



DEFENSE SECURITY COOPERATION AGENCY

2800 DEFENSE PENTAGON
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MEMORANDUM FOR COMBATANT COMMANDERS

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

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DIRECTOR, NATIONAL GEOSPATIAL-INTELLIGENCE
AGENCY

DIRECTOR FOR SECURITY ASSISTANCE, DEFENSE FINANCE
AND ACCOUNTING SERVICE – INDIANAPOLIS
OPERATIONS

DIRECTOR OF CYBERSECURITY DIRECTORATE AND
DEPUTY NATIONAL MANAGER FOR NATIONAL
SECURITY SYSTEMS, NATIONAL SECURITY AGENCY

SUBJECT: Defense Security Cooperation Agency Policy Memorandum 22-38, Revision of the Program Execution Requirements under 10 U.S.C. § 333 and Section 1263 of the National Defense Authorization Act for Fiscal Year (FY) 2016

References: (a) Defense Security Cooperation Agency, Program Execution Requirements under 10 U.S.C § 333, [DSCA Policy 20-15](#), March 12, 2020

The purpose of this policy memorandum is to provide programmatic guidance for the execution of Building Partnership Capacity (BPC) programs under the authority of [10 U.S.C. Section 333](#) (hereby referred to as “Section 333”) and Section 1263 of the National Defense Authorization Act for Fiscal Year (FY) 2016 ([P.L. 114-92](#)), (hereby referred to as the Indo-Pacific “Maritime Security Initiative (MSI)).”

Effective immediately, attachment one to this policy memo supersedes and replaces the attachment within reference (a). This guidance will be incorporated into the DSCA Security Assistance Management Manual (SAMM) at <https://samm.dsca.mil/> in the forthcoming revision to Chapter 11 which will consolidate security cooperation authority specific guidance into one chapter.

If you have questions on this memorandum, please contact Ms. Caroline Chin, DSCA (Office of Strategy, Plans, and Policy, Execution Policy and Analysis Directorate (SPP/EPA)) at caroline.s.chin.civ@mail.mil or Ms. Gunda Seng, DSCA (Office of International Operations, Regional Execution Directorate, Global Capability Development Division (IOPS/REX/GCD)), gundega.a.seng.civ@mail.mil.

A handwritten signature in black ink, appearing to read "Alan Gorowitz". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Alan Gorowitz
Assistant Director
Strategy, Plans, and Policy

Attachment:

1. Attachment 1- Section 333 and MSI Program Execution Monitoring and Milestones (PEMMs)
2. Attachment 2- Definitions
3. Attachment 3- OSD Planning Guidance reference materials

Attachment #1 - Sections 333 and MSI Program Execution Monitoring and Milestones (PEMMs)

Recommended Pre-Requisite Training for United States Government Personnel and Contractors

The Defense Security Cooperation Agency (DSCA) ([Defense Security Cooperation University \(DSCU\)](#)) offers courses such as Intermediate Security Cooperation (SC) Planning, Oversight and Execution, [POE-201](#), and Intermediate Assessment, Monitoring and Evaluation (AM&E), [POE-211](#), that contain content on Building Partner Capacity (BPC) program planning and design requirements methodology. All personnel involved in [10 U.S.C. Section 333](#) and the Indo-Pacific Maritime Security Initiative (MSI) program design are highly encouraged to complete these two courses in advance of support to Section 333 or MSI programs to establish a baseline understanding of the planning and design requirements process.

Overview

The below document establishes the required milestones for developing and executing BPC programs under the authority of [10 U.S.C. Section 333](#) and MSI only during the six phases of the program lifecycle. This document also identifies the metrics DSCA uses to monitor Section 333 and MSI program performance. This guidance does not apply to programs executed under [10 U.S.C. Section 332](#) or other programs funded by the International Security Cooperation Programs account.

During the FY 2023 BPC proposal review, the DSCA (Office of International Operations, Regional Execution Directorate, Global Capability Development Division (IOPS/REX/GCD)) and the Implementing Agencies (IAs) assumed a more prominent role in evaluating the United States Government Requesting Authority's (USG RA) requirements. For Section 333 and MSI, the USG RA is the Combatant Command (CCMD) with geographic area of responsibility. Beginning in the FY 2024 cycle, the relevant IA and/or Military Department (MILDEP) component will review the concept and provide input to DSCA (IOPS/REX/GCD) in support of DSCA (IOPS/REX/GCD) validation to ensure viability for notification to Congress (e.g. practical, realistic, and can be absorbed and sustained by the partner, and is financially advantageous to the USG). DSCA (IOPS/REX/GCD) along with DSCA (Office of Strategy, Plans, and Policy, Regional Planning and Program Design Directorate (SPP/RPPD)), and DSCA (Defense Security Cooperation University, Institutional Capacity Building and Program Design (DSCU/ICBPD)) will verify that the USG RA's problem statement and indicators are logical, the theory of change and Return on Investment are practical, the stated assumptions and rationale are rooted in current data collection (e.g. AM&E visits, site visits, focus groups, etc.) and will confirm correlation between the defined capability gap and the proposed course of action (COA) to ensure the Institutional Capacity Building (ICB) requirements connect and support the proposed COA. DSCA will utilize the Significant Security Cooperation Initiative (SSCI) feasibility process, including development of Rough Orders of Magnitude (ROM) pricing, to identify any site surveys needed to develop executable programs during the design phase.

A deliberate design and requirements generation process is vital to the success of Section 333 and MSI programs to provide a return on investment of U.S. appropriated funds. These activities are not designed to respond to emergent or urgent requirements and instead require a deliberate, anticipatory program design in order to minimize the risk that requirements unexpectedly change during case development and execution and may not provide the partner with the necessary capability as originally intended.

The IAs, other USG stakeholders and Program Offices use feasibility reviews to assess validated proposals, assist with the refinement of the proposal, develop acquisition strategies, determine the Total Package Approach (TPA) using established Programs of Record (POR), existing contracting vehicles and present risks associated with non-POR capabilities. The pre-Memorandum of Request (MOR) activities that include site surveys, working group meetings, or other analytical and/or technical support requiring travel must be submitted by the requirements owner(s) to the applicable DSCA Program Managers for final coordination and approval with the USG RA. Based on site surveys, the IAs will develop itemized list of material and non-material solutions.

It is important for the USG RAs to involve DSCA and IAs early in the requirements development and validation process in order to provide subject matter expertise for materiel and non-materiel solutions and to validate ROM pricing to inform Resource Allocation Plans.

I. Required Assessment Phase

Per [DoD Instruction 5132.14](#), “Assessment, Monitoring, and Evaluation Policy for the Security Cooperation Enterprise”, dated January 13, 2017, CCMDs with geographic areas of responsibility lead initial assessment efforts, facilitate participation of relevant subject matter experts and other appropriate participants as they assess development of an initiative design document (IDD) and monitor implementation. The AM&E framework begins with capability-based assessments, the role we want our partners to perform, and desired outcomes to achieve strategic effects. The Under Secretary of Defense for Policy (USD(P)) issued guidance (see the list of reference documents) requires critical assessments of a partner’s capability requirements, potential programmatic risks, baseline information, and indicators of efficacy for the purposes of planning, monitoring, and evaluation of security cooperation programs and activities of DoD.

Initial Assessment

Initial assessments are required before all SSCIs are developed. For each capability considered, the initial assessment will include an analysis of the following elements:

- Political, Military, Economy, Society, Information, Infrastructure, Physical Environment, and Time (PMESII-PT)
- Doctrine, Organization, Training, Materiel, Leadership (and Education), Personnel, Facilities and Policy (DOTMLPF-P)
- Strengths, Weaknesses, Opportunities, and Threats (SWOT)
- The extent to which an allied or Partner Nation (BENEFITTING COUNTRY) shares relevant strategic objectives with the United States, as well as a partner’s current ability to contribute

missions to address such shared objectives, based on detailed holistic analysis of relevant partner capabilities, including institutional capabilities, at the strategic as well as operational and unit levels.

- Analysis of potential risks, including assumptions documented in the logic tree model and possible consequences of implementing and not implementing the initiative, program, or activity.
- Information to inform initiative design, including available contextual data, baselines, suggested objectives, indicators and milestones, as well as recommendations on what can be achieved within a given timeframe with anticipated resources.
- The feasibility of achieving successful outcomes based on a partner’s political willingness to pursue the desired outcome; its absorptive capacity, including the extent to which a partner can support, employ, and sustain assistance independently; its political stability; and its respect for rule of law and human rights (HR).
- Analysis of the partner’s ability and willingness to provide oversight and accountability to ensure effective and responsible employment of its forces and the capabilities to be supported by the initiative, program, or activity, including observance of and respect for the law of armed conflict, human rights and fundamental freedoms, the rule of law, and civilian control of the military.
- Other relevant information, assessments, completed evaluations and related documents that provide context for the initial assessment process.

Needs Assessment

The USG RA (the CCMD with geographic areas of responsibility) will lead and facilitate participation of relevant subject matter experts to conduct a needs assessment on all proposed initiatives in order to answer questions about the need for a SC initiative and the BENEFITTING COUNTRY conditions that the initiative is intended to address. The needs assessment will identify gaps between current and desired results and then apply that information to identify the available options to inform decisions. This type of assessment will be completed before any action has been taken for a particular initiative. Depending on the complexity of the operational environment (OE), SC managers should consider working with DSCA (IOPS/REX/GCD) recommended expert evaluator, as described in U.S. Government Accountability Office ([GAO 18-449](#)). For all new SC initiatives, such as Maritime Domain Awareness (MDA), and Command, Control, Communications, Computers, Intelligence, Surveillance and Reconnaissance (C4ISR) programs, an expert evaluation is required verifying that proposal packages includes all required planning elements (per [GAO-18-449](#)). Additionally, MIDDLEP Components, IAs, and Program Offices are available to advise, inform and support the USG RA’s analysis. When conducting this assessment, the following considerations regarding capabilities should be analyzed:

- Defense Systems: Weapons, Support Systems, Sustainment, and Munition
- Enablers: Small Scale Construction, Logistics, Maintenance, Command and Control, Intelligence Support, and Medicine

- Human Resource Management: A review of the partner’s existing systems and structures to allocate, assign and manage personnel required to support the desired capability
- Institutional Support: Resource Management, Supply Chain, Policy Oversight, Interagency Governance, Public Relations, and Legal Frameworks
- Accountability: Respect for Rule of Law, Human Rights, and the Law of Armed Conflict, Accountability Measures, and Enforcement Mechanisms

Theory (and Design) Assessment

The USG RA, in conjunction with Security Cooperation Organizations (SCOs) and Country Teams, are responsible for conducting theory (and design) assessments on all proposed initiatives to answer questions about the conceptualization and design of an existing initiative. This type of assessment describes in detail the theory behind an initiative. This type of assessment will be completed before planning to continue an existing SC initiative, and can build on information from earlier needs assessments. The following list of questions are required for the assessment, at a minimum, to ensure all elements are addressed:

- What outcomes does the initiative intend to achieve, and how do they relate to the nature of the problem or conditions the initiative aims to change?
- What is the theory of action that supports the expectation that the initiative can have the intended effects on the targeted outcome?
- Is the initiative directed to an appropriate group, and does it incorporate procedures capable of recruiting and sustaining their participation?
- What services does the initiative intend to provide, and is there a plausible rationale for the expectation that it will be effective?
- How are the services delivered, and are they aligned with the nature and circumstances of the target group?
- How will the initiative enable or support responsible and accountable employment or use of the provided equipment and training?

During this assessment, ROM pricing will be surveyed by a market research team provided by Program Offices and/or IAs in order to ensure more accurate pricing and availability with future acquisitions. The ROM pricing surveyed during this assessment will be serve as the official ROM for the Resource Allocation Plan (RAP).

II. Requirements Generation Phase

The USG RA, the IAs, and alternate USG executing offices, sometimes referred to as “non-traditional implementers”, must follow the processes set forth below when developing Section 333 and MSI programs.

Master Proposal Tracking Tool

The Master Proposal Tracker is a tool to identify the status and progress of all proposals within their respective SSCIIs. This tool enables multiple organizations involved in the proposal development process to efficiently share critical information and confirm the current status of the proposal. This includes ICB planning equities¹ and HR training requirements. The capability gap analysis, logic tree, and other baseline assessments included in the proposal development process are identified, synchronized and tracked to support program design.

This tool also allows DSCA to determine if the Section 333 and MSI BPC proposal and Train and Equipment List (TEL) are ready to proceed to formal technical review with the IAs. Several aspects of the proposal package are analyzed by DSCA to include (but not limited to) a clear program plan on the BPC proposal, itemized requirements on the TEL, the need for a site survey, and consistency between the BPC proposal, TEL, and other associated documents.

DSCA (SPP/RPPD) is responsible for validating BPC Proposals against corresponding SSCIIs and plans to ensure the proposal is following guidance from approved strategies and USD(P) policy. DSCA (IOPS/REX/GCD) will evaluate TELs for completeness and accuracy.

Training & Equipment List Development

The TEL is a major component of the MOR for Section 333 and MSI programs. The TEL is the primary document translating desired capabilities to specific acquisition requirements. A complete MOR for Section 333 and MSI programs is a final TEL and email direction from DSCA (IOPS/REX/GCD) to initiate case development. A CCMD with geographic area of responsibility is the USG Requesting Authority (RA) responsible for consolidation of TEL data and submission to DSCA within published timelines and in accordance with the Security Assistance Management Manual (SAMM) [Chapter 15](#). TELs submitted past the OSD(P) guidance deadline, will require OSD(P) approval and may not be included in the current year Congressional Notification (CN). Section 333 and MSI funded activities may not proceed with execution prior to Congressional approval.

One TEL is required per Benefitting Country recipient unit. DSCA will not accept TELs that include equipment for several different units within the Benefitting Country even if they are within the same MILDEP or Service. Delivery of equipment, training, services, supplies, small-scale construction and human rights training are tied to the specific unit included on the original CN. A unit not included in the CN may not receive any equipment, training, defense services, supplies, or small-scale construction.

Human Rights Training

Each unit receiving assistance under each Congressionally-approved Section 333 or MSI program is statutorily required to receive training on the law of armed conflict, HR and fundamental freedoms, the rule of law and civilian control of the military (“human rights

¹ As noted earlier, this policy memorandum provides programmatic guidance for the execution of Section 333 and MSI, and does not provide guidance with respect to planning and execution of 10 U.S.C. Section 332 and/or ICB more broadly.

training”). There are three levels of HR training – basic, intermediate, and advanced – which involve a 2-hour basic training requirement up through a 2-day-plus advanced training requirement.

The DSCA (Defense Security Cooperation University, School for International Education and Advising, Defense Institute of International Legal Studies (DSCU/ISEA/DIILS)) will review the proposed programs during TEL development to determine the appropriate level of HR training. The appropriate level of training and the designated HR training provider must be included on each TEL. DSCA (DSCU/ISEA/DIILS) will be designated as the HR training provider for all intermediate or advanced human rights training requirements. For programs requiring the 2-hour basic HR training, the CCMD must identify the HR training provider, including complete point of contact (POC) information, on each TEL. Identified basic HR training providers will be responsible to coordinate with DSCA (DSCU/ISEA/DIILS) to provide all necessary information needed to certify completion of the basic HR training requirements.

Submitted TELs must be approved by the SCOs and the corresponding Country Team. The SCO must inform the partner nation about the proposed capability and sustainment considerations. If there are any requirements for Letter of Intent or end-use assurances, the letters must be signed by the BENEFITTING COUNTRY prior to the notification. Training and equipment requirements not included in the final TEL submission from the CCMD with geographic area of responsibility will not be notified to Congress for Congressional approval. At a minimum, the following are required fields for the TEL submission:

Item Description (Equipment, Training, and Services)	National Stock Number (NSN) / Part Number
Small Scale Construction	Required Occupancy Date
Estimated Dates and Duration (Training and Services)	Quantity
Training Costs (Course, Travel and Living Allowance (TLA), Medical, Administration)	Unit and Total Price
Number of Students to be Trained	Projected Number of Trainers
CCMD / Activity Receiving Funding	Sole source requirement
Specific Materiel Information (sizes, color, etc.)	Training Military Articles and Services Listings (T-MASL)
Unit(s) Receiving Training	Detailed Course Description
Force Provider (USG or Contractor)	Training Location(s)
Delivery Address(es)	CCMD / Activity POC Data

Train and Equipment List Technical Review

The purpose of the Technical Review is for the IAs, other implementers and Program Offices to be able to review the proposed program requirements and formally accept the TEL and commit to providing BPC Price and Availability (P&A) data to DSCA. As previously stated, the IAs, other implementers and Program Offices use technical TEL reviews to assess validated proposals, assist with the refinement of the proposal, develop acquisition strategies, determine the TPA using established POR, existing contracting vehicles and present risks associated with non-POR capabilities. DSCA (IOPS/REX/GCD) is responsible for facilitating the TEL Technical Reviews to coordinate requests for information and confirm if a program can move forward to the BPC pricing and availability phase.

DSCA (IOPS/REX/GCD) encourages using the Technical Review Checklist on the TEL early in the process to successfully generate requirements. SCOs, USG RA, DSCA, and Implementers (e.g., IAs and non-traditional IAs like the Department of Justice International Criminal Investigative Training Assistance Program) should use the TEL Technical Checklist located on the first tab of the TEL to review requested acquisition requirements prior to submitting the final TEL to DSCA (IOPS/REX/GCD).

DSCA (IOPS/REX/GCD) will post TEL rollups on DSCA SharePoint site for the IAs and DSCA (DSCU/ISEA/DIILS) for a formal technical review period of 7-14 days. During this time implementers review all TELs to ensure they can procure assigned equipment, training and services (to include small scale construction); identify any questions about equipment, services and training; and, assess feasibility of the program. Non-Programs of record and programs requiring specific equipment variant will be coordinated with the IAs and require Justification & Approval (J&A) letter from the USG RA.

It is the IA's responsibility to communicate any execution concerns to DSCA and provide rationale during the formal technical review period if they cannot execute specific equipment, training, or services (to include small scale construction). DSCA may reassign an entire program or specific lines on the TEL to another implementer if the implementer or DSCA identifies issues that may inhibit the execution of a particular program.

During the TEL technical review, DSCA (DSCU/ISEA/DIILS) will review final TELs and ensure that human rights training information is sufficient for notification and execution. If information is not sufficient for notification to Congress, DSCA (DSCU/ISEA/DIILS) will request clarification or supplemental information from the USG RA. TELs with insufficient human rights training information will not be notified to Congress for Congressional approval.

Pricing & Availability

Immediately following the technical review period, DSCA tasks the IAs to provide a BPC P&A response (this is not in the same format as a FMS P&A in DSAMS). During this period, the IA should request additional information or clarification needed to provide pricing information. The IA's must provide P&A within 45 days of DSCA's formal request for P&A. When the IA's return P&A information to DSCA, they must identify any equipment that requires a Country Team Assessment (CTA) and CCMD endorsement as well as any necessary

disclosure requirements, and communicate this information to the DSCA Regional Portfolio Director (RPD). If the IA does not raise any concerns, DSCA will assume the IA is able to execute the program as designed. Implementers will also complete the program execution timeline tab. This information will be included in the CN tables.

To include a program in a Tranche of programs submitted for CN, the DSCA (SPP/RPPD), DSCA (IOPS/REX/GCD), and the team lead must verify the program's supporting documentation is complete, as applicable. The program elements that require additional documentation are listed below.

Restructuring Programs to Comply with RAP	Required National Geospatial-Intelligence Agency (NGA) Approvals for Unmanned Air Vehicle (UAV) Maps
Pre-Deployment Site Surveys complete	Additional Principle of Use Agreements
Additional Country Team Assessments	End Use Certificates
Support and Sustainment Cost Estimates	Coordination of CTA / CCMD Endorsements
Transportation Plans and Costs	Sole Source J&A Letter (if no variants accepted)
Coordination for Technology Security/Foreign Disclosure Releases	Vehicle Check-lists
Special Contracting Requirements	Equipment Sustainment Information
Delivery Schedules	Determine Equities with Long Lead Contracting Actions
Execution Plans and Checklists for Small Scale Construction (if applicable)	Security Cooperation Education and Training (SCET) Forms

If the proposals do not include the required supporting documentation, or proper coordination has not been completed to procure items through an approved acquisition strategy, DSCA will not include the program in the tranche.

DSCA (IOPS/REX/GCD) develops CN tables that should be crafted in a broad and flexible manner, to include additional quantities or ancillary and supporting items that can be funded with residuals within the congressionally approved notification amount. In the event of actual contract price lower than estimated, additional resources become available due to price differences. CCMDs with geographic area of responsibility are encouraged to submit additional requirements for TELs to include in the notification.

III. Case Development Phase- Anticipated Offer Date Group D - 60 days

Upon CN of a Tranche, DSCA (IOPS/REX/GCD) will notify all vested stakeholders to initiate case development. This correspondence will include the final CN Tab B, a complete TEL roll-up, and the associated program code for each program. Within five business days of the aforesaid correspondence, IAs will identify the allowed total case value (TCV), and provide a unique case identifier to DSCA (IOPS/REX/GCD). DSCA (IOPS/REX/GCD) will then enter the

Case ID in the Security Cooperation Information Portal (SCIP)/Security Cooperation Management Suite (SCMS) / Tranche Maintenance Input screen. Within five business days of providing the respective case IDs, IAs will enter the Letter of Request (LOR) receipt date into Defense Security Assistance Management System (DSAMS) and follow the process in [SAMM Section C5.1.7](#). IAs are expected to prioritize case development for cases utilizing expiring funds.

The IA is responsible for the development of the BPC case Offer and based on the articles, services, and training priced on the training and equipment list. IAs will use DSCA-approved costs required for each category to include on the program-wide support case, using the established Military Articles and Services Lists (MASLs).

Case development is measured against a 60 day standard ([SAMM Table C5.T6.](#)) and should achieve the "BPC Wait" milestone within that 60 day window at least 85 percent of the time. If the IA determines that case development is anticipated to exceed 60 days, the IA will notify DSCA and apply a Case Development Extenuating Factor.

The allowable period of performance for services funded under a BPC case is subject to time limitations provided under Cross Fiscal Year (CFY) authority or Full Operational Capability (FOC) as per [SAMM Chapter 11](#). Further information about CFY and FOC execution can be found in [DSCA Policy Memo 22-20](#). These limitations are different from the funds' period of availability for new obligations; all BPC funds for services must be obligated during their period of availability regardless of the period of performance for services. The IA will make its best efforts to perform services in compliance with the requested delivery date (RDD) or period of performance. Contractor services are categorized as either severable or non-severable, according to the definition provided in [DoD Financial Management Regulation \(FMR\), Volume 3, Chapter 8, section 080303.C](#).

The Benefitting Country code field is required for BPC cases and must correspond to the country code and DSCA-notified program. For transportation cases, use the program code as the Benefitting Country code. BPC cases also require the S1 description, which should be the Benefitting Country's country code followed by a dash and a short description of the articles and services being provided. This field is limited to 45 characters ([DSCA Policy Memo 16-08](#)). During the P&A phase, the Implementers should have a conceptual understanding of the transportation plan either directly to the Benefitting Country or to the Joint Consolidation Point (JCP). If vendor-managed shipping or additional storage at the vendor's location is the best path forward for the program due to unique requirements, such cost must be included in the P&A under a service section of the TEL. If there is a necessity to include an outside entity in the transportation plan (e.g. United States Army Security Assistance Command - Washington Field Office (USASAC-WFO) Transportation, JCP, etc.), it is the IA/LCMC's responsibility to ensure this coordination is accomplished prior to case development.

Note: IA's must develop cases in DSAMS and submit them to DSCA (Office of International Operations, Global Execution Directorate, Case Writing and Development Division (IOPS/GEX/CWD)) for final preparation, coordination, and countersignature. During Letter of Offer and Acceptance (LOA) review, DSCA (IOPS/REX/GCD) RPD will review for approval prior to Office of the Under Secretary of Defense (Comptroller) OUSD(C) releasing funds. If OUSD(C) has not released the program funds or the program is affected by Department of State (State) restrictions or sanctions, the DSCA (Office of Business Operations (OBO)) Country Financial Director (CFD) will delay the case in the Case Tracking System (CTS) by selecting the "Delay with Comment" option until funds have been released or restrictions/sanctions are resolved. Subsequently the CFD will then "Approve" the case in CTS, allowing for the process to continue. The "BPC Wait" milestone automatically applies once BPC cases are in the Review status and signals the end of case development.

Once the case has been completed in DSAMS, DSCA (IOPS/GEX/CWD) will review it to ensure all programmatic and policy requirements have been met. Upon DSCA (IOPS/GEX/CWD) approval, the case is reviewed by the IA and DSCA components including (but not limited to): Country Portfolio Director (CPD), RPD, CFD, Legal, Policy, Transportation, Weapons, End-Use Monitoring (EUM), and State. An authorized representative of the IA will electronically approve the LOA in DSAMS via the IA signature (MILSGN) milestone. The BPC LOA document will reflect "IA Reviewed/Approved" and display the date the MILSIGN milestone is entered. Case review should be completed by all DSCA reviewers and the IA within 5 business days.

DSCA (IOPS/REX/GCD) will review TELs to confirm all equipment, training, and services are on cases by conducting a line-by-line case review matching case lines against the TEL. DSCA (IOPS/REX/GCD) will add the appropriate Case ID to each line on the (respective) TEL and note any significant differences from the original P&A. Any equity present on the TEL, but not on the BPC case, will be noted by DSCA (IOPS/REX/GCD) and will be engaged with the IAs. Upon approval from the aforementioned entities, DSCA (IOPS/REX/GCD) will electronically countersign the BPC LOA in DSAMS, transitioning the case to offered status. There is no physical signature on the BPC LOA document, as the DSCA counter signature and IA approval date is derived and displayed from DSAMS. Neither the Benefitting Country nor the Funding Authority sign the BPC LOA; the "Purchaser Signature" block is left blank.

The IA is responsible for entering the Accepted milestone in DSAMS after the BPC LOA is Offered.

Human Rights Training

HR training must be completed before or during the program execution but no later than 30 days after the final delivery of equipment or other defense services. Each Benefitting County unit receiving assistance under each Congressionally-approved Section 333 or MSI program is statutorily required to receive training on the law of armed conflict, HR training"). The level of human rights training required is identified by DSCA (DSCU/ISEA/DIILS) during TEL development and recorded on the TEL.

DSCA (DSCU/ISEA/DIILS) will complete the HR training for all programs requiring intermediate or advanced human rights training. For all basic-level HR training, the POC for the human rights training provider identified by the CCMD on the TEL is responsible for: 1) coordinating with DSCA (DSCU/ISEA/DIILS) to receive the basic 2-hour HR training curriculum approved by the DoD Office of General Counsel; 2) delivering that basic HR training to the recipient unit(s); and 3) upon completion, providing DSCA (DSCU/ISEA/DIILS) with a certification memorandum and a list of attendees in the format and including the content specified by DSCA (DSCU/ISEA/DIILS) as necessary to certify completion of the training requirement.

HR training should be scheduled in the timeframe identified during TEL development and included in the notification to Congress, which typically will be directly prior to, in conjunction with, or shortly after overall program delivery. Ideally, the required HR training will be provided to the entire recipient unit; however, at a minimum, the training must be provided to the unit leaders and other key personnel of the recipient units.

IV. Case Implementation Phase

Accelerated Implementation (AI) is a DSCA (OBO) process for implementing cases when financial management systems are not operational and there is a request to implement a BPC case quickly. DSCA introduced this process in order to decrease the number of days it takes to get from the Financial Implementation (FinImp) to the Implementation milestone in DSAMS. This process allows implementing agencies to pull obligation authority faster which will then allow for the legal obligations to start as soon as the implementing agencies need. Of note, the AI process is intended to be completed from the 1st through the 20th of the month. This is to ensure that it is completed before financial management systems close. After that date, the case will need to be instead emergency implemented.

Emergency Implementation (EI) is a separate process outlined in [SAMM Section 6.1.2](#). A general guideline is that AIs are to be completed that day, while EIs have to be completed immediately.

If there are contracting or operational requirements and at the end of FY, DSCA OBO may initiate emergency implementation procedures.

DSCA (IOPS/REX/GCD) will work with DSCA (Office of Administration, Chief Performance Office Directorate (ADM/CPO)) to establish mechanisms to monitor case implementation status - tracking and annotating reasons for late implementation - and measure Section 333 case implementation timelines against the above milestones and standards.

Once a BPC case is implemented, IAs will enter requisitions in their respective logistics management system within 30 days of case implementation. IAs are responsible for the allotment, commitment, and obligation of funds for their respective BPC cases. Congress, Office of the Under Secretary of Defense-Cost Assessment and Program Evaluation (OUSD-CAPE), and OUSD (C) use obligation rates in the second quarter of the current year of the appropriation to determine rescissions. The IAs should strive to implement 80 percent of cases tasked for a particular tranche within 30 days from the funds release of the Congressionally-notified

programs. Slow case implementation and low obligation rates continue to impact International Security Cooperation Program (ISCP) account rescissions.

Obligation Rates

Congress, OUSD(CAPE) and OUSD(C) use obligation rates to evaluate program performance, determine current year rescissions, and inform future appropriations. Stakeholders measure obligation rates as a percentage of the appropriated budget for the SC Account. While DoD has until the end of the FY to obligate expiring funds, stakeholders use obligation rates at the end of the 3rd Quarter of each FY to inform next year appropriation decisions. As such, the IAs should strive to obligate 80 percent of expiring funds by June 30 of each year.

Each year, DSCA will hold two BPC mid-year obligation rate reviews to review progress on executing programs consistent with CNs. During these reviews, DSCA and the IAs will identify the total value of funds the IAs require to execute programs by June 1, and will ask the IAs to commit to obligate at least 90 percent of those funds by September 30. During the BPC mid-year obligation rate reviews, DSCA and the IAs will identify residual and undistributed funds no longer required at the program level and facilitate reallocation of funds against other priority requirements. Expiring year funds returns to DSCA will not be accepted after June 2 of that fiscal year.

Undistributed funds are funds originally designated for a specific program on the CN but have not been placed on a case or sent via direct funds transfer. These funds are still available to the DoD to support the specific notified program. If the program no longer needs the funds based on revised P&A, the CN program value is reduced and those funds may fund other priority requirements.

Throughout the period of availability of funds, programs value ceiling are periodically reduced in all government accounting systems to an adjusted level, called the Adjusted CN value. This number is fluid and can be adjusted down or up depending on requirements, while all stakeholders also ensure that it never exceeds the original CN value.

A programs CN value can be adjusted for a number of operational reasons, for example the partner nation no longer needs or wants a particular capability, estimated costs were lower than expected, etc. These funds are not immediately returned to Treasury but rather are used for any other operating costs for programs across the account. Any remainders are still returned through normal channels at the end of the year.

V. Program Execution Phase

Section 333 program "starts" with the first obligation recorded against that program. The start date of the program dictates the length of time left to execute activities against that program. The program begins when the first field activity obligates the first dollar for the entire program, not when DSCA receives an apportionment from the OUSD(C). Examples of a valid obligation include, but are not limited to, signing a contract, approving travel orders, or receiving acceptance on a project order. The planned execution timeline provided to Congress

should be based on when the first field activity will obligate the first dollar and officially start the program. To achieve a synchronized or unified start among all offices supporting a single program requires significant communication and coordination lead by DSCA (IOPS/REX/GCD) to ensure all periods of performance across all BPC LOAs conform to the permissible periods of performance authorized by Section 333.

Case Execution

Immediately after a BPC case has been Implemented, the IA will notify the SCO and provide a copy of the Implemented case. The SCO may prepare for receipt of the materiel and services, as needed. The SCO will make no guarantee to the Benefitting Country that it will receive assistance, however, until the final delivery of the materiel or services.

Executing Program Office/Agent will enter requisitions in the appropriate logistics/financial management system within 30 days of case implementation.

Executing Program Office/Agent will use the appropriate acquisition strategy to place TEL equities on contract. Items that require basic contracting action should be obligated within six months of case implementation. Items requiring long lead contracting action are flagged and reviewed during quarterly program reviews with the IAs.

IA-managed fund transfers for training (e.g., Military Interdepartmental Purchase Request (MIPRs)) will include the following: case information, funds availability, and the Period of Performance (POP) defined in the LOA. The MIPR will also include a request to obligate the funds within three months of MIPR acceptance. USASAC-WFO tracks requirements for longer contracting actions.

Re-Programming Funds

Case modifications and amendments may facilitate the addition of defense articles, training, and defense services that are within the scope of congressionally approved program supporting the desired capability of the program, prior year adjustments or other in-scope changes. The alterations will be agreed upon by DSCA (Front Office, Office of the General Counsel (FO/OGC)) and DSCA (IOPS/REX/GCD). BPC case amendments and modifications must not cause the Congressionally-notified program to exceed the CN value and must also be executable within the parameters of the funds' availability.

DSCA (IOPS/REX/GCD) is responsible for the re-distribution of funds throughout notified programs. In the event that an acquisition has a contract award that exceeds the line value and there are no residuals left on the case, the RPD will coordinate any undistributed or residual funding left on the program to fund the acquisition. In the event that an acquisition's fiscal award is less than what the line value is written for on the LOA, the RPD will first ensure that the case includes all equities on the TEL. If it doesn't, the residual funds will be re-programmed via an amendment or modification to procure the remaining solutions. In the event that funding cannot be financially obligated before expiration, or further procurements of residual or undistributed funding do not compliment the program plan, DSCA (IOPS/REX/GCD) RPDs are authorized to return funding to OUSD(C).

Direct funding

The case process is the primary method of executing Section 333 programs. Direct funding programs is by exception only and must be approved by the DSCA (IOPS/REX/GCD) Division Chief via a direct funds request. Congress must approve the program, and OUSD(C) must release approved program funds before DSCA will approve any direct funds requests. Once OUSD(C) releases approved program funds to DSCA, the direct funds transfer to the recipient organization should occur within 30 days, as long as no other program holds exist. The recipient organization must accept direct funds within 10 days of issuance and obligate in the recipient organization's account within 30 days of issuance. If the recipient organization does not accept and obligate the funds within its account, DSCA will cancel the funds as non-required.

Further information about direct funds requests and execution is found in [DSCA Policy Memo 19-12](#).

Training

All Section 333-funded training must follow the training execution procedures required in [SAMM Chapter 10](#). There are stringent requirements to track, monitor and report all international military students in U.S. government-sponsored training programs. All tracking, monitoring and reporting requirements will be accomplished via the Security Assistance Network Web (SANweb) / Security Cooperation - Training Management System (SC-TMS) once all training is included on a case. All Section 333-funded training should be on a case in order for training track lines and associated training pipelines to be programmed in DSAMS to the DSAMS-Training Module (DSAMS-TM).

Once a training track exists in DSAMS-TM, it will flow to SC-TMS and allow for the SCO to enter the necessary training details. The USG RA will ensure the SCO enters all International Military Student (IMS) training details prior to the training start date.

Program Reviews

DSCA (IOPS/REX/GCD) RPDs will conduct periodic program reviews with IAs, Program Offices, DSCA (SPP/RPPD), force providers, the USG RAs, SCOs, and other stakeholders. RPDs will conduct a minimum of one Program Management Review (PMR) per fiscal year in order to gauge active programs' progression from obligation towards completion (final delivery). RPDs are encouraged to conduct reviews with stakeholders as often as plausible.

Automated Tools

Information Technology (IT) plays an essential part in developing automated tools to manage BPC program execution DSCA (IOPS/REX/GCD) will continue to collaborate with DSCA (Office of Business Operations, Information Management and Technology Directorate (OBO/IMT)) to develop and improve automated solutions for manually created program execution documents. Dedicated developer attention to ISCP requirements in Socium will help DSCA (IOPS/REX/GCD) meet FY 2024 timeline for system roll-out and to accomplish other important program management processes such as CN to LOA crosswalk automation.

Transportation & Deliveries

Requests for equipment delivery to the BENEFITTING COUNTRY must be endorsed by the respective USG RA and DSCA (IOPS/REX/GCD) RPD for inclusion on the Transportation Delivery Forecast schedule (located in SCIP/SCMS) and reviewed bi-weekly in the Monday virtual meetings. Program Offices should submit forecasted delivery information via the IA for inclusion in the bi-weekly transportation update. When sufficient shipment information is available, stakeholders will create a Shipping Control Number (SCN) in SCIP under the SCMS screen to populate the needed field. Once an SCN is issued, USASAC-WFO will provide the Transportation Account Code (TAC) request, and issue the TAC to the appropriate transportation office (e.g. DCMA Transportation). USASAC-WFO then updates the CN to LOA crosswalk. Requests not endorsed by the respective USG RA and DSCA (IOPS/REX/GCD) RPD will not be granted a TAC for funding transportation movements.

A request implies a single, discreet, specific movement of an article (i.e. a truck, etc.), or consolidated movement of articles to a specific destination (i.e. various types of munitions, JCP deliveries, etc.). Multiple movements and/or multiple locations should be detailed and tracked separately by individual SCN in SCIP/SCMS.

The SCN is the digital record repository and mechanism for a delivery to appear on the Transportation Delivery Forecast Dashboard. A SCN will be updated to include the following pieces of information:

1. Shipment details (i.e. estimated delivery date, description, POCs, and requisition(s)/case(s) of articles, etc.)
2. TAC request (i.e. shipment Military Assistance Program Address Code (MAPAC), weight, value and estimated transportation cost)
3. Transportation booking details (i.e. mode, award value, carrier, agent, shipment reference numbers, etc.)
4. Shipment completion (i.e. date shipped, arrived in country date, transfer of title date, delivery survey rating and actual total transportation costs)
5. Remarks
6. Document upload (i.e. transfer of title documentation, signature and tally, proof of delivery, photos, delivery marking briefs, and related shipping, booking and financial documentation)

These web-based tools and guidance were established to ensure that there is transparency and accountability for Section 333 and MSI defense articles and to provide advance shipping notification and a repository for all required (e.g. transfer of title) and supporting documentation.

As a general rule, all materiel going through the JCP must be received at the JCP 30 days prior to the estimated or desired ship date to BENEFITTING COUNTRY. The JCP provides a commitment to provide SCOs no less than 30-day advance notice of upcoming deliveries. Depending on the Benefitting Country's clearance requirements the lead-time could be longer. Deliveries to the Benefitting Country drive training and installation schedules. Proper lead-time must be factored in for solicitation and award timelines to transportation

carriers, to allow carriers to meet all the BENEFITTING COUNTRY specific requirements for cargo entry.

BENEFITTING COUNTRY training, equipment installation, and other requirements must be coordinated at least six months in advance to enable synchronized equipment deliveries in support of the training event.

For any reason, Implementers seeking a TAC for any CONUS and/or OCONUS transportation costs outside of the SCIP/SCMS SCN request tool should submit a non-standard request form to the following email address: usarmy.belvoir.usasac.list.gte-trans-appvl-fund-req@army.mil. USASAC-WFO typically requires the case ID, requisitions, MAPAC, shipping dimensions (e.g length, width, height, weight), and a cost estimate. The JCP should not be contacted directly to request equipment deliveries or request for TAC codes, all requests must go to the USASAC-WFO email address.

Below is additional guidance to assist in the selection of the applicable delivery transportation code (DTC):

1. DTC code 7 - Large items shipped directly to the Benefitting Country (including Arms, Ammunition and Explosives (AA&E)). (AA&E may be shipped using DTC 2, 4 or 9. For questions regarding the appropriate DTC to ship AA&E, contact the DSCA (IOPS/REX/GCD) RPD.
 - a. In limited instances, based on the transportation plan to specific Benefitting Countries, DTC 9 (port of debarkation) may be appropriate. Case Managers and DSCA (IOPS/REX/GCD) RPDs will work together to identify and coordinate these deliveries.
2. DTC code 2/7 -Small items shipped to the JCP.
3. DTC code 5 - Shipments for Mexico only. This indicates a special approval to ship items to Mexico via their freight forwarder. Please consult the DSCA RPD when developing a case for Mexico deliveries.
4. DTC 4 - Shipping by the vendor, requires an exception to policy approval prior to developing the LOA. The DSCA (IOPS/REX/GCD) RPD will be copied on the submission of the exception to policy package.

Matériel Delivery

With the support of the Implementer and/or JCP, the USG RAs must ensure SCOs are aware of incoming shipments and have the necessary documents to clear customs.

The CCMDs should ensure SCOs see the relevant CN tables and know which BENEFITTING COUNTRY unit was notified and approved to receive the defense articles, training, services, supplies (including consumables), and small-scale construction associated with that program. This ensures equipment is delivered and training is provided only to a BENEFITTING COUNTRY unit that was included in the Congressional Notification. The USG RAs provide assistance, as appropriate, for the ground movement of articles to their final destination. Per the [SAMM Section C15.5.4](#). Transportation and Delivery of Materiel and Services,

the SCO will prepare the receipt and title transfer documents, and the USG RA will provide support as appropriate. USG RAs may request a Delivery Assistance Team (DAT) to assist with equipment delivery and transfer to partner nation. The transportation process slides available on SCIP provide additional execution details.

Upon DSCA (IOPS/REX/GCD) GCD's direction, the Army and the Navy will each establish a current year transportation case, to include a line for Packing, Crating and Handling (PC&H) services. The Air Force will request a TAC from the Army managed case to ship Air Force sourced defense articles or material on Section 333 cases, with the applicable DTC. The Army case will fund costs associated with consolidating materials at the DSCA-recognized JCP in Mechanicsburg, PA. The case will also fund the Delivery Assistance Team services as required.

Once the estimated shipment information is available, IAs will create a SCN in the Transportation Forecast schedule in SCIP/SCMS. The SCN will provide details to authorize the use of the TAC. This guidance is established to ensure that there is accountability for Section 333 defense articles and to provide advance shipping notification to the partner nation.

Receipt of Goods and Services

Per the [SAMM Section C15.5.4](#), Transportation and Delivery of Materiel and Services, the SCOs prepare the receipt and title transfer documents, and the CCMD with geographic area of responsibility will provide support as appropriate. The CCMD with geographic area of responsibility may request a DAT to assist with equipment delivery and transfer to partner nation. The transportation process slides available on SCIP provide additional execution details. Transfer documentation for materiel – posted in SCIP, JCP under the appropriate SCN. For training and services, SCO will confirm with the RPD when services and training are complete and provide any supporting documentation as evidence of completion.

Title Transfer to Partner Nation

Title transfer procedures are outlined in [SAMM Section C15.5.4.4. Advance Notice of Delivery](#). All advance notice of delivery must include which unit will receive the materiel or service. The materiel shipment information must be attached to the notice.

Material may not be transferred to another unit without DSCA's / Congressional approval. Contact DSCA (IOPS/REX/GCD) if there are issues with the Congressionally Notified recipient unit expected to receive the equipment.

The SCO will provide a copy of the signed Transfer and Receipt document to the DSCA, JCP and upload the documents under the appropriate SCN in SCIP/SCMS.

IV. Program Management/Monitoring Phase and Reporting Requirements

Congressional Notification to Letter of Offer and Acceptance Crosswalk

USASAC-WFO manually develops and updates the CN to LOA crosswalk tables as soon as a tranche is notified in order to start populating the CN to LOA crosswalk with LOA information. USASAC-WFO manages the CN to LOA crosswalk for tri-service reporting of

deliveries. IAs update the "Estimated Ship Date" field on the CN to LOA crosswalk in SCIP. The USG RA will review the CN to LOA crosswalk on a quarterly basis to ensure they remain current on upcoming deliveries.

Key Program Resources

Below is a list of key program documents used by the Section 333 execution community. All documents are accessible via DSCA SharePoint site or within SCIP.

1. CN TAB B (SCIP/SCMS/Documents tab)
2. TEL Final Versions (DSCA SharePoint)
3. CN to LOA crosswalks (SCIP/SCMS/Documents tab)
4. SCMS Dashboard Report (SCIP) for the list of all LOAs under approved program.
5. Transportation Delivery Forecast Schedule (SCIP/SCMS)
6. Title Transfer Documents (SCIP/SCMS/)
7. SEC333 Points of Contact List (SCIP/SCMS/)

Program Monitoring

The Requesting Authority must be adequately resourced and manned to perform the program oversight functions that come with delivering a new capability. Depending on design of the SSCI, this may require USG RA, Service Component, and SCO-level involvement in all areas throughout the lifecycle of the program that are qualified to handle the required functions of successful program design, monitoring and delivery. Respective organizations should plan to ensure continuity for large projects that require three or more years from the year of implementation to complete. Manpower resources should be adequately planned, programmed, and budgeted for the lifecycle of the programs.

The USG RAs assist with program execution, must follow the processes set forth below to monitor Section 333 programs.

Teleconferences

DSCA hosts the following weekly or periodic teleconferences to synchronize the Section 333 community. USG RAs, IAs and non-traditional implementers should participate to the maximum extent possible to stay abreast of program developments.

1. Transportation, Deliveries & Training - weekly Mondays at 0900 EST
2. Global Train and Equip - bi-weekly Wednesdays at 0900 EST
3. USG RA Secure VTC - 3rd Wednesday of every month at 1200 EST

4. RPPD syncs - schedules vary by USG RA

Formal Program Reviews

DSCA conducts the following program reviews to synchronize and review 333 program execution:

1. PMRs - hosted by DSCA RPDs with USG RA, IAs, State, DSCA CPD, and DSCA PPD participation. Schedules vary by USG RA and based on AM&E scheduled trips.
2. USG RA specific program reviews, such as the Baltics Integrated Air and Missile Defense (IAMD) program - held on ad hoc basis that vary by USG RA.
3. Mid-Year PMR - two per year in the first half of the FY to review programs in order to capture undistributed and residual funds.
4. Section 333 Program Hotwash - annual event held in October.

Reporting Requirements

There are significant reporting requirements for security cooperation programs as required by statute, DoD Instructions, and other DoD policy. Information on Section 333 programs is included in all of the below reports. Information on MSI programs are only included in the Foreign Military Training Report (FMTR), the Section 386 report and the listed financial reports. DSCA pulls relevant information from official systems of record in order to limit official requests for information to the maximum extent practical. When required, USG RAs, IAs and non-traditional implementers must provide requested information as part of the report submission.

Section 333 Quarterly Report

[10 U.S.C § 333](#) requires DSCA to submit quarterly reports to Congress about the delivery and execution status of all defense articles, training, defense services and supplies (including consumables), and small-scale construction. The report must include information on the timeliness of those deliveries compared to the delivery schedule included in the original CN. The report must also include information about the status of funds for allocated programs, included amounts of unobligated funds, unliquidated obligations, and disbursements.

The Section 333 Quarterly Report is the official program report for Congressional committees to evaluate the efficiency and effectiveness of the Section 333 authority. Quarterly reports must be accurate and reflect any deviation from the original CN.

Office of National Drug Control Policy Report

The annual Office of National Drug Control Policy (ONDCP) report must include all Section 333 programs funded in support of Counter-Illicit Drug Trafficking (CIDT) operations. This requires DSCA to report funding and supply a performance summary in the FY of reporting that provides a measure of performance and effectiveness for CIDT

programs evaluated in that FY, regardless of which FY appropriations were applied. It also requires as an overview of the AM&E framework.

Foreign Military Training Report

DoD and State are required to produce a detailed annual report of all foreign military training the United States provided in the previous fiscal year and any known estimates for the next/current fiscal year. The FMTR is mandated under Section 656 of the Foreign Assistance Act of 1961(as amended) [[22 U.S.C. 2416 - Annual Foreign Military Training Report](#)] to include detailed information about every foreign military training activity funded by the United States. The FMTR must include all training and education funded by Section 333 and MSI. This report must be delivered to Congress by January 31st each year. See [SAMM Section C10.21.2](#). for information on the FMTR.

Section 386 Report

DoD must submit an annual report to Congress that details, on a country-by-country basis, a description of each DoD program that provides training, equipment, or other assistance or reimbursement during the previous FY. The report must include a description of the purpose, duration, type of training, equipment, assistance and reimbursement, how the reimbursement advances the theater security cooperation strategy, cost and expenditures, a description of the metrics used for assessing the effectiveness of the program, a description of the extent of the participation of BENEFITTING COUNTRY forces, and the number of U.S. forces involved in providing the assistance.

Financial Reports

1. Section 381(b) financial reports (quarterly)
2. ForeignAssistance.gov reports (quarterly)
3. Section 655 report (annual)
4. Other DSCA sales reports

DSCA automatically pulls these financial reports from official systems of record, and are currently unable to include direct-funded actions. Direct funding is only authorized on a by-exception basis in order to ensure all reporting requirements are met as accurately as possible.

Attachment #2 - Definitions

Synchronization

Combatant Commands(CCMDs) with geographic area of responsibility (in conjunction with Security Cooperation Organizations (SCOs) and Country Teams) are responsible for data collection in support of Security Cooperation (SC) initiatives. This is a crucial consideration because data must be useful in order to inform decisions during the management process and after an activity or initiative has ended. It is important to understand how data informs the decisions that will mold future SC initiatives to ensure an initiative is based on sound logic. Authorized data collection methods include (but are not limited to): surveys, key informant interviews (KII), focus group discussions (FGD), document reviews, and site visits.

Logic Models

CCMDs with geographic area of responsibility (in conjunction with SCOs and Country Teams) are responsible for the creation of logic models in order to graphically depict a comprehensive performance management plan. Logic models must be based on accurate data collected and assessment results and implemented using a combination of both critical and creative thinking for accurate illustration. DSCA (Office of Strategy, Plans, and Policy, Regional Planning and Program Design Directorate (SPP/RPPD)) will inspect and validate all logic models submitted by CCMDs to corroborate accuracy, comprehension, and rationality. At a minimum, logic models will include:

- A logic framework for the initiative that maps goals and specific, measurable, achievable, relevant/results-oriented, and time-bound objectives to the activities necessary to achieve desired changes. The logic framework visually describes activities and the planned process of contributing to initiative goals and achieving objectives.
- Indicators and milestones, ideally with baselines and targets, tied to the specific, measurable, achievable, relevant/results-oriented, and time-bound objectives that quantitatively or qualitatively measure the outputs and outcomes of the security cooperation initiative toward achieving stated objectives.
- A theory of change, intended to make implicit assumptions more explicit, which describes why certain actions will produce a desired change in a given context, and clearly states what the intended outcome of the initiative will be and how it will be achieved.

Significant Security Cooperation Initiatives

Significant security cooperation initiatives involve the application of multiple security cooperation tools and programs, over multiple years to realize a country- or region-specific objective or functional objective. Significant Security Cooperation Initiatives (SSCIs) are multi-year, multi-authority, multi-recipient unit plans that link SC activities and programs to strategic DoD objectives, as outlined in the National Defense Strategy (NDS), through a Specific, Measurable, Achievable, Relevant, and Time-Bound (SMART) objective. They are intended to capture all efforts DoD intends to implement over the span of five years in an effort to achieve

these objectives. This should include holistic, comprehensive designs that DoD will review and prioritize accordingly. To the extent practicable, SSCI planning should complement anticipated security sector assistance initiatives that the Department of State will execute, as well as other relevant interagency programming. All SSCIs are required to be approved by CCMDs, and then reviewed by DSCA (SPP/RPPD), and DSCA (Office of International Operations, Regional Execution Directorate, Global Capability Development Division (IOPS/REX/GCD)) prior to the creation of BPC proposal.

Initiative Design Document

An Initiative Design Document (IDD) is required for all SSCIs. The IDD will be developed through a deliberate and inclusive process, informed by the opportunities and risks identified in the initial assessment, to create a comprehensive document. IDD's will provide an overview of the activities and authorities to be applied in a synchronized manner to achieve the planned security cooperation outcome. Specifically, IDD's will include:

- Clear linkage to goals or objectives in the theater campaign plan or other higher-level guidance.
- Problem statement, derived from the initial assessment, which is a clear description of the issue or challenge the initiative seeks to address. Also known as the rationale, the problem statement provides the basis and reasons for implementing a security cooperation initiative.
- A comprehensive performance management section that includes: a. A logic framework for the initiative that maps goals and specific, measurable, achievable, relevant/results-oriented, and time-bound objectives to the activities necessary to achieve desired changes. The logic framework visually describes activities and the planned process of contributing to initiative goals and achieving objectives. b. Indicators and milestones, ideally with baselines and targets, tied to the specific, measurable, achievable, relevant/results-oriented, and time-bound objectives that quantitatively or qualitatively measure the outputs and outcomes of the security cooperation initiative toward achieving stated objectives. c. A theory of change, intended to make implicit assumptions more explicit, which describes why certain actions will produce a desired change in a given context, and clearly states what the intended outcome of the initiative will be and how it will be achieved.
- Guidance to relevant stakeholders on how their security cooperation tools and activities should contribute to the security cooperation initiative and expectations regarding their role in supporting Assessment, Monitoring, and Evaluation (AM&E) efforts. It should also include data-collection details, parameters, frequency, and responsibility; how results will be used and communicated; and recommendations on when to evaluate the program.

BPC Proposal

This document and any accompanying Train and Equipment List (TEL) will comprise a complete BPC Proposal, which DSCA will use to build a program, notify the program to Congress for approval (as required), and subsequently execute it. The document captures the

program description, role analysis, materiel and non-materiel solutions, integration with other efforts, required human rights training, and supporting documents. All BPC Proposals are required to be approved by CCMDs, DSCA (SPP/RPPD), DSCA (Defense Security Cooperation University, Institutional Capacity Building and Program Design (DSCU/ICBPD)) and DSCA (IOPS/REX/GCD).

Attachment #3 - OSD Planning Guidance Reference Materials

For a copy of Attachment 3 “OSD Planning Guidance reference materials”, please contact the policy memorandum POCs: Ms. Caroline Chin, DSCA (Office of Strategy, Plans, and Policy, Execution Policy and Analysis Directorate (SPP/EPA)) at caroline.s.chin.civ@mail.mil or Ms. Gunda Seng, DSCA (Office of International Operations, Regional Execution Directorate, Global Capability Development Division (IOPS/REX/GCD)), gundega.a.seng.civ@mail.mil.