

Joint Strategic Assessment Team

**Lincoln Hall,
National Defense University
Washington, DC**

USCENTCOM Mission¹

With national and international partners, US Central Command promotes cooperation among nations, responds to crises, deters or defeats state and non-state aggression, and supports development and, when necessary, reconstruction in order to establish the conditions for regional security, stability, and prosperity.

USCENTCOM Strategic Imperatives¹

- Contribute to the security conditions that establish the foundation for enduring regional stability
- Ensure the free flow of strategic resources
- Support USG initiatives to advance principled, pragmatic governance
- Work with Allies and partners in pursuit of common interests

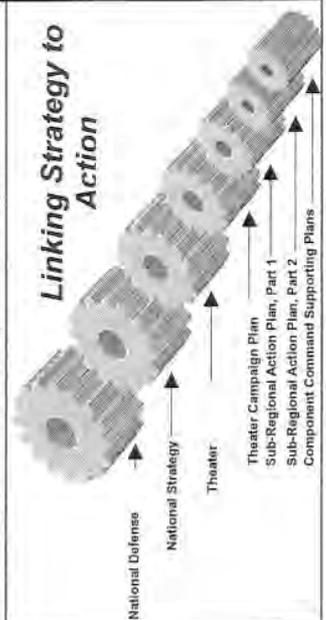
USCENTCOM Vision¹

A region where nations recognize that improved security leads to increased stability. Cooperation between regional and international partners will help to isolate, counter, deter, or defeat state and non-state actors who use violence in pursuit of their goals. Disruptive impacts of friction caused by religious, political and social diversity can be minimized through cooperation. The potential increased economic opportunities, political freedoms, and social welfare, of mutual benefit to all parties, will help strengthen regional ties.

USCENTCOM Strategic Objectives¹

- Promote common interests in order to enhance stability
- Defeat Violent Extremist Organizations (VEOs)
- Counter the proliferation, acquisition and use of WMD
- Assist in setting the conditions that will enable economic development and prosperity
- Prepare US and partner forces to respond to emerging challenges

¹ USCENTCOM Theater Strategy dtd 11 June 2008



Timeline

The JSAT will be conducted 3 Nov 08 through 13 Feb 09.

Phase I: Washington, DC (Lincoln Hall)

3 Nov. Co-directors and Admin Team meet in Washington
4-7 Nov. JSAT members arrive, form into sub-regional teams

Phase II: Washington, DC (Lincoln Hall)

10-14 Nov. JSAT briefings (DNI, DOS, CENTCOM, etc.)
17-21 Nov. Work on sub-regional estimates
21 Nov. Progress Review Brief #1 to Executive Directors

Phase III: AOR (CFH and beyond)

2-10 Dec. Arrive at CFH. Conduct travel in AOR
10 Dec. Travel complete. JSAT re-assembles at CFH
11-12 Dec. Brief and capture results of travel
12-15 Dec. Complete estimates and mission analysis briefing

16 Dec. Brief mission analysis, Sub-regional Plans, and way ahead to Executive Directors

17-18 Dec. Finalize sub-regional plans and initiate working groups

19 Dec. Return to US

Phase IV: Washington, DC (Lincoln Hall)

5-8 Jan. Reconvene. Review mission analysis (MA) Brief and way ahead

NLT 9 Jan. MA briefing, sub-regional plan briefing, and way ahead to CG

12-16 Jan. Planning and writing. Complete overall concept and outlines

20-22 Jan. Planning and writing. Complete draft annexes

23 Jan. Progress Review Brief #2 to Executive Directors

26-30 Jan. Integrate annexes. Complete draft base document

2-4 Feb. Review and revise draft document

5-6 Feb. Prepare final briefing

9 Feb. Brief General Petraeus

10-13 Feb. Final handoff of briefings in Washington and Tampa

13 Feb. Mission complete

Joint Strategic Assessment Team (JSAT) Concept Overview

Situation

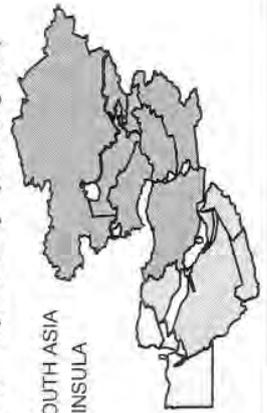
The U.S. CENTCOM area of responsibility contains the two major conflicts in which the US and its partners are engaged (Afghanistan and Iraq) and is an area in which adversaries pose significant threats to vital US and allied interests such as non-proliferation, state support for terrorist organizations, and narco-trafficking. Weak governance, combined with ethnic and sectarian tensions, threatens to undermine security and stability in a way that threatens common interests and strengthens terrorist and insurgent organizations. The JSAT will combine USCENTCOM's knowledge of; access to the region; and its planning capability with expertise from relevant departments in the USG and key allies. This synergy will produce a comprehensive interdepartmental and multinational plan that orients programs, activities, and initiatives toward clearly defined goals and objectives to effectively address the region's problems and their causes. By ensuring sufficient interdepartmental and multinational planning the JSAT will mitigate the risk of over-militarization of efforts and the development of short term solutions to long term problems.

Mission

The JSAT conducts a comprehensive assessment of the situation in the CENTCOM area of interest, reviews existing theater strategies and plans across relevant departments and organizations, and develops a draft strategy and plan to direct the integration of all instruments of national power and efforts of coalition partners in time, space, and purpose to achieve goals and objectives.

CENTCOM Area of Responsibility (Sub-Regions)

- CENTRAL & SOUTH ASIA
- ARABIAN PENINSULA
- LEVANT



Team Composition

Members will have knowledge of and influence in their parent organizations. The team will represent all relevant agencies and departments within the USG, key allies, adjacent and functional COCOMS, and subordinate unified commands and component commands within USCENTCOM.

JSAT members will initially be organized into sub-regional teams to produce geographic assessments; then reorganized into functional teams that align generally with the proposed lines of operation and focus areas.

i. Leadership Team: Integrates the group efforts and directs the effort toward accomplishing its mission and fulfilling its purpose.

ii. Publishing and Integration Team: Responsible for finalizing products, obtaining resources, organizing materials, managing information flow, tracking milestones, and coordinating meetings/seminars and travel.

iii. Administrative Team: Conduct budgetary and admin. preparation. Prepares contracts and travel orders. Processes admin. paperwork for team members and plans travel itineraries.

iv. Sub-regional Teams: Conduct in-depth assessments and detailed recommendations for more specific areas and the ongoing conflicts in Afghanistan and Iraq.

1. Iraq
2. Afghanistan-Pakistan
3. Iran
4. Levant (Syria, Lebanon, Jordan) and Egypt
5. Arabian Peninsula
6. Central Asia

v. Functional Teams

1. Intelligence
2. Political and Diplomatic
3. Framework Operations, Basing, and Logistics
4. Development, Economics, and Strategic Resources
5. Theater Security Cooperation / Building Partner Capacity
6. Command and Control and Knowledge Management
7. Counterterrorism
8. Law Enforcement, Rule of Law, Operational Law
9. Public Diplomacy, Strategic Communication, and Information Operations
10. Counter-proliferation

JSAT Objectives

- a. Develop a common understanding (across the USG, key allies, and COCOMs) of problem sets
- b. Develop a common plan that clarifies roles and responsibilities among USG agencies, key allies, and COCOMs; set conditions for unified action and complementary effects by identifying and sequencing critical actions, programs and initiatives; direct efforts toward achieving clearly defined, realistic goals.
 - i. Review and refine theater strategic goals based on political guidance
 - ii. Conduct a comprehensive review of all lines of operation and focus areas
 - iii. Disaggregate the problem set in the AOR and remain sensitive to unique local and sub-regional dynamics; develop specific plans to address specific problems
 - iv. Integrate diplomatic, development, and military/political-military efforts to achieve objectives in critical countries and sub-regions
 - v. Identify specific obstacles to progress and recommend policy adjustments, initiatives, changes in organization and procedures, and additional resources necessary to overcome those obstacles
 - vi. Identify opportunities to accelerate progress toward achieving objectives to include the application of additional resources and personnel to specific areas, streamlining organizations, and clarifying responsibilities
 - vii. Identify resources and budget requirements necessary to prosecute the way ahead and initiate actions to secure the necessary resources and funding
 - viii. Identify risks and threats that might jeopardize our efforts and recommend means to preclude or cope with those threats
 - ix. Evaluate current assessment criteria and processes; recommend mechanisms and measures for assessing and communicating progress toward achieving goals and objectives
 - x. Recommend means for obtaining support for the plan from amongst multinational partners, regional countries, and the wider international community
 - xi. Highlight subsequent areas of planning; outline proposals for planning continuity within the USG and with key allies following the JSAT effort
- c. Place the CENTCOM mission and activities in the region in broad, global perspective and identify efforts external to the region critical to successful implementation of the strategy within the region

JSAT Objectives (cont.)

- d. Develop specific regional actions and initiatives to support the efforts to achieve sustainable security and stability in Afghanistan and Iraq. Conduct parallel planning with NATO-ISAF and MNF-I.
 - e. Streamline and improve C2 structures, knowledge management, and intel. sharing to ensure unity of effort.
 - f. Refine intermediate term vision (5 years) for efforts in the AOR in key areas such as diplomacy, basing, theater security cooperation, development, and security sector reform.
- ## **CONOPS**
- An interdepartmental and multinational team drawn from USCENTCOM, across the USG, academia, and key Coalition partners will use the following approach to accomplish its mission:
- a. Become familiar with existing plans and assessments. Travel to the region to conduct a bottom-up assessment. Pay particular attention to fundamental causes of instability and insecurity in the region; gain a holistic understanding of the situation from briefings, meetings with ambassadors and their country teams, commanders, officials, and self study.
 - b. Prepare an assessment of the situation that includes the constraints under which we must operate (e.g. time, resources, and authorities) and identify assumptions upon which the planning effort will rest.
 - c. Report assessment to the CG and a designated representative from the DOS. Include the team's initial analysis of the situation, understanding of the mission, constraints, planning assumptions, framework for the planning effort (including goals and objectives), and work plan. Receive additional guidance.
 - d. Small groups, generally aligned with logical lines of operation, examine critical areas in depth. Refine goals, define intermediate objectives, identify obstacles that prevent or impede progress, and determine what actions, programs, and efforts must be directed toward attaining objectives and overcoming obstacles.
 - e. Produce an initial impressions briefing and receive further guidance from the CG and designated DOS rep.
 - f. Refine the theater strategy and develop a draft campaign plan. Out-brief the CG and other Department leaders. Render a written report/draft theater strategy.
 - g. Draft an interagency implementation and assessment plan that might go into effect after NSC approval.

**United States Central Command
Joint Strategic Assessment Team
Phase Execution Timeline**

The list of JSAT personnel below are grouped by teams:

Last Name	First	Rank	Position	Organization
<u>Executive Director Team</u>				
Allen (b)(6)	John	LtGen		USCENTCOM
		Dr.		DOS
		Mr.		Treasury
<u>Co-Director Team</u>				
Dibble (b)(6)	Philo	AMB		DoS
		Mr.		DNI
		COL		USCENTCOM
		Mr.		Treasury
		Ms		USAID
<u>Senior Consultants</u>				
Barno (b)(6)	David	LTG (ret)		NESA
		Dr.		DOS
		Dr.		INSS
Neumann	Ronald	Amb	(b)(6)	Academy of Diplomacy
<u>Administrative Team</u>				
(b)(6)		CDR		USCENTCOM J-5
		Mr.		NESA
		MAJ		USCENTCOM J-5
		SFC		USCENTCOM J-5
		Mr.		NDU
		CPT		USCENTCOM J5
		CIV		USCENTCOM J-6
		Mr.		INSS
		GySgt		USCENTCOM J-6
		Mr.		USCENTCOM J-5
		SSgt		USCENTCOM J-5
		AIC		USCENTCOM J-5

(b)(6)		TSGT	USCENTCOM J-6
Publishing and Integration			
		Lt Col	(b)(2)High
		Dr.	USA Combat Studies Inst.
		Dr.	USAID
		Mr.	JS J7
		Dr.	Air University
		COL	NDU
(b)(6)		Mr.	IDA
		MAJ	JFCOM J9
		Col	AF/A2
		Mr.	Brookings Institution
		Ms.	Treasury
		MAJ	USMA
		Ms	S/CRS
		Mr.	Contractor
Country and Regional Teams			
Afghanistan/Pakistan Team			
		COL	SOCOM
		COL	CSTC-A / CJTF-Phoenix
		Dr.	NDU
		COL	JFSC
(b)(6)		Dr.	USAWC
		Ms.	OSD-P (SOLIC)
		Dr.	Contractor
		COL	USAREUR
		Mr.	USAWC (PKSOI)
		Dr.	Contractor
Lorimer	John	Brig	(b)(2)High
		Dr.	Center Naval Anyalsys
		Mr.	CFR
		Ms.	(b)(2)High
(b)(6)		Mr.	USCENTCOM J-2
			International Narcotics and Law Enforcement Affairs
		Ms.	DOS
		Mr.	USCENTCOM CAG
		COL	
Arabian Peninsula Team			
		Dr.	Contractor
(b)(6)		Lt Col	(b)(2)High
		COL	ARCENT
		Mr.	USCENTCOM J-3
Litt	David	Amb	Center for Stabilization and Economic Reconstruction

(b)(6)	LTC
Central Asia Team	
(b)(6)	Mr.
	Mr.
	Mr.
	Ms.
Iran Team	
(b)(6)	Dr.
	Mr.
	Dr.
	LTC
	Dr.
	Mr.
	Mr.
	CAPT
	Dr.

JS J5
DOS (GAT-Iraq)
OSD-P
USMA
(b)(2)High
Contractor
Contractor
Center Naval Analysis
USMA
(b)(2)High
USAWC (PKSOI)
USCENTCOM J-2
(b)(2)High
DOS

Iraq Team	
(b)(6)	Mr.
	Dr.
	Dr.
	COL
	LTC
	Mr.
	Mr.
	Col
	Lt Col
	Mr.

IDA
IDA
(b)(2)High
Naval War College
USCENTCOM J-5
MNF-I CIG
Treasury
Brookings Institution
AF/A2
(b)(2)High
IDA

Levant and Egypt Team	
(b)(6)	Mr.
	Mr.
	COL
	Lt Col
	Mr.
	Mr.
	COL
	COL

USCENTCOM J-2
USCENTCOM J-5
ODCSPER
(b)(2)High
Contractor
USCENTCOM J-3
(b)(2)High
JS J5

Functional Teams	
Basing, Framework Operations, Logistics	
(b)(6)	Mr.
	Col

USCENTCOM J-5
AF/A1

(b)(6)	pt
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(b)(2)High

Building Partner Capacity/TSC	
	MAJ
	Mr.
(b)(6)	COL
	Mr.
	COL

(b)(2)High
USCENTCOM J-5
ARCENT
USCENTCOM J-5
USCENTCOM CAG

C2/Knowledge Met Team	
	CDR
(b)(6)	COL
	COL
	Mr.

(b)(2)High
JFSC
USSOCOM
USCENTCOM J-3

Counter - Proliferation	
	Mr.
(b)(6)	Dr.
	Mr.

USCENTCOM J-5
DOS
DoS

Counter - Terrorism Team	
	Ms.
	Col
	Mr.
(b)(6)	LTC
	Col
	Mr.
	Mr.

(b)(6)

Rand
(b)(2)High
Treasury
USCENTCOM J-3
AF/A0
Rand
USMA
SOCOM

Development, Economics, Strategic Resources	
	Mr.
	Mr.
	Mr.
	MR.
(b)(6)	Ms.
	Dr.
	LTC
	Mr.
	Mr.
	LTC

DOS (GAT-Iraq)
USAID SES, Retired
USCENTCOM J2
(b)(2)High
USAID
Contractor
USCENTCOM J-3
OSD-P
Treasury
USACAPOC
DoS

Diplomatic/Governance/Political Team	
(b)(6)	Mr.
	Dr.

(b)(2)High
Contractor

(b)(6)	Col	(b)(6)	AF/A2
	Mr.		(b)(2)High

Information Operations, Public Diplomacy, Strategic Comms

(b)(6)	Ms.	Rand
	Mr.	MNF-I
	Mr.	Contractor
	LTC.	USMA
	LTC	USACAPOC
	Mr.	USCENTCOM J-3
	COL	US Army CAC
	Mr.	Rand
	Mr.	DoS Public Diplomacy
	WGC	
	DR	(b)(2)High

Intelligence Team

(b)(6)	Dr.	(b)(2)High
	Mr.	USCENTCOM J-2
	LTC	USAWC
	Mr.	(b)(2)High
	Mr.	DCI
	Mr.	USCENTCOM J-2
	COL	(b)(2)High
	Ms.	Treasury

(b)(6)

Enforcement, Operational Law, Rule of Law

(b)(6)	Dr.	Contractor
	LtCol	UK Rep
	LTC	U.S. Army OTJAG
	CDR	Naval War College
	Mr.	USAWC (PKSOI)
	Dr.	NWC (USIP)
		International Narcotics and Law Enforcement Affairs
	Ms.	

Consultant Pool

(b)(6)	Dr.	JFCOM J9
	Dr.	IDA
	CAPT	CNO
	Mr.	
	Mr.	
	Dr.	IDA

(b)(6)		Mr.		State
Scales, Jr.		Robert	Maj Gen (Ret)	
(b)(6)			Dr.	NDU
Durbin		Robert	LTG	USAREUR
(b)(6)			Dr.	Northrop Grumman
			Mr.	IDA

Potential Consultants				
(b)(6)		Col (Ret)	(b)(6)	Louis Berger Group

Pending Team Assignment				
		Mr.		DOS
		Ms.		DOS
		Mrs.		Fort Jackson
(b)(6)		Mr.		
		Mr.	(b)(6)	USMA
		Mr.		DOS
		Mr.		DOS
		Mr.		DOS

Australia				
		Mr.		
(b)(6)		LTCO L		
		WGC DR		
		Ms.		

Phase I: Washington, DC
(Lincoln Hall, National Defense University)

3 Nov	Co-directors and Admin Team meet in Washington
4 - 7 Nov	JSAT members arrive, form into Sub-Regional Teams
7 Nov	Phase I ends

Phase II: Washington, DC
(Lincoln Hall, National Defense University)

12-14 Nov	JSAT briefings (DNI, DOS, CENTCOM, etc.)
17-21 Nov	Work on sub-regional estimates
21 Nov	Progress Review Brief #1 to Executive Directors
21 Nov	Phase II ends

Phase III: Camp As Sayliyah, Doha, Qatar
(CENTCOM Contingency Forward Headquarters)

2-10 Dec	Arrive at CFH, Camp As Sayliyah. Conduct assessments in AOR
10 Dec	Travel complete. JSAT re-assembles at CFH
11-12 Dec	Brief and capture results of travel
12-15 Dec	Complete estimates and mission analysis briefing
16 Dec	Brief Mission Analysis, Sub-Regional Plans, and way ahead to Executive Directors
17-18 Dec	Finalize Sub-Regional Plans and initiate working groups
19 Dec	Phase III ends, Return to US

Phase IV: Washington, DC
(Lincoln Hall, National Defense University)

5- 8 Jan	Reconvene. Review Mission Analysis (MA) Brief and way ahead
NLT 9 Jan	MA briefing, Sub Regional Plan briefing, and way ahead to CG
12-16 Jan	Planning and writing. Complete overall concept and outlines
20-22 Jan	Planning and writing. Complete draft annexes
23 Jan	Progress Review Brief #2 to Executive Directors
26-30 Jan	Integrate annexes. Complete draft base document
2- 4 Feb	Review and revise draft document
5- 6 Feb	Prepare final briefing
9 Feb	Brief General Petraeus
10-13 Feb	Final handoff of briefings in Washington and Tampa
13 Feb	Phase IV ends Mission complete

**United States Central Command
Joint Strategic Assessment Team
Lodging Information**

Phase I, II and IV

Contract Lodging will be provided for personnel who live outside the Washington DC area provided for Phase I, II and IV at the Marriott Residence Inn, Pentagon City, 550 Army Navy Drive, Arlington VA, 22202. The Residence Inn is just minutes from the Pentagon and Ronald Reagan National Airport with easy access to the DC Metro Rail System. There are many different restaurants and shops within walking distance. Ft. McNair is only 3.4 miles away for the Residence Inn. For more information, go to <http://www.marriott.com/hotels/travel/waspt-residence-inn-arlington-pentagon-city/>. Google Map and directions from the Residence Inn and Ft McNair are attached.

Phase III

Lodging will be provided by Camp As Sayliyah Billeting. All JSAT personnel are required to stay on Camp As Sayliyah. USCENCOM will not provide funds for anyone to stay in Doha, or authorize rental cars during Phase III. Transportation to Doha is not readily available and local taxi service is not allowed on Camp. My travel team will arrange airport pick-up and drop-off.

If you have any lodging questions please contact SFC

(b)(6), (b)(2)

or CDR

(b)(6), (b)(2)

(b)(6), (b)(2)

**United States Central Command
Joint Strategic Assessment Team
Travel Information**

Phase I & II

All JSAT personnel are responsible for making their own travel arrangements to Washington, DC from your original duty station on 2 November and depart on 21 November via Ronald Reagan National Airport (DCA). Marriott Residence Inn will provide complimentary Airport Shuttle Service for pick-up and drop-off services at Reagan National Airport, only. Please provide your itinerary to SFC (b)(6) and CDR (b)(6) as soon as possible to ensure arrangements are made for airport pick-up. Transportation will be provided by NESA to and from the National Defense University (NDU) Lincoln Hall and the Marriott Residence Inn daily. DC Metro rail and other public transportation are available for your use. Most important locations can be reached via the DC Metro rail; Washington DC Metro rail map and info please go to: <http://wmata.com/>. Parking at the Lincoln Hall is very limited and it is recommended that non-local personnel not drive to the Lincoln Hall.

Phase III

Travel arrangements for travel to Doha, Qatar should be made to arrive on the 2 December and depart on 19 December. Again, please send you itinerary to SFC (b)(6) and CDR (b)(6) as soon as possible to ensure arrangements are made for airport pick-up and drop off.

Camp As Sayliyah is a small installation with two Dinning Facilities, two gyms, a United Services Organization (USO) and a small Post Exchange, if needed. Camp As Sayliyah operates a Post Bus Service 24/7 to assist you getting around the Post.

Phase IV

All JSAT personnel are responsible for making their own travel arrangements to Washington, DC from your original duty station on 4 January and depart on 13 February via Ronald Reagan National Airport (DCA). Marriott Residence Inn will provide complimentary Airport Shuttle Service for pick-up and drop-off services at Reagan National Airport, only. Please provide your itinerary to SFC (b)(6) and CDR (b)(6) as soon as possible to ensure arrangements are made for airport pick-up. Transportation will be provided by NESA to and from the National Defense University (NDU) Lincoln Hall and the Marriott Residence Inn daily. DC Metro rail and other public transportation are available for your use. Most important locations can be reached via the DC Metro rail; Washington DC Metro rail map and info please go to: <http://wmata.com/>. Again, parking at the Lincoln Hall is very limited and it is recommended that non-local personnel not drive to the Lincoln Hall.

Rental cars are not authorized and will not be funded by USCENTCOM for any phase of the JSAT.

Diplomatic and Official Visas

Non United States Citizens from (b)(2)High participating in Phase I, II and III will need to obtain an A-2 Diplomatic Visa. The A-2 Diplomatic Visa is a nonimmigrant Visa which allows foreign accredited officials, not in the diplomatic category, to enter into the United States to engage in official activities of their respective governments. All foreign government officials, ranking next to diplomats and officials, representing their national government are eligible for an A-2 Visa. Requestors should annotate on the Visa application multiple entries if applicable. Requestor should work within their respective Department of Defence and/or Ministry of Defence to coordinate with the nearest U.S. Consulate for their Visa, as soon as possible.

If you have any transportation or U.S. Visa questions please contact SFC (b)(6), (b)(2)
or CDR (b)(6), (b)(2)

Enclosure (9)

**United States Central Command
Joint Strategic Assessment Team
Dress/Uniform Information**

JSAT is being hosted by USCENTCOM via The Near East South Asia Center for Strategic Studies (NESA) at the National Defense University (NDU), Lincoln Hall. JSAT participants are coming in from across the globe to include personnel from four coalition partner countries. With personnel covering the gambit from military, civilians and contractors from DoD, supporting USG agencies and our coalition partners, I have decided that the JSAT working uniform/dress will be predominantly business casual (Coat, no tie) except for Phase III which will be working uniform (ABU/ACU/DCU) for military personnel and business relaxed (Slacks and collared shirt) for civilian and contractors.

**United States Central Command
Joint Strategic Assessment Team
Security Information**

USCENTCOM requires that all JSAT Participants and staff personnel have at a minimum a security clearance of SECRET. All JSAT personnel are responsible for providing security clearances to the National Defense University (NDU), Special Security Office (SSO) (smo=w37waa6) and USCENTCOM SSO (smo=ma3cf9zm2) prior to arrival. Please provide the below information depending on your category to USCENTCOM J5 Security Manager for security clearance validation.

US Military: SSN/Last Name, First Name, MI, Rank/Grade, Service (army/navy etc), Date of Birth, Place of Birth

Civilian/Contractor: SSN/Last Name, First Name, MI, Company working for (Lockheed etc), Date of Birth, Place of Birth

USCENTCOM is unable to assist in passing security clearances for Non-US Citizens. Security clearances must be passed to NDU SSO via your embassy or the Senior National Representative at USCENTCOM.

All JSAT personnel will receive an access badge on 3 November for Phase I & II, 2/10 December for Phase III and 5 January for Phase IV.

If your security Clearance has not been passed and verified, you will not be able to participate, no exception

If you require assistance in passing your security clearance to the NDU or USCENTCOM SSO, please notify the USCENTCOM J5 Security Manager, CPT

(b)(6), (b)(2)

(b)(6), (b)(2)