



## DEFENSE SECURITY COOPERATION AGENCY

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MEMORANDUM FOR DEPUTY UNDER SECRETARY OF THE AIR FORCE FOR  
INTERNATIONAL AFFAIRS  
DEPUTY ASSISTANT SECRETARY OF THE ARMY FOR  
DEFENSE EXPORTS AND COOPERATION  
DEPUTY ASSISTANT SECRETARY OF THE NAVY FOR  
INTERNATIONAL PROGRAMS  
DIRECTOR, DEFENSE CONTRACT MANAGEMENT AGENCY  
DIRECTOR FOR SECURITY ASSISTANCE, DEFENSE FINANCE  
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DIRECTOR, DEFENSE INFORMATION SYSTEMS AGENCY  
DIRECTOR, DEFENSE LOGISTICS AGENCY  
DIRECTOR, DEFENSE LOGISTICS INFORMATION SERVICE  
DIRECTOR, DEFENSE REUTILIZATION AND MARKETING  
SERVICE  
DIRECTOR, DEFENSE THREAT REDUCTION AGENCY  
DIRECTOR, NATIONAL GEOSPATIAL-INTELLIGENCE  
AGENCY  
DEPUTY DIRECTOR FOR INFORMATION ASSURANCE,  
NATIONAL SECURITY AGENCY

SUBJECT: Case Management for Department of Defense, DSCA Policy 16-07 [SAMM E-Change 296]

In accordance with the Defense Security Cooperation Agency (DSCA) Strategic Plan: Vision 2020, initiative 8.2a, "Rewrite Case Manager Responsibilities," this policy memorandum updates the Security Assistance Management Manual (SAMM) by revising section 2.2 to clarify the responsibilities of Case Managers and the overall case management objectives. It also adds language to explain the purpose and content of the case "Master Plan."

The Implementing Agencies (IAs) will develop program Master Plans as described in the attached policy. After nine months from the date of this policy memorandum, DSCA will request the IAs provide copies of their best program Master Plans. DSCA will review and staff the submitted program Master Plans with the IAs and select a standard program Master Plan format that will be used by all the IAs. The selected program Master Plan format will be added to the SAMM.

For questions concerning the policy, please contact Mr. Terry Ormsby, DSCA SA&E, [terence.m.ormsby.civ@mail.mil](mailto:terence.m.ormsby.civ@mail.mil), (703) 697-8970. For questions regarding the SAMM, contact Mr. Kent Bell, DSCA STR/SPI, [eddie.k.bell.civ@mail.mil](mailto:eddie.k.bell.civ@mail.mil), (703) 697-9054.

  
J. W. Rixey  
Vice Admiral, USN  
Director

Attachment:  
As stated

cc:  
STATE/PM-RSAT  
AFRICOM  
CENTCOM  
EUCOM  
JFCOM  
NORTHCOM  
PACOM  
SOCOM  
SOUTHCOM  
TRANSCOM  
USASAC  
SATFA TRADOC  
NAVICP  
NETSAFA  
AFSAC  
AFSAT  
MDA  
DISCS

**ATTACHMENT**  
**Security Assistance Management Manual (SAMM), E-Change 296**

1. Revise C.2.2. as follows:

C2.2. Department of Defense - Case Management.

C2.2.1. Definition. The Implementing Agency (IA) assigns a Case Manager to each Letter of Offer and Acceptance (LOA) to assist with case development, and to guide execution of the case after implementation. The IA is responsible for establishing case management functions and determining the organizational level at which these functions will be performed and/or managed.

C2.2.1.1. The term “Case Manager” may differ contingent on the organization-i.e., Country Manager, Command Country Manager, Security Assistance Program Manager, Program Support Manager, Line Manager, etc., but all perform case management functions. Case management responsibilities vary by type of LOA and IA. Case management responsibilities may change as the case evolves through stages, to include case reconciliation and closure. The IA is responsible for maintaining current information regarding the Case Manager in DSAMS.

C2.2.1.2. FMS cases vary in dollar value and complexity (e.g., a \$25 million sale of a major weapon system is extremely complex compared to a \$10 million LOA for off-the-shelf replacement spares. Although the two differ in dollar value and complexity, they both require special attention (even a very low value case may involve many different functional activities), and should be managed in accordance with well-defined guidelines. The level of case management will depend on the purchaser’s expertise and previous experience with the weapon system, budget constraints, familiarity with FMS, etc.

C2.2.1.3. Management begins during Price and Availability (P&A) and LOA preparation and continues throughout the life of an LOA.

C2.2.2. Responsibilities. The Case Manager is the focal point for case activities and manages all aspects of the FMS case. Tasks listed in [Table C2.T1](#). are examples of functions that may be assigned to individuals at various organizational levels depending upon the complexity and type of case. Not all functions are applicable to every case, and complex cases may include functions not listed in the table.

C2.2.3. Accountability. The Case Manager works to accomplish the program objectives of the assigned case while adhering to applicable laws and regulations and working within the organizational structure of the military department or defense agency. The Case Manager achieves successful performance when the case objectives are met. These objectives are to: provide all articles or services included in the case on schedule, within the stated value; and close the case in a timely manner.

**Table C2.T1. Case Management Responsibilities**

#	Responsibilities
1	Serves as the central point of contact for matters related to the case. Establishes and publishes initial and long-range goals, objectives and plans for case

#	Responsibilities
	management and execution. Issues and maintains a program Master Plan with key program milestones as the case is implemented.
2	Ensures program goals and objectives are in accordance with approved foreign disclosure and technology transfer requirements.
3	Considers customer transportation preferences during LOA development. Ensure transportation documents are in place (e.g., transportation plan, DSP-94, CISMOA, etc.)
4	Ensures contracting milestones are met.
5	Ensures appropriate integration of requirements such as supply requisitions, contracts, training, etc. are accomplished with internal and external organizations.
6	Ensures funding is in place and financial requirements are met.
7	Ensures material and services performance is met in relation to required performance specifications. Ensures that appropriate actions are taken to maintain accountability of training events, to include DSAMS-TM entry.
8	Ensures that delivery and performance reports are timely and accurate. Checks that automated records and data sources, such as SCIP, reflect accurate information.
9	Maintains a case file of significant events, document, and decisions. Ensures that case records are retained for a period of 10 years after final closure in accordance with <a href="#">DoD 7000.14-R Volume 15, Chapter 6</a> .
10	Reconciles the case throughout its lifecycle starting with implementation, and prepares the case for closure.
11	Become familiar with policies, management information systems, internal and external organizational elements and the stages of the FMS process.

**C2.2.4. Authority.** FMS cases require concentrated management effort. The Case Manager has a role in each of the major elements of the case: acquisition, programming, logistics, and finance, and is involved in every aspect of planning and executing assigned cases. Effective case management depends on the performance and interaction of many organizations. The Case Manager must have the authority to take action and task other organizations in the day-to-day management of a case.

**C2.2.5. Case Reporting and the Master Plan.** The Case Manager coordinates actions required for successful execution of the case, and uses established channels to convey information to higher authorities, supporting activities, and the purchaser on how the case is progressing. The Case Manager serves as the central point of contact, and acts as the U.S. representative to the FMS customer for questions and problem resolution. To this end, the Case Manager develops a program Master Plan that separates the case into management components, indicates significant activities in the execution of the case, and establishes an implementation schedule. The plan is drawn from more detailed program planning documents used by the program office - and is tailored to fit the complexity of the case. A program Master Plan is required for “major sales” as described in [Section C5.4.12](#). This

includes sales that trigger [AECA section 36\(b\) \(22 U.S.C. 2776\) \(“36\(b\)”](#)) thresholds and proposed sales that represent an increase of more than fifteen percent to the FMS purchaser’s current active program. A program Master Plan may also be required for other sales as determined by the DSCA Country Portfolio Director and/or the IA. The Master Plan can be in any format, such as a quad chart or Plan of Action and Milestones. Depending on the size or nature of the case, the plan covers: case description, key milestones (contract status, transportation plan, delivery schedule, training, contractor support, etc.); status, issues/risk; along with key points of contact and responsibilities. The Case Manager provides the Master Plan to higher authority and to the FMS customer to forecast events and track progress. The Master Plan will be updated and reissued after significant project milestones, prior to Program Management Reviews, and as part of the development of amendments to the FMS case.

C2.2.6. Case Manager Training. Organizations must ensure that individuals assigned as Case Managers receive training. The following [Defense Institute of Security Cooperation Studies \(DISCS\)](#) courses are recommended as a part of a training plan for Case Managers:

- [Security Cooperation Management CONUS Course \(SCM-C\)](#)
- [Program and Case Management \(SCM-CM\)](#)
- [Financial Management \(SCM-CF\)](#)
- [Reconciliation and Closure \(SCM-CR\)](#)
- [Logistics and Customer Support \(SCM-CS\)](#)
- [Training Management \(SCM TO/TM\)](#)

In addition, IA conducts internal training to cover the organization’s unique processes and procedures and to address case management issues.