

JUSTRAC Panel 8



David Cate

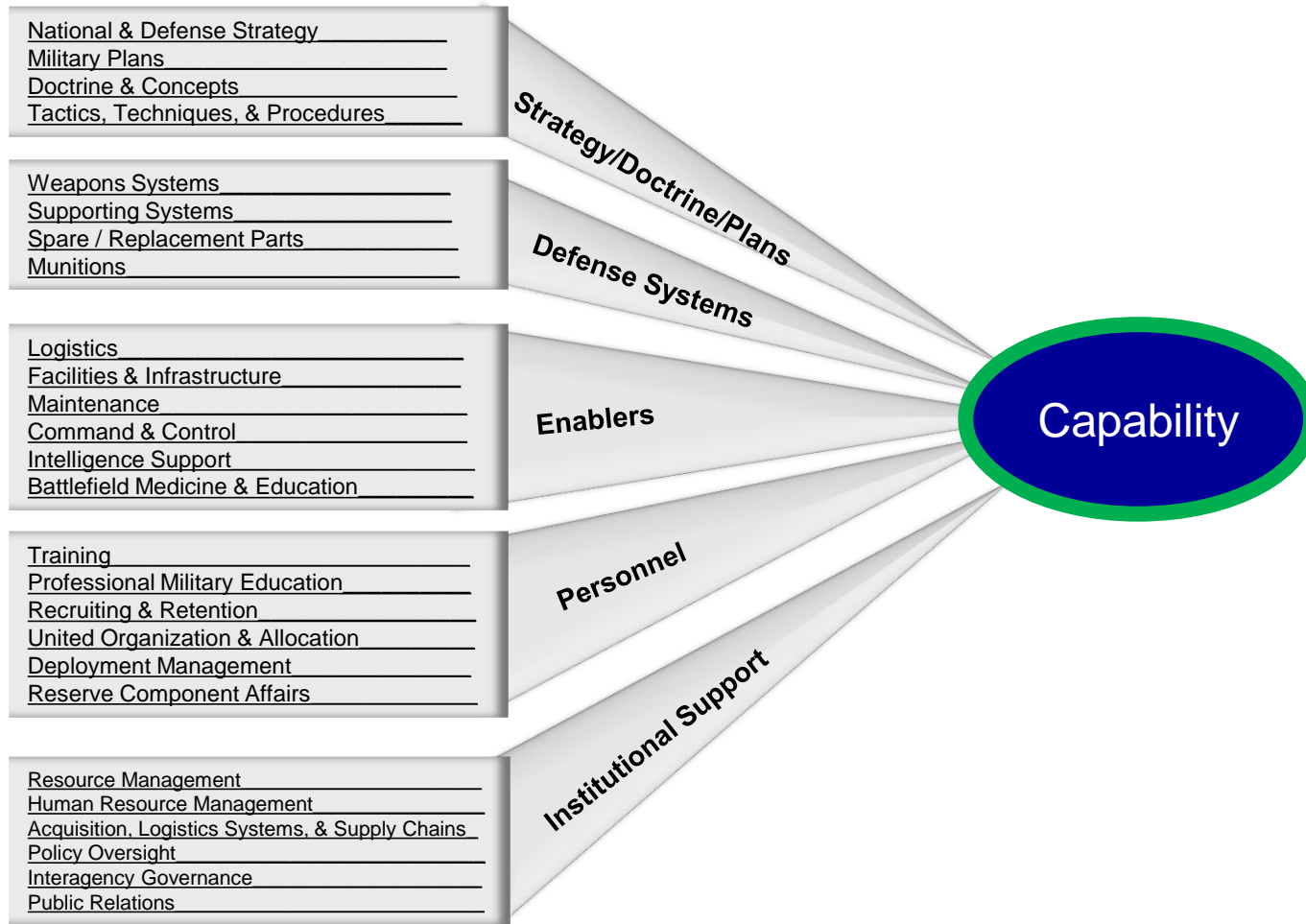
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***Director
Assessment, Monitoring & Evaluation***



POLICY

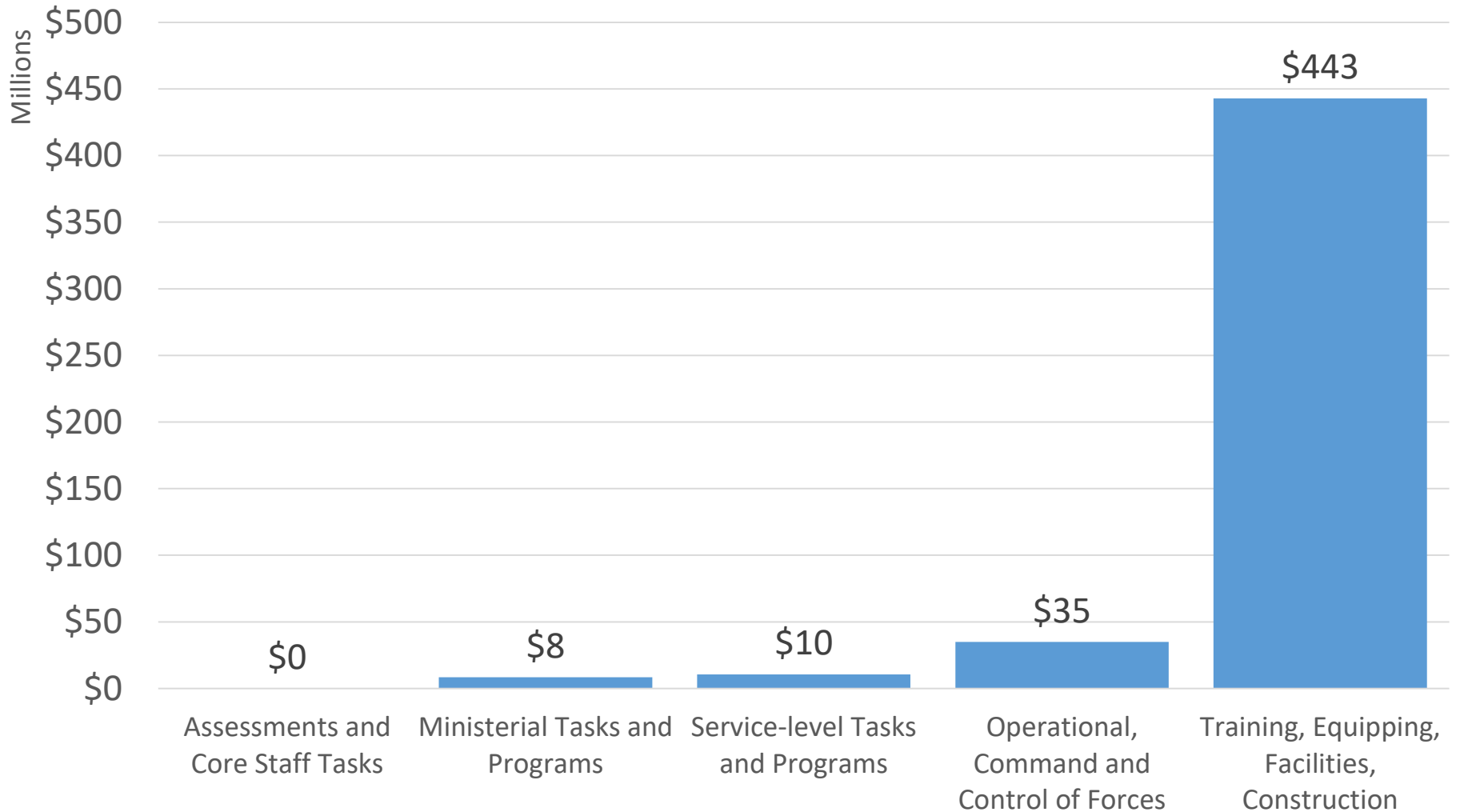
Full Spectrum Capability





POLICY

GCC Plan for Country X 2015-2021





Interagency Security Cooperation example

	NPS	IPOA	ODPP	Police	Judiciary	KPS	ATPU	RBP	KRP	KDF	BDU	KWS	CAA	Civ Soc	Finance	Borders	Immigration	DRA	Moi	NCTC
Ministry				49										41, 34						
Service/Opnl			52	86					30				1	39, 40	82, 69		8			
				48									5, 7		68, 77, 70			9		
Tactical			72	10					20				2	45, 92, 44	87		12, 14			
		96		79, 83			53, 55, 56, 58		22, 21, 22, 23, 44, 75, 62		63, 64, 65, 66		27, 4	46, 63, 43			11			



DoD's AM&E Program

- ❑ Conduct initial assessments to inform initiative design and **establish a baseline** against which to track progress **in advance** of all significant security cooperation initiatives.
- ❑ Initiative design document (**IDD**) to guide all **significant security cooperation initiatives**.
- ❑ **Monitor** progress...toward desired outcomes by tracking inputs (e.g., funding, manpower, and expertise)
 - Determine whether programmatic **milestones are achieved** within anticipated timeframes, budgets, and outcomes, including whether desired results or effects are occurring within the timeframe anticipated.
- ❑ Conduct **centralized independent and rigorous evaluations** of significant security cooperation initiatives to examine their relevance, effectiveness, and sustainability.



POLICY

BACKUP



10 USC 383

- ❑ **The Secretary of Defense shall maintain a program of assessment, monitoring, and evaluation in support of the security cooperation programs and activities of the Department of Defense. The program shall provide for:**
 - ❑ **Initial assessments** of partner capability requirements
 - potential programmatic risks,
 - baseline information,
 - indicators of efficacy for purposes of planning, monitoring, and evaluation of security cooperation programs and activities of the Department of Defense.
 - ❑ **Monitoring** of implementation of programs and activities to measure progress in execution and, to the extent possible, achievement of desired outcomes.
 - ❑ **Evaluation** of the efficiency and effectiveness of such programs and activities in achieving desired outcomes.
 - ❑ Identification of **lessons learned** in carrying out such programs and activities, and development of recommendation for improving future security cooperation programs and activities of the Department of Defense.



DoD Policy on AM&E

□ AM&E of security cooperation programs will:

- Foster accurate and transparent reporting to key stakeholders on the **outcomes** and **sustainability** of security cooperation and track, understand, and improve returns on DoD security cooperation investments.
- Identify and disseminate **best practices and lessons learned** for security cooperation implementation to inform decisions about security cooperation policy, plans, programs, program management, resources, and the security cooperation workforce.



AM&E will be integrated into security cooperation planning at all stages

- ❑ Develop and share **lessons learned** to inform future security cooperation planning and resource decisions
- ❑ Facilitate **mutual learning** and cost reduction thru collaborative evaluations across DoD Components, with other USG agencies, international partners
- ❑ Conform with applicable laws and Presidential directives.
- ❑ Ensure sufficient funds are made available in accordance with DoD strategy, administration policy, and international best practices, to support:
 - The conduct of **centralized independent evaluations** and dissemination of lessons learned.
 - **Training and technical assistance** to the security cooperation workforce for conducting and supporting AM&E functions.
 - AM&E policy implementation by DoD Components.
- ❑ Make **unclassified summaries of evaluations** of DoD security cooperation activities publically available unless disclosure is expected to cause harm
- ❑ These practices are applied to all appropriate security cooperation activities in line with guidance and standards identified in DoDI 5132.14



Benefits of Reforms: Risk-Informed Pursuit of Priorities

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Before the reforms, many authorities were tailored to support outcomes 1 and 4. Broader authorities allow DoD to address the full range of desired outcomes.

- “Defense Guidance on Security Cooperation,” Aug 2016

Today’s workforce is unevenly trained to assess partner will and factor this into planning. Workforce professionalization will support improved analysis and deliberation to inform security cooperation planning and understanding of risk.

SECURITY COOPERATION OUTCOMES

high priority >	1. Build capability and/or capacity of key partners to support current operations
	2. Develop and exercise interoperability with key capable partners to support potential specific contingency operations
	3. Build capability and/or capacity of key emerging partners to support potential specific contingency operations
	4. Build capability and/or capacity of partners to conduct specific targeted missions
	5. Secure access in support of U.S. posture
	6. Mitigate risks assumed in U.S. force structure for steady-state activities
Low priority <	7. Provide DoD support to other foreign policy objectives

		<i>PRIORITIZE</i>			
		<i>ASSUME RISK</i>			
	<ul style="list-style-type: none"> • Partner willingness high • Sufficient partner absorptive capacity • High partner political stability • High partner respect for rule of law and human rights 	<ul style="list-style-type: none"> • Partner willingness high to medium • Some challenges in at least one of the following: <ul style="list-style-type: none"> – partner absorptive capacity – partner political stability – partner respect for rule of law and human rights 	<ul style="list-style-type: none"> • Partner willingness medium to low • Some challenges in more than one of the following: <ul style="list-style-type: none"> – partner absorptive capacity – partner political stability – partner respect for rule of law and human rights 	<ul style="list-style-type: none"> • Partner willingness low • Significant challenges in at least one of the following: <ul style="list-style-type: none"> – partner absorptive capacity – partner political stability – partner respect for rule of law and human rights 	
		LIKELIHOOD OF SUCCESS			
		More Likely <-----> Less Likely			