



## **A STRATEGY FOR SUCCESS**

**By**

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and  
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[Editor's Note: This edition of the DISAM Journal features the Defense Security Cooperation Agency (DSCA) Strategic Plan for Fiscal Years 1998-2003. This article introduces the DSCA strategic plan and the overall concept of strategic planning through discussion of the linkages to the National Security Strategy, National Military Strategy, and State Department Strategic Plans. Strategic and performance plans are required by the Government Performance and Results Act (GPRA) of 1993.]

### **INTRODUCTION**

Many businesses have learned that planning is a major factor in preparing for the future. Those of us with military backgrounds have learned the importance of the five P's: "Prior Planning Prevents Poor Performance." and the potential disasters that can occur when planning is incomplete. Today's constrained environment demands that we strategically plan for the future, focusing on specified goals and objectives and synchronizing our engagement programs to enable us to provide effective and efficient management. In short, we must implement successful business practices within the Department of Defense. Strategic planning is one of those practices that will promote future success, despite resource reductions.

### **THE GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA) OF 1993.**

The Government Performance and Results Act (GPRA) of 1993 provides for the establishment of strategic planning and performance measurement in the Federal Government. Under this act, each Federal agency is required to account for program results through the integration of strategic planning, budgeting, and performance measurement. Many Federal agencies are meeting this requirement through strategic and performance plans. Congress has required strategic planning to foster efficiency and provide sufficient articulation of program

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goals and information on program performance, so that Congressional policymakers can provide better decision making and program oversight.

The GPRA is also designed to improve the confidence of the American people in the capability of the Federal Government. GPRA accomplishes this by holding agencies accountable for results: establishing program goals and measuring program performance against those goals, and improving service. The objective is to improve congressional decision making and internal management of the Federal Government. The Office of Management and Budget (OMB) has oversight of compliance with GPRA and therefore, each Federal agency must submit to OMB and Congress a five-year strategic plan. Each plan must contain the following: a mission statement, trends and assumptions, key business drivers, goals and objectives, actions required to achieve the goals and objectives, and metrics to measure progress. These same considerations should be part of any agency's planning system and are the founding principles that guided the development of DSCA's plan. More information on the GPRA can be found at <http://ombwatch.org/www/ombw/gpra/gpra1.html>.

## NATIONAL SECURITY STRATEGY

Strategy refers to the means and methods used to achieve objectives<sup>1</sup>. It is the roadmap that gives us the most efficient and economic ways of accomplishing our objectives. U.S. strategic objectives are articulated in foreign policy and strategic documents. The primary document that identifies U.S. strategic goals and objectives is the National Security Strategy.

The National Security Strategy is developed by the White House to provide strategic guidelines for the Executive Branch in implementing National Security policy. The National Security Strategy objectives are to enhance security, bolster America's economic prosperity and promote democracy, the goal is to ensure the protection of U.S. interests. Peacetime engagement programs generally support all three objectives, with an emphasis on shaping the international environment.

The United States has a wide range of tools available to shape the international environment, such as diplomacy, international assistance programs, arms control programs. Effective shaping will reduce the number of threats and crises to which the United States may have to respond. Security Assistance and related programs are specifically identified in the National Security Strategy as a means of implementing that strategy to accomplish U.S. strategic goals.

“Through overseas presence and peacetime engagement activities, such as defense cooperation, security assistance, and training and exercises with allies and friends, our armed forces help to deter aggression and coercion, promote regional stability, prevent and reduce conflicts and threats, and serve as role models for militaries in emerging democracies. We must also renew our commitment to America's diplomacy—to ensure that we have the superb diplomatic representation that our people deserve and our interest demand. Every dollar we devote to preventing conflicts, promoting democracy, and stopping the spread of disease and starvation brings a sure return in security and savings.”<sup>2</sup>

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<sup>1</sup> Sarkesian, Sam C., *U.S. National Security, Policymakers, Processes, and Politics*, Boulder and London, Lynn Rienner Publishers, 1989.

<sup>2</sup> *A National Security Strategy for A New Century*, The White House, October 1998.

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Today's complex security environment demands that all of our instruments of national power be effectively integrated to achieve our security objectives. The National Security Strategy directs that we must be prepared and willing to use all appropriate instruments of national power to influence the actions of other countries. These instruments include the political, economical, military, and informational elements of national power. Programs such as security assistance and other peacetime engagement programs emphasize all four elements of national power. These programs use the military element of national power in a diplomatic role to promote democracy, enhance security and bolster economic prosperity through economic and informational programs. By implementing these engagement programs, the United States demonstrates its will and capability to exert global leadership and remain the preferred security of countries that share our interests.

The URL for the National Security Strategy is <http://www.whitehouse.gov/WH/EOP/NSC/Strategy/>.

## **DEPARTMENT OF STATE STRATEGY**

Both the State Department and the Department of Defense play active roles in peacetime engagement programs. To implement the National Security Strategy using the diplomatic element of national power, the State Department has developed two strategic planning documents. These two documents are the U.S. Department of State Strategic Plan and the United States Strategic Plan for International Affairs.

The U.S. Department of State Strategic Plan outlines the State Department's mission, goals and objectives, and strategies. Strategies include programs, activities, and resources directed towards achieving U.S. strategic goals. Activities range from military action to development, humanitarian assistance, and diplomacy.

The United States Strategic Plan for International Affairs articulates the national interests of the U.S. in terms of long-range goals to create a more secure, prosperous, and democratic international environment. This plan serves as the framework for the international affairs goals of all of the executive agencies of the U.S. government, under the foreign policy direction of the President and the Secretary of State. The URL for the Department of State Strategic Plan for International Affairs is [http://www.state.gov/www/global/general\\_foreign\\_policy/stsp828.html](http://www.state.gov/www/global/general_foreign_policy/stsp828.html).

Each U.S. embassy is required by the State Department to develop a Mission Performance Plan that identifies how each of the programs supported by the embassy supports U.S. national interests and strategic goals. Security Assistance Offices, as well as other DoD, USG, and State Department agencies, participate in this planning process in order to synchronize their programs to ensure effective and efficient use of USG resources while accomplishing U.S. foreign policy and strategic goals.

## **NATIONAL MILITARY STRATEGY**

The Department of Defense has also developed its strategic plan, called the National Military Strategy. This document, signed by the Chairman of the Joint Chiefs of Staff, outlines how the military element of national power will be used to support the National Security Strategy goals. The National Military Strategy identifies two military objectives:

- Promote peace and stability
- Defeat adversaries

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These objectives represent the “carrot and stick” of military power. The National Military Strategy also implements the Quadrennial Defense Review.

The National Military Strategy recognizes the important role of the military in engagement programs. The three components of the military strategy are Shape, Respond, and Prepare. Activities such as security assistance and related programs help to shape the international environment in an effort to reduce the number of crises to which the U.S. would have to respond.

The National Military Strategy is located at <http://www.dtic.mil/jcs/nms.html>.

## **THEATER ENGAGEMENT STRATEGIC PLANS**

The commanders of the regional unified commands implement the National Military Strategy in the international arena. Each unified command is required to develop its own theater engagement plan identifying unified command goals and objectives for countries within its area of responsibility (AOR) and outlining how the various programs for which the unified command is responsible will support those goals and objectives. These theater engagement plans must support the National Military Strategy.

As with the Mission Performance Plans, Security Assistance Organizations and other DoD agencies should participate in the theater engagement planning process to ensure synchronization of programs and compatibility between the Theater Engagement Plan and the Mission Performance Plan. The synergy created by synchronizing peacetime engagement programs should result in a higher accomplishment of strategic goals and objectives at a lower overall cost.

## **DEFENSE SECURITY COOPERATION AGENCY (DSCA) STRATEGIC PLAN**

DSCA is the principal organizational element through which the SECDEF carries out his responsibilities for security cooperation. It serves as the DoD focal point and clearinghouse for tracking arms transfers, budgetary, legislative, and other security cooperation matters through the analysis, coordination, decision, and implementation processes. It keeps all concerned elements of the DoD informed about the status of ongoing security cooperation actions and raises issues through appropriate channels when decisions by a higher-level authority are required. DSCA is also responsible for the conduct of international logistics and sales negotiations with foreign countries, and the maintenance of liaison with and the provisions of assistance to U.S. industry in the export of military equipment and services. All authorities conferred on the SECDEF by the Foreign Assistance Act (FAA) and the Arms Export Control Act (AECA), and all authorities under those acts delegated by the President to the SECDEF are in turn delegated to the Director, DSCA.

The Director, DSCA, is charged with providing timely and effective direction, supervision, and oversight of security cooperation programs in support of U.S. national security and foreign policy goals and objectives. Since security assistance and related programs play such a major role in shaping the international environment, DSCA has developed its own strategic plan outlining how this key DoD agency will effectively and efficiently support the unified command, the National Military, State Department, and the National Security Strategies. The “lite” (abbreviated) version of the DSCA Plan follows this article. A more comprehensive version of the strategic plan outlining subordinate action items is available at DSCA headquarters. The DSCA “Lite” version is also available through the DSCA web page at: <http://www.dsc.osd.mil/StratPlan/stratmain.htm>.

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Each of the subordinate business areas assigned to DSCA has also developed individual business plans. DSCA's business areas represent its core activities and functions. These include:

- Security Assistance, which represents the two operational directorates of Europe, Russia, Americas and Sub-Saharan Africa (ERASA), and Middle East, Asia, and North Africa (MEAN)
- Office of the Comptroller, including the Denver Liaison Office (DLO)
- Directorate of Information Technology (IT), including the Defense Security Assistance Management System (DSAMS) Program Management Office (PMO) and the Defense Security Assistance Development Center (DSADC)
- Humanitarian Assistance and Demining
- Foreign Comparative Testing
- Cross-Functional, which includes Legislation, Programs and Policy (LPP), Excess Defense Articles (EDA), the Weapons Division of the ERASA Directorate, and Administration
- The Defense Institute of Security Assistance Management (DISAM).

The DSCA and Business Area Plans each include: mission, vision and values statements; trends and assumptions; key business drivers; goals and strategies; objectives with corresponding action plans; and a comprehensive quarterly review and analysis process. These plans clearly identify and set forth the path that DSCA and its business areas must follow in order to be successful in the future. More importantly, it establishes a comprehensive process for measuring progress and allocating resources based upon demonstrated results and changing priorities. Linkage throughout and between these plans is deliberate and intended to facilitate the effective application of limited resources, the synchronization of efforts agency-wide, and ultimately the development of a synergistic effect throughout the entire security cooperation community. DSCA and its business areas play a critical role in facilitating the successful attainment of U.S. national security and foreign policy goals and objectives.

To develop its strategic plan, DSCA established a planning process that involved the major stakeholders of the agencies. Stakeholders are those who have a vested interest in what the agency does. The DSCA primary stakeholders were identified as U.S. government agencies, foreign customers, industry, and employees. Each of these stakeholders participated in focus groups and surveys to establish the current level of support provided by the agency and its subordinate activities and identify areas for improvement. Information derived from these reviews provided valuable assistance in determining DSCA goals and objectives, strategies and action items, and the best means of supporting the needs of U.S. national security and foreign policy objectives in security cooperation, while meeting our stakeholders' requirements.

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The new mission and vision statements define who we are and what we will strive to become. Our new mission statement is:

DSCA provides timely and effective direction, supervision, and oversight of security cooperation programs in support of U.S. national security and foreign policy objectives. The Agency promotes stable security relationships with friends and allies through:

- Security Assistance and defense sales
- Humanitarian Assistance and Demining
- Other related programs<sup>3</sup>

Our vision is to be the premier Agency recognized and respected for leadership, expertise, innovation, and results in security cooperation...

- A highly qualified team of motivated professionals
- Vital to supporting U.S. interests and security relationships
- The international partner of choice...mastering the challenges of a changing global environment.

#### **Decisive, Supportive, Committed, and Accessible**

Our goals, strategies, and action plans define how and what we must change to achieve our vision. For each goal, we have defined quantifiable and time-certain objectives to track and evaluate our performance. Each business area plan aligns its objectives and action plans to the agency plan. These business area plans address the diverse aspects of our mission, such as the transfer of defense military sales and articles vice humanitarian assistance, as well as the needs of our most important resource, our employees. These plans will enable each business area to address the specific needs of its stakeholders and answer the call for change. We will continue to review our progress quarterly and to reassess our effectiveness using surveys provided to our stakeholders. We encourage you to participate in our planning process by completing these surveys identifying how we can better serve you.

We recognize that change is not easy and that it requires time, patience, and persistence. However, we remain dedicated and committed to achieving success in the conduct of security cooperation activities and programs to achieve U.S. national security and foreign policy objectives. The DSCA plan is linked externally to the unified command, the National Military, State Department, and the National Security Strategies. Internally, all business area plans are linked to the DSCA plan.

We can assume that Foreign Military Sales will decrease as a result of constrained budgets globally. In addition, International Affairs Funding is estimated to be reduced consistent with Congressional efforts to cut funding. As a result, DoD infrastructure and resources to support security cooperation missions may decrease as resources continue to diminish. Political forces

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<sup>3</sup> These programs include foreign Comparative Testing and the Warsaw Initiative.

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within interagency and Congressional oversight will be ongoing and may increase as we are forced to rigorously defend our programs. Therefore, we all need to find better ways of conducting business. DSCA must establish standards and policies across the Agency to ensure consistency in the way we work and respond to customer requests. Re-invention and re-engineering efforts are a good start in improving processes to support customer needs. Reengineering FMS should result in increased productivity and customer satisfaction. DSCA and other security assistance organizations must adapt to support the reengineering changes to optimize efficiencies and effectiveness. We encourage you to review our strategic plan and offer suggestions. We also encourage you to incorporate those strategies that are appropriate into your own strategic plan.

## **CONCLUSION**

Increasing the emphasis on cooperative programs for achieving security objectives is key to successfully accomplishing strategic goals and objectives. Security cooperation programs promote environment shaping and conflict prevention, mediation, and resolution. Increased security cooperation also helps to reduce the potential for conflict among the cooperating nations.

Cooperation is also a key economizing measure, allowing the United States to use its leading international position to "leverage" group action while sharing security burdens. The future offers an opportunity to expand the basis of security cooperation and work more closely than ever before with other nations in restricting aggression and addressing the sources of instability. What the long-term future holds is uncertain, but the steps we take today will help decide how well we can survive in that future. Strategic planning is essential if we want to be able to provide effective and responsive security cooperation advocacy, program management, and processes consistent with U.S. national security and foreign policy objectives.

### **About the Authors**

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# Strategic Plan Linkage

