comments and community views were accommodated
- NIO through C/NIC releases TOR to NFIB Principals along with drafting schedule

IV. PRE-COORDINATION DRAFT

- NIO develops with drafter and community
- NIO through C/NIC seeks SRP comments**

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- NIO through C/NIC forwards pre-coordination draft to DCI/DDCI for information and comments; indicates how SRP views and TOR accommodated**
- NIO through C/NIC transmits draft to NFIB Principals and schedules reps meeting

V. POST-COORDINATION DRAFT

- NIO coordinates with community reps
- NIO through C/NIC indicates impact of coordination on draft (and accommodation of SRP comments)
- NIO releases draft to DCI and NFIB Principals for review
- NIO accommodates routine changes with community prior to NFIB

VI. NFIB

- NFIB reviews draft, discusses any major issues, and DCI approves or remands estimate
- Telephone coordination reserved in lieu of meeting for lesser, non-controversial papers, and after meetings for changes directed by NFIB

*May be included in I. Topic Development if time permits.

**Prefer to inform DCI at this point of how SRP comments were accommodated but may be delayed to post-coordination draft.

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INTERAGENCY INTELLIGENCE PRODUCTS

National Intelligence Estimate (NIE)

This in-depth assessment addresses significant intelligence questions that bear upon major policy issues. The principal criterion for undertaking a NIE is that it describes and evaluates trends or developments that will have significant effects on US interests or security and will normally appear on the NSC agenda. Production plans for NIEs will reflect the mid-range policy agenda in the next two to five years.

Judgments and projections in NIEs of course will be based on the most comprehensive intelligence data and research findings available, but summaries of factual information or historical developments will be held to the minimum necessary to illuminate the substance of the estimate. The main weight of the text will be devoted to analyses that will serve policymakers' needs by anticipating developments that are likely to require consideration at the NSC level. These analyses will focus on identifying those factors that will shape the mid-term course of events, evaluating alternative lines of development and scenarios, identifying potential discontinuities, and projecting the implications of various outcomes and ranges of probabilities.

Special National Intelligence Estimate (SNIEs)

This format will be reserved for rapid assessments of short-term implications for US interests or security of a specific development or event. They normally will be undertaken either in response to specific requests by policy official or at the initiative of the DCI or another NFIB Principal to meet new requirements for community judgments. In contrast to NIEs, which will be scheduled well in advance, SNIEs are time-sensitive and the majority will require fast-track procedures.

Interagency Intelligence Memorandum and Interagency Intelligence Assessment (IIMs and IIAs)

These papers are produced in accordance with NIE and SNIE procedures, except that they will not be formally approved by NFIB. They will be issued by the Chairman, NIC rather than by the DCI.

IIMs generally will resemble NIEs in that they provide the community's assessment of a body of data or a series of events and project alternative outcomes and their implications for US interests. IIMs normally will address problems or situations that will not engage the attention of NSC members or at least are not yet ripe for NSC consideration.

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IIAs may be regarded as the counterpart of SNIes in that they treat more specific and limited topics than IIMs. IIAs will also be used for more speculative evaluations of problems or situations in which a broad data base is not available. These papers will focus on short-term policy implications of various lines of development, prospects for sudden breakpoints or discontinuities, and implications of policy choices, actions, or inaction.

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