Defense Technology Security Administration

2007-2008 Strategic Plan

DTSA STRATEGIC PLAN 2007-2008

This document is unclassified in its entirety.
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MESSAGE FROM THE DIRECTOR

I am pleased to present the FY 2007-2008 Defense Technology Security Administration (DTSA) Strategic Plan. This plan sets a clear direction for what we are trying to achieve as an organization, and articulates our contribution to the technology security program of the Department of Defense (DoD).

DTSA's role today and into the foreseeable future is both more challenging and more critical than ever before in the history of our organization. With new threats, from rogue powers to terrorist networks, emerging around the globe, DTSA must remain vigilant in securing critical U.S. technology and preventing hostile states and non-state actors from acquiring weapons of mass destruction (WMD). Additionally, DTSA must ensure that its technology protection activities continue to support DoD efforts to maintain a strong technologically superior defense industrial base.

DTSA stands at the crossroads of these two vital endeavors. Our mission involves two inherent tensions: maintaining the U.S. military technological advantage while supporting interoperable coalition forces, and protecting critical U.S. technology while assuring the health of the U.S. defense industrial base. In this era of uncertainty and surprise, these two tensions will continue to intensify and require us to remain at the forefront of technological advancements and to build partnership capacity to meet the challenges of the ever-changing global security environment.

This Strategic Plan provides the foundation for our future. Not only does it reinforce the importance of activities we currently perform, it also challenges us to embrace our role as technology security experts. It is critical that we continue to build on our expertise, improve our internal processes, foster and improve relationships with our partners, and remain focused on our mission and its growing relevance and importance.

DTSA directors will develop implementation plans and metrics to measure success and give employees a clear understanding of their role in achieving the objectives outlined in this plan. Our future success rests in the hands of each DTSA team member. It is your individual contribution that will advance our collective ability to protect the U.S. warfighter on the battlefield.

PREFACE

The DTSA Strategic Plan – Fiscal Years 2007-2008 outlines the goals and objectives DTSA will achieve to execute its mission and protect U.S. national security interests. The goals and objectives set forth in this plan are devised to ensure DTSA continues to enhance DoD capabilities to accomplish national military and defense objectives.

The DTSA Strategic Plan is grounded in the authority provided through DoD Directive 5105.72, July 28, 2005. Further, the Strategic Plan purposefully links to the Department of Defense's Quadrennial Defense Review, February 6, 2006 and the President's National Security Strategy, March 2006, and more tangentially to the Department of Defense's National Defense Strategy, March 2005 and National Military Strategy, 2004.
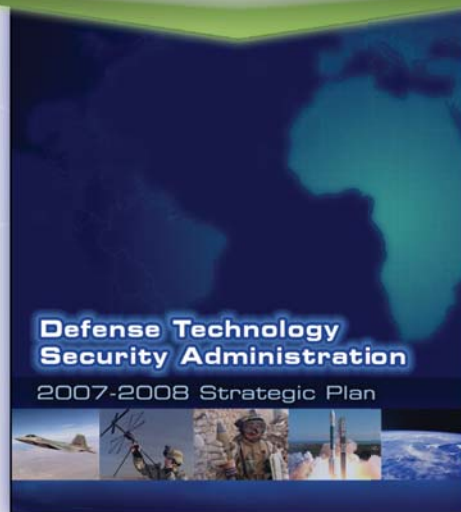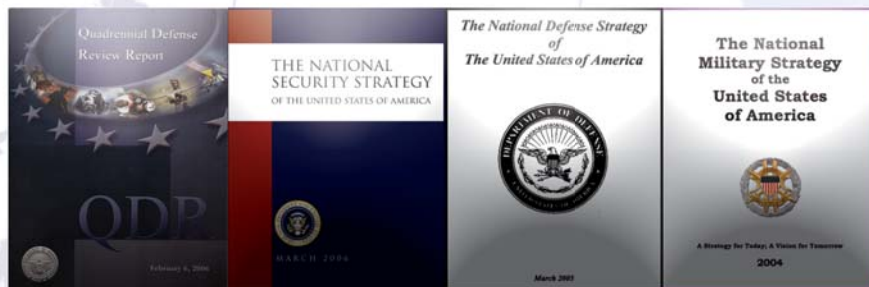
Mission
Vision
Core Competencies
Core Values

Technology
Security
Experts

Mission

To promote United States national security interests by protecting critical technology while building partnership capacity

Vision

Technology security experts shaping the global security environment

Core Competencies

- Comparative Technology and Weapons Analysis
- Technology Transfer, Export Control, and Foreign Disclosure
- Proliferation and Diversion Risk Assessments
- Interagency Liaison
- Security Cooperation

Core Values

- Integrity
- Service
- Accountability
- Teamwork

Mission
To promote United States national security interests by protecting critical technology while building partnership capacity

DTSA's mission statement embraces its prominent role within the Department of Defense (DoD) to protect against critical technology exports that threaten national security objectives and U.S. foreign policy. DTSA is the sole DoD agency that provides direction and stewardship for technology security policies and makes recommendations on the national security implications of the international transfer of dual-use and defense related technology, goods, and services.

DTSA is a DoD Field Activity under the authority, direction, and control of the Under Secretary of Defense for Policy (USD(P)) through the Assistant Secretary of Defense for Global Security Affairs (ASD(GSA)). DTSA's primary functions are to administer the DoD technology security program and develop policies and positions regarding the appropriate export control regulations and procedures necessary to protect the national security interests of the United States.

The DoD technology security program is designed to prevent the transfer of sensitive technologies that threaten U.S. military superiority to countries that pose security threats. When DoD approves legitimate transfers to allies, coalition partners, and friendly nations, DTSA technical assessments of export applications ensure the transfers are done in a manner that does not endanger U.S. interests or compromise U.S. national security.

DTSA coordinates DoD review of Department of State license applications for the export of defense-related goods and services under the International Traffic in Arms Regulations (ITAR) and Department of Commerce license applications for the export of sensitive dual-use goods and technologies under the Export Administration Regulations (EAR). DTSA's critical role in reviewing these requests for export licensure, and the conditions attached to those licenses, is instrumental in ensuring U.S. national security is not jeopardized.

> **"Supporting and enabling other agencies, working toward common objectives, and building the capacity of partners are indispensable elements of the Department's new missions."**
> Quadrennial Defense Review Report, February 2006

Vision
Technology security experts shaping the global security environment

The global security environment is constantly changing and DTSA employee's are at the forefront of technological advances and emerging threats. DTSA is committed to recruiting and sustaining a diverse workforce that possesses the expertise and international perspective necessary to shape the global security environment and make the world a safer place.

To achieve its mission and vision, DTSA has adopted five strategic goals.

1. Preserve critical U.S. military technological advantages

2. Support legitimate defense cooperation with foreign friends and allies

3. Assure the health of the U.S. defense industrial base

4. Prevent proliferation and diversion of technology that could prove detrimental to U.S. national security

5. Implement enterprise-wide resources to ensure organizational structures, processes and procedures effectively support DTSA's mission

Core Values

Integrity

Integrity is a character trait. It is a willingness to do what is right even when no one is looking. It is the 'moral compass' – the inner voice; the basis for the trust imperative in today's Department of Defense. Integrity also includes such traits as honesty, responsibility, fairness, self-respect, and humility.

Service

Inherent to government service is a mentality that puts the collective good above individual aspirations – personnel working to ensure the Department always gets the best an individual has to offer. Of course, personnel should always be concerned with their own career development; however, careerism at the expense of service is unacceptable.

Accountability

Personnel who are accountable accept responsibility for their actions - both when praise is levied or criticism dispensed. Accountable individuals recognize the 'big picture', ultimately doing what is best for the organization, the Department, and the Nation.

Teamwork

Technology security decisions are by their nature multi-faceted. Each requires a collaborative environment that carefully and completely weighs the contributions of all parties. Moreover, the nature of the process requires working with the same people on multiple issues. This is true within DTSA, DoD, and throughout the interagency. The ability to work together respectfully and professionally and communicate effectively and dispassionately are the keys to mission accomplishment.

Goals
and
Objectives

Protecting
Critical
Technology

GOALS AND OBJECTIVES OVERVIEW

The five goals and seventeen objectives described in this Strategic Plan outline how DTSA will achieve its mission critical functions to ensure U.S. national security. The goals and objectives set forth in this plan create a clear path for DTSA and its workforce to support U.S. national security objectives by protecting critical technology at home and abroad.

Goal 1
Preserve critical U.S. military technological advantages
1.1 Identify critical military technologies to quantify and qualify the transfer of dual-use and defense-related technology goods and services that would be detrimental to U.S. national security interests and foreign policy if acquired by adversaries.
1.2 Shape export control policy and guideline development to preserve the U.S. critical military technology advantage.
1.3 Conduct thorough, consistent, and expeditious reviews of international technology transfers, making recommendations commensurate with technology security policy and guidelines.

Goal 2
Support legitimate defense cooperation with foreign friends and allies
2.1 Foster bilateral and multilateral relationships to develop a shared view of technology security policy with international partners.
2.2 Ensure technology security policy is implemented consistently through security cooperation actions.
2.3 Support interoperability among our friends and allies while ensuring the disclosure of classified military information is consistent with technology security policies.

Goal 3
Assure the health of the U.S. defense industrial base
3.1 Analyze the national security implications of foreign investment in the U.S.-based defense industry.
3.2 Facilitate U.S. industry competitiveness in the international marketplace while ensuring its ability to meet DoD needs.
3.3 Ensure technology security is considered in international acquisition programs.

Goal 4
Prevent the proliferation and diversion of technology that could prove detrimental to U.S. national security
4.1 Identify proliferation and diversion destinations of concern, organizations with a history of diversion, and end users with associations of concern.
4.2 Shape export control policy and guideline development to prevent the proliferation and diversion of technology.
4.3 Conduct thorough, consistent, and expeditious reviews of international technology transfer requests to prevent the proliferation and diversion of technology.

Goal 5
Implement enterprise-wide resources to ensure organizational structures, processes and procedures effectively support DTSA's mission
5.1 Utilize customer-focused tools to optimize organizational operations.
5.2 Implement a human capital strategy to recruit, shape, and sustain DTSA's total force.
5.3 Maintain effective and efficient internal management controls.
5.4 Manage a compliant security program that enables the mission and sustains operations.
5.5 Provide proper fiscal management that produces strategy-driven outcomes.

Goal 1
Preserve critical U.S. military technological advantages

Defense-related technology is a valuable and limited national security resource that must be controlled as part of the U.S. military and defense strategy. The U.S. developed export controls to protect against the transfer of sensitive technology to potential adversaries. DTSA ensures items and technologies that are important to U.S. national security interests are adequately controlled by reviewing export control lists and regulations and assisting U.S. government efforts to enforce export controls through safeguards. DTSA's primary duty within the technology security framework is to preserve critical U.S. military technological advantages and prevent the loss of highly sensitive technology that would contribute to the military strength of countries that threaten U.S. national security.

Objective 1.1
Identify critical military technologies to quantify and qualify the transfer of dual-use and defense-related technology goods and services that would be detrimental to U.S. national security interests and foreign policy if acquired by adversaries.

Objective 1.2
Shape export control policy and guideline development to preserve the U.S. critical military technology advantage.

Objective 1.3
Conduct thorough, consistent, and expeditious reviews of international technology transfer, making recommendations commensurate with technology security policy and guidelines.

> **"To follow this path, we must maintain and expand our national strength so we can deal with threats and challenges before they can damage our people or our interests. We must maintain a military without peer – yet our strength is not founded on force of arms alone."**
> The National Security Strategy,
> President George W. Bush, March 2006

Goal 2
Support legitimate defense cooperation with foreign friends and allies

The U.S. must engage in bilateral partnerships and multilateral regimes with allies and international partners to meet the challenges of today's dynamic global security environment. This requires building capabilities with allies, coalition partners, and friendly nations that contribute to interoperability and support the U.S. global military posture. DTSA will continue to adapt to changing technology security regulations and procedures, and support legitimate transfers of defense technology and disclosure of critical military information that enhances security cooperation.

Objective 2.1
Foster bilateral and multilateral relationships to develop a shared view of technology security policy with international partners.

Objective 2.2
Ensure technology security policy is implemented consistently through security cooperation actions.

Objective 2.3
Support interoperability among our friends and allies while ensuring the disclosure of classified military information is consistent with technology security policies.

> **"Strengthening regional alliances and coalitions helps to create favorable regional balances of power that help bring pressure to bear on hostile or uncooperative regimes."**
> National Military Strategy of the United States of America, 2004

Goal 3
Assure the health of the U.S. defense industrial base

U.S. national security depends on a strong U.S. defense industrial base that can easily mobilize to support military capabilities and deter potential adversaries. The U.S. must maintain a technologically superior and highly competitive defense industrial base to thwart increased global competition. Foreign direct investment in the U.S. poses potential threats to the U.S. defense industrial base, which has the potential to undermine U.S. warfighting capabilities. As a partner in the interagency export license process, DTSA works with other DoD agencies to assure the U.S. defense industrial base is healthy and competitive. DTSA will work with U.S. industry to apply export controls that strike a balance between national security and legitimate trade and competition. While foreign investment in U.S. defense companies has helped to maintain a viable and diverse industry, the U.S. must continue to be vigilant of such transactions. DTSA will manage, coordinate, and formulate DoD's positions on all transactions to ensure that no investment in U.S. defense companies poses a threat to U.S. national security.

Objective 3.1
Analyze the national security implications of foreign investment in the U.S.-based defense industry.

Objective 3.2
Facilitate U.S. industry competitiveness in the international marketplace while ensuring it ability to meet DoD needs.

Objective 3.3
Ensure technology security is considered in international acquisition programs.

> "Sustaining America's scientific and technological advantages over any potential competitor contributes to the nation's ability to dissuade future forms of military competition."
> Quadrennial Defense Review Report, February 2006

Goal 4
Prevent the proliferation and diversion of technology that could prove detrimental to U.S. national security

DTSA's ability to support the U.S. in preventing hostile states and terrorist groups from acquiring and using WMD and defense-related technology is critical to ensuring U.S. national security. These organizations pose a threat to the U.S. if they acquire WMD through direct means of material transfer with other hostile nations or indirect means of harboring technology from WMD-armed nations, friendly to the U.S., who lack effective governance over their operations. DTSA will work with government agencies to impede WMD-related trafficking by assessing end users and reviewing export licenses with potential proliferation and diversion risks and by assisting friendly nations improve controls over existing weapons, materials, and expertise.

Objective 4.1
Identify proliferation and diversion destinations of concern, organizations with a history of diversion, and end users with associations of concern.

Objective 4.2
Shape export control policy and guideline development to prevent the proliferation and diversion of technology.

Objective 4.3
Conduct thorough, consistent, and expeditious reviews of international technology transfers to prevent the proliferation and diversion of technology.

"We will give top priority to dissuading, deterring, and defeating those who seek to harm the United States directly, especially extremist enemies with weapons of mass destruction." The National Defense Strategy of the United States of America, March 2005

Goal 5
Implement enterprise-wide resources to ensure organizational structures, processes and procedures effectively support DTSA's mission

DTSA's success depends on the skills of its career civilians and military team members who represent a cadre of diverse and experienced subject-matter experts in the areas of science, technology, engineering, and manufacturing, as well as in regional, functional, and regulatory specializations. DTSA believes that each member of its workforce must remain competitive and prepared for future challenges. The organization will work toward this state through recruitment, development, and retention of the best personnel. DTSA implements the Office of Personnel Management's Human Capital Strategy Framework to ensure that it continues to recruit, shape, and sustain its total workforce, and uses appropriate competitive sourcing to provide efficient and cost-effective services. DTSA recognizes that effective management of its human capital, financial, administrative, and information technology support functions are critical to achieve its strategic goals.

Objective 5.1
Utilize customer-focused tools to optimize organizational operations.

Objective 5.2
Implement a human capital strategy to recruit, shape, and sustain DTSA's total force.

Objective 5.3
Maintain effective and efficient internal management controls.

Objective 5.4
Manage a compliant security program that enables the mission and sustains operations.

Objective 5.5
Provide proper fiscal management that produces strategy-driven outcomes.

> **"Agencies will build, sustain, and effectively deploy the skilled, knowledgeable, diverse, and high-performing workforce needed to meet the current and emerging needs of government and its citizens."**
> The President's Management Agenda, 2002

Directorate
Implementation Plans

Protect
the U.S.
Warfighter

Licensing Directorate

Directorate Overview

The Licensing Directorate (LD) is the DoD entry and exit point for all actions related to the USG's direct commercial sales licensing of export controlled goods and technology. LD is the DTSA Director's principle source of advice on licensing and regulatory issues pertaining to international transfers of defense-related commodities and technologies. LD's critical role in executing DTSA's Mission is identifying the national security concerns related to exports; developing and adjudicating DoD positions that effectively address these concerns; and assuring exports of military technology, defense articles, and/or dual-use commodities are commensurate with partnership needs.

Mission

Expeditiously coordinate, develop and adjudicate the DoD position on licenses, regulations and other actions received from the licensing departments for review. Ensure recommendations fully address DoD technology security policies, support and protect the warfighter, and prevent the diversion and proliferation to programs or entities of national security concern.

Vision

To be the penultimate source of national security concerns for USG export licensing

Responsibilities

- Receive licenses from the Departments of Commerce and State
- Review licenses on receipt to identify those which raise national security concerns
- Staff and suspense licenses of technology security concern to other DoD agencies and components cognizant of the national security issues involved
- Develop, adjudicate and release to the licensing department the DoD recommendation
- Defend the DoD recommendation in interagency fora
- Receive, review and develop the DoD position on USG export regulations and commodity jurisdiction/commodity classification questions
- Conduct outreach with international partners, industry and other governmental agencies on DTSA's role in the licensing process
- Support law enforcement and other compliance/enforcement activities

Core Competencies

- Decisiveness, integrity and objectivity
- Expertise in case management, coordination, teamwork, and adjudication
- Experience with evaluating technology transfers, international relations, inter-agency processes, regulatory/statutory compliance, and classified data handling, operational technology
- Ability to assess diversion risk, validate partner/coalition requirements, determine links between exports and intelligence reporting, identify and articulate technology security concerns regarding foreign entities, and develop solutions that address concerns identified

Licensing Directorate

Performance Goals and Metrics

Performance Goal 1
Conduct thorough and consistent license reviews.

Supports
DTSA Strategic Goals 1, 2, 3, and 4

Metric(s)
1. >95% of the assigned licenses are reviewed commensurate with U.S. national security interests and technology security policies.

2. >95% of the license reviews are completed (accurate, complete, relevant, thorough and logical) according to the goals and guidelines published in the appropriate LD SOPs.

3. >95% of the provisos recommended are consistent, understandable, and correctly applied.

4. >95% of the recommended positions are defensible, reflect sound professional judgment and consistent with DTSA's mission statement.

Performance Goal 2
Expeditiously review export license applications.

Supports
DTSA Strategic Goals 1 and 3

Metric(s)
1. >90% of export applications assigned for DoD review are prescreened by a multi-disciplinary tiger team on receipt.

2. Applications which require review by request of first tier staffing points are referred for staffing >95% of the time.

3. >80% of license applications are returned without action within 10 days of receipt with applicant actionable justifications.

4. >90% of the applicable cases are offered a day in court for denials.

5. Application reviews are completed within the assigned suspense >90% of the time.

Licensing Directorate

Performance Goals and Metrics

Performance Goal 3
Advocate/defend DoD technology security positions at meetings with other U.S. Government agencies, industry officials, Congress, international fora, or other meetings as required.

Supports
DTSA Strategic Goals 1, 2, 3, and 4

Metric(s)
1. Recommended positions on commodity jurisdictions were ultimately sustained in final determination 75% of the time.

2. DoD recommendations on export regulation changes fully address technology security concerns and are incorporated 75% of the time.

3. >95% of the original work is consistent, well researched, thoroughly analyzed, and executed to ensure issues are appropriately framed for the audience.

4. >95% of the meeting preparation and participation materials were completed within the assigned suspense.

5. >95% of the after action meeting reports and memoranda were completed IAW the relevant DoD guidelines.

Performance Goal 4
Ensure organizational structures, processes and procedures effectively support the DTSA mission.

Supports
DTSA Strategic Goal 5

Metric(s)
1. 95% of license applications were accurately updated with electronic technical specifications and/or support information from D-TRADE, ECASS, STELLA, SNAP-R, or other electronic source.

2. Annually review 50% of LD standard operating procedures and update/eliminate policies found to be outdated and/or no longer applicable within 90 days of review completion.

3. Test management control assessable units quarterly; maintain 50% record of training; and take action to correct 50% of the deficiencies noted within 3 months.

4. 80% of assigned personnel accomplished mandatory training requirements within established suspense date and 100% accomplished mandatory training within 4 weeks after the assigned suspense.

Management Directorate

Directorate Overview
DTSA's success depends on the skills of its career civilians, military members, and contractors who represent a cadre of diverse and experienced subject-matter experts. MD recognizes that effective management of financial, security, administrative, human capital, and information technology support functions are critical to achieve Directorate and DTSA strategic goals. MD will work toward these goals through development and retention of the best personnel and implementation of best business practices, using a customer-focused approach.

Mission
Professionals shaping enterprise-wide business practices while enhancing DTSA's Mission

Vision
Enabling DTSA's Global Mission

Responsibilities
- Manages Human Capital
- Plans, Programs, Budgets, and Executes Financial Management
- Implements DTSA Security Programs
- Manages Information Technology
- Provides administrative support (logistics, facilities, protocol, contracts, vehicles)
- Educates internal customers
- Establishes enterprise-wide policies and procedures
- Provides professional, courteous service
- Provides accurate and timely advice and counsel

Core Competencies
- Knowledgeable, functional area experts
- Analytic capabilities
- Customer service focus
- Collaborative workforce
- Interpersonal skills

DIRECTORATE IMPLEMENTATION PLANS

Management Directorate

Performance Goals and Metrics

Performance Goal 1
Utilize customer-focused tools to optimize organizational operations.

Supports
DTSA Strategic Goal 5

Metric(s)
1. Provide DTSA personnel 99% access and availability to required systems and networks.

2. Provide DTSA personnel 98% vehicle fleet operational status.

Performance Goal 2
Implement a human capital strategy to recruit, shape, and sustain DTSA's total force.

Supports
DTSA Strategic Goal 5

Metric(s)
1. Provide a well-funded training program equivalent to no less than $1,200 per capita, per fiscal year.

2. Provide a well-funded incentive award program equivalent to no less than .375% of civilian pay, per fiscal year.

3. Perform a biennial review of DTSA's Future Year Defense Plan (FYDP) military and civilian endstrength.

4. Ensure DTSA meets NSPS timelines necessary to establish annual job performance plans, perform interim and final employee assessments, conduct pay pool deliberations, and calculate payout distribution.

Management Directorate

Performance Goals and Metrics

Performance Goal 3
Maintain effective and efficient internal management controls.

Supports
DTSA Strategic Goal 5

Metric(s)
1. Annually review, revise, and reissue existing administrative instructions, policies, and procedures, to include associated processes.
2. Perform an annual review of the Management Control Plan and each assessable unit.
3. Provide an on-time submission of the annual Statement of Assurance.

Performance Goal 4
Manage a compliant security program that enables the mission and sustains operations.

Supports
DTSA Strategic Goal 5

Metric(s)
1. Provide annual security awareness training on-time to 95% of DTSA personnel, and 100% within the year.
2. Conduct an annual Continuity of Operations (COOP) exercise.
3. Conduct semi-annual occupant evacuation drills.
4. Perform 100% annual reviews of personnel security requirements.

Performance Goal 5
Provide proper fiscal management that produces strategy-driven outcomes.

Supports
DTSA Strategic Goal 5

Metric(s)
1. Provide on-time and complete submissions of planning, programming, budgeting, and execution documents and reports.
2. Achieve a need-based end of year obligation rate of 98.5%.
3. Achieve an actual execution rate within 15% of our annual forecasted spending profile.

Policy Directorate

Directorate Overview

The Policy Directorate consists of five divisions that focus on regional issues, negotiations and liaison, capabilities and systems, foreign disclosure, and intelligence assessment. Directorate personnel are tasked to support DTSA processes by bringing knowledge of U.S. Government (USG) policy in their assigned areas to all DTSA activities. They also lead in developing DoD and USG technology security policies for assigned areas. These activities support DTSA's mission by ensuring technology security concerns are integrated into broader policy decisions; and ensuring technology security policy reflects broader national security policies and decisions.

Policy's main focus over the next two years will be on developing processes to fully integrate the division's new organization and capabilities into DTSA's structure and processes.

Mission

Lead DoD efforts in developing technology security policy and its integration into the broader mosaic of national security policy. Convey interagency technology security arguments to the policy community and policy considerations to DTSA technical staffs.

Vision

The acknowledged home of expertise in technology security policy development and interpretation for all DoD and the interagency. DTSA Technology Directorate and Licensing Directorate personnel are aware of and understand policy and end-user considerations relating to their work or know where to get needed information. All foreign disclosure and export licensing actions fully utilize available policy guidance.

Responsibilities

- Provide End User Assessments for export licenses
- Provide policy inputs to export licenses for assigned areas of responsibility
- Represent DoD at interagency and international technology security forums
- Manage Committee on Foreign Investment in the United States (CFIUS) activities for DoD
- Lead development of technology security policy for DoD and U.S. Government
- Manage the National Disclosure Policy Committee

Core Competencies

- Technology Security Policies and Processes
- Intelligence Assessment
- Foreign Disclosure
- Industrial Security

Policy Directorate

Performance Goals and Metrics

Performance Goal 1
Ensure comprehensive and up-to-date technology security and export control policies are developed to protect technologies critical to the U.S. military.

Supports
DTSA Strategic Goals 1 and 4

Metric(s)
1. Initiate/develop/maintain relationships with relevant OSD and Joint Staff offices. Conduct liaison activities at least monthly, or as-needed.

2. Ensure that relevant OSD, Joint Staff, and other DoD offices coordinate on export control policies and actions impacting them, or within their competence.

3. Initiate/develop/maintain relationships with relevant offices in the Departments of State, Energy, and Commerce to ensure that technology security policy is consistent with broader national security interests. Liaise monthly, or as needed.

4. Conduct "rolling review" of existing policies to ensure they are up-to-date and conduct aggressive analytical program to identify new technologies or concerns.

Performance Goal 2
Safeguard DoD technology security policy interests in strengthening existing international forums and advocate, when necessary, the development of new regimes.

Supports
DTSA Strategic Goals 1, 2, and 4

Metric(s)
1. In cooperation with TD and LD, the Military Departments, the Joint Staff, and other DoD entities, develop annual operational plans and priorities for DoD participation in international security arrangements. Update plans and priorities quarterly, or as needed.

2. Ensure that DoD equities are addressed in USG guidance to delegations negotiating or discussing technology security or export control issues. Meet all DoD, USG, and agreement-required timelines.

3. Ensure that background materials, talking points or other products are provided to DoD representatives to international forums. Ensure technology security concerns are accommodated in all DoD bilateral and multi-lateral cooperative agreements.

4. Initiate/develop/maintain relationships with foreign governments to support a common approach to implementation of technology security policy.

Policy Directorate

Performance Goals and Metrics

Performance Goal 3
Provide informed recommendations for assigned munitions and dual-use export licenses within established timeframes.

Supports
DTSA Strategic Goals 1, 2, 3, and 4

Metric(s)

1. Conduct risk analysis of 100% of end users and identified intermediate consignees for all licenses referred and ensure that all positions are properly recorded and available for OSD Policy decision makers.

2. 90% of all end user research and analysis will be completed and exceed the PDA's quality guidelines by Day 10 of DTSA's receipt of the license application. 100% will be completed by Day 15.

3. 90% of license reviews conducted by PD that ensure compliance with US regional policy for the ultimate end user are completed within assigned suspense.

4. 90% of license reviews conducted by PD that ensure compliance with US release policy for the item or items in similar systems or of similar capabilities are completed within assigned suspense.

5. Ensure that licensing positions comport with DoD and U.S. Government policies and positions in bilateral and multilateral regimes.

Policy Directorate

Performance Goals and Metrics

Performance Goal 4
Provide decision makers timely processing, reviews and recommendations regarding Committee on Foreign Investment in the United States (CFIUS) filings and issues.

Supports
DTSA Strategic Goals 1, 2, 3, and 4

Metric(s)
1. Ensure that all CFIUS filings and issues have been referred to appropriate DoD Components for review and have provided their responses by Day 21 of filing date.

2. Ensure all CFIUS cases have been prepared by Day 25 of the filing date for Under Secretary of Defense for Policy (USD(P)) or Deputy Secretary of Defense (DSD) decisions, as appropriate, and that their decisions have been forwarded to the Treasury Office of Foreign Investment by Day 30.

3. For cases that were settled with mitigation agreements, ensure that all DoD elements responsible for monitoring and enforcement have been identified and are in compliance with monitoring responsibilities. Establish reporting requirements to monitor compliance. Develop an annual compliance report.

Performance Goal 5
Establish effective internal management control plan to ensure compliance with laws, regulations and guidance.

Supports
DTSA Strategic Goal 5

Metric(s)
1. During 3rd Quarter, FY 07, establish appropriate assessable units and conduct risk assessments.

2. At least quarterly, review and update internal management control plans in accordance with their established review intervals. Conduct risk assessments as necessary.

3. Conduct internal review of effectiveness of internal controls and correct all identified deficiencies within 30 days of identification.

DIRECTORATE IMPLEMENTATION PLANS

Space Directorate

Directorate Overview

The purpose of the Space Directorate (SD) and goal of the monitors is to preserve critical U.S. military technological advantages and prevent the proliferation and diversion of technology that could prove detrimental to U.S. national security. In providing monitoring services to Industry's requests submitted in accordance with their State-approved export authorizations, SD is facilitating U.S. industry competitiveness in the international marketplace. The focus of SD over the next two years is to recruit and maintain a workforce commensurate with the demands of Industry while ensuring Industry is provided with a readily accessible and straightforward means of requesting monitoring services.

Mission

Provide monitoring services in accordance with Public Law 105-261. In any case in which an approval is granted by DoS with respect to the export of satellites or related defense articles, monitoring services shall be provided in accordance with the approved export authorization with the purpose of ensuring no unauthorized transfer of technology occurs, including technical assistance and technical data. Accurate and timely reporting of monitoring activities and notifying the appropriate audience of any export violations, issues, or concerns.

Vision

Support the U.S. industrial base through efficient and timely monitoring services

Responsibilities

- Provide monitoring services IAW legislation (PL 105-261, Title XV, Subtitle B, Sections 1511-1514 and PL 106-65)
- Assure adequate resources are available to support monitoring services

Core Competencies

- Space-related technical expertise
- Export authorization and monitoring expertise
- Spacelink (accessible web-based interface to industry) proficiency

Space Directorate

Performance Goals and Metrics

Performance Goal 1
Ensure accurate and timely reporting of monitoring activities and document any export violations, issues, or concerns.

Supports
DTSA Strategic Goal 1

Metric(s)
1. Notify the Director, DTSA within one business day of substantiating an export violation no less than 90% of the time.

Performance Goal 2
Ensure the monitor(s) who are scheduled to travel in support of Industry's request for services are fully prepared and authorized to travel.

Supports
DTSA Strategic Goal 3

Metric(s)
1. Formally respond to a monitoring services request with a disposition (positive or negative) within one business day, at least 90% of the time.

Performance Goal 3
Ensure U.S. exporters are implementing their export control processes and procedures in accordance with approved Technology Transfer Control Plans (TTCPs) and associated plans.

Supports
DTSA Strategic Goal 4

Metric(s)
1. Ensure monitors are present to actively support no less than 85% of all requests for technical interchanges (defense services) formally submitted (through Spacelink) in accordance with the conditions of the export authorization.
2. Review and disposition 100% of all technical data for export submitted through the Spacelink system in accordance with the conditions of the export authorization.

Space Directorate

Performance Goals and Metrics

Performance Goal 4

Approve TTCPs and associated plans developed by the U.S. exporter and review technical data prior to export to ensure they are within the scope of the DoS-approved export authorization.

Supports

DTSA Strategic Goal 4

Metric(s)

1. Adherence to TTCP Development Guidelines (current version).

2. SD Management's review and disposition of specific Document Types in Spacelink: License, NTE 1 business day; draft TTCP, NTE 5 business days; final TTCP, NTE 3 business days.

3. SD Management's sampling of monitor's technical data review in Spacelink to ensure official dispositions adequately and appropriately reflect approved scope and limitations/conditions of the subject export authorization.

Performance Goal 5

Maintain effective and efficient internal management controls.

Supports

DTSA Strategic Goal 5

Metric(s)

1. Annually review 100% of all SD instructions for accuracy and applicability to the current environment and state of affairs of the directorate.

2. Ensure written into each SD instruction is a running history of the annual reviews and its revisions, to include the nature and purpose of the revisions.

Technology Directorate

Directorate Overview

The Technology Directorate (TD) is the DTSA Director's principle source of advice on technical matters pertaining to international transfers of defense-related commodities and technologies. TD's critical role in executing DTSA's Mission is defining the point at which technology becomes critical from a national security perspective, and assuring that international transfers of military technology, defense articles, and/or dual-use commodities are commensurate with partnership needs. As TD moves forward our focus will continue to be on excellence in engineering and scientific knowledge, integrity and objectivity.

Mission

Provide relevant engineering and scientific knowledge and defense-related technical expertise to the evaluation of international technology transfers and the shaping of technology security policy.

Vision

An unequaled source of unbiased knowledge regarding critical military technologies, defense article capabilities, and the balance between military and civil applications of dual-use commodities.

Responsibilities

- Technical evaluations of international technology transfers including export license applications, exception to national disclosure policy requests, and Committee on Foreign Investment in the U.S. filings

- Technical support for the development and implementation of Department of Defense directives, instructions, policies, and guidelines

- Technical support for the development, implementation, and review of export control related federal regulation language

- Technical support for Department of Defense, interagency and international technology security related working groups, boards, advisory committees, and experts meetings

Core Competencies

- Engineering and scientific knowledge, integrity and objectivity

- Expertise in critical military technologies, defense article capabilities, and military vs. civil applications of dual-use commodities

- Experience with evaluating international technology transfers, shaping technology security policy, and negotiating multi-lateral export controls

- Ability to assess the foreign availability of comparable technology, identify links between controlled technology and intelligence reporting, identify and articulate technology concerns regarding foreign entities, and access an established network of technical consultants

Technology Directorate

Performance Goals and Metrics

Performance Goal 1
Evaluate international technology transfers commensurate with U.S. national security interests and Department of Defense technology security policies.

Supports
DTSA Strategic Goals 1, 2, 3, and 4

Metric(s)
1. >95% of the technical evaluations exceed the quality guidelines for completeness, technical proficiency, critical thinking, and communication.

2. >95% of the technical evaluations are completed within the assigned suspense.

3. >95% of the technical recommendations have a specific rationale.

4. >95% of provisos and limitations have a specific justification.

Performance Goal 2
Incorporate approved DTSA technology security policy decisions into Department of Defense, interagency, U.S. Government, and international technology security policies.

Supports
DTSA Strategic Goals 1, 2, 3, and 4

Metric(s)
1. >95% of the incorporated technology security policy decisions exceed the quality guidelines for completeness, technical proficiency, and cooperation and teamwork.

2. >95% of the incorporated technology security policy decisions are completed within the assigned suspense.

Technology Directorate

Performance Goals and Metrics

Performance Goal 3
Advocate approved DTSA technology security policy decisions at Department of Defense, interagency, defense industry, and international fora.

Supports
DTSA Strategic Goals 1, 2, 3, and 4

Metric(s)
1. >95% of the advocated technology security policy decisions exceed the quality guidelines for completeness, cooperation and teamwork, and communication.

2. >95% of the advocated technology security policy decisions are completed within the assigned suspense.

Performance Goal 4
Ensure organizational procedures and practices provide reasonable assurance that processes are in compliance with FMFIA requirements, and resources are effectively and efficiently maintained and executed.

Supports
DTSA Strategic Goal 5

Metric(s)
1. >85% of the TD Assessable Units are evaluated to determine effectiveness within the parameters specified by the applicable TD Internal Control Assessable Unit Plan. Deficiencies are corrected within 90 days of identification.

2. >70% of the TD Standard Operation Procedures are reviewed annually. Practices found to be outdated and/or no longer applicable are updated and/or eliminated within 90 days of identification.

3. >95% of TD personnel complete mandatory training within the assigned suspense. Conduct semi-annual evacuation drills.

4. Perform 100% annual reviews of personnel security requirements.

Line of Sight
From all levels of the organization
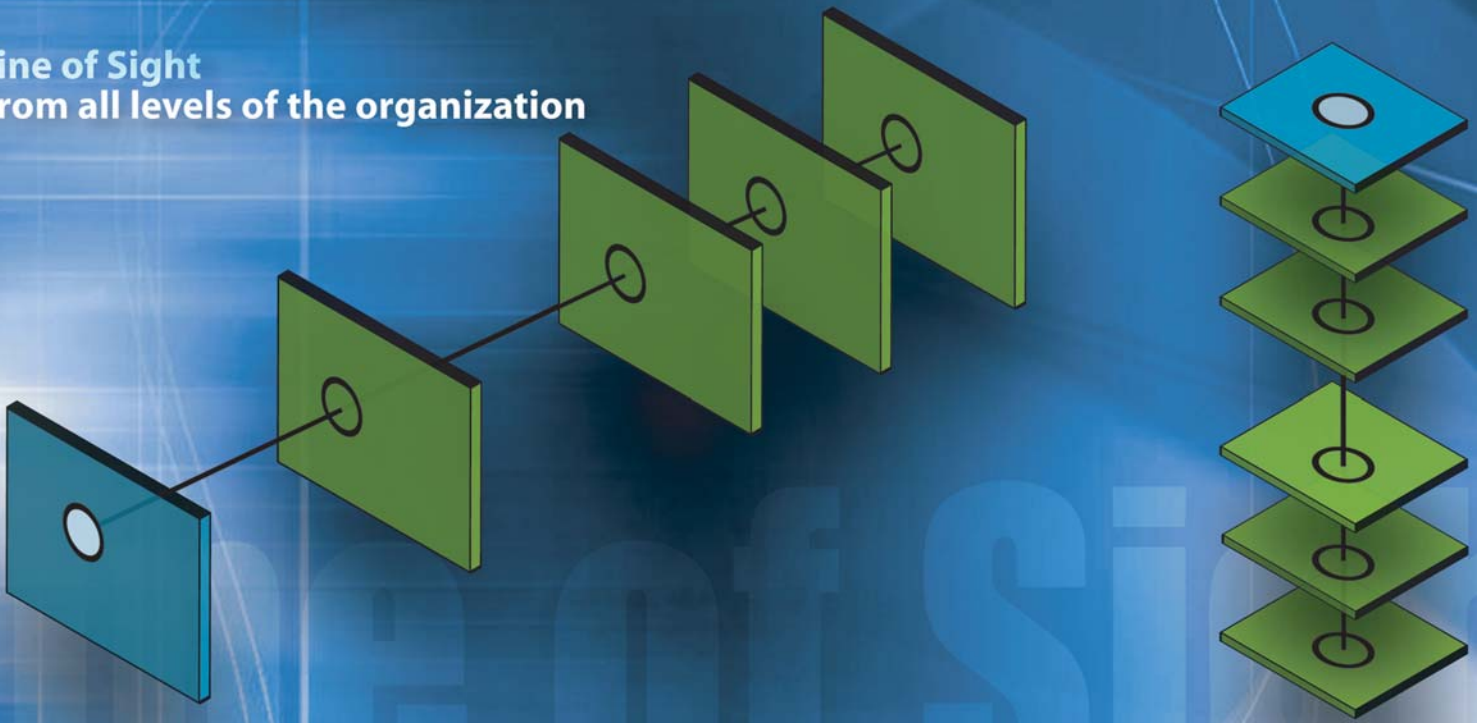
Directorate
Metrics Matrix

Creating
a line of
Sight

DIRECTORATE METRICS MATRIX

Metrics Matrix

Licensing Directorate

	Strategic Goal 1	Strategic Goal 2	Strategic Goal 3	Strategic Goal 4	Strategic Goal 5
>95% of the assigned licenses are reviewed commensurate with U.S. national security interests and technology security policies.	X	X	X	X	
>95% of the license reviews are completed (accurate, complete, relevant, thorough and logical) according to the goals and guidelines published in the appropriate LD SOPs.	X	X	X	X	
>95% of the provisos recommended are consistent, understandable, and correctly applied.	X	X	X	X	
>95% of the recommended positions are defensible, reflect sound professional judgment and consistent with DTSA's mission statement.	X	X	X	X	
>90% of export applications assigned for DoD review are prescreened by a multi-disciplinary tiger team on receipt.	X		X		
Applications which require review by request of first tier staffing points are referred for staffing >95% of the time.	X		X		
>80% of license applications are returned without action within 10 days of receipt with applicant actionable justifications.	X		X		
>90% of the applicable cases are offered a day in court for denials.	X		X		
Application reviews are completed within the assigned suspense >90% of the time.	X		X		
Recommended positions on commodity jurisdictions were ultimately sustained in final determination 75% of the time.	X	X	X	X	
DoD recommendations on export regulation changes fully address technology security concerns and are incorporated 75% of the time.	X	X	X	X	
>95% of the original work is consistent, well researched, thoroughly analyzed, and executed to ensure issues are appropriately framed for the audience.	X	X	X	X	
>95% of the meeting preparation and participation materials were completed within the assigned suspense.	X	X	X	X	
>95% of the after action meeting reports and memoranda were completed IAW the relevant DoD guidelines.	X	X	X	X	
95% of license applications were accurately updated with electronic technical specifications and/or support information from D-TRADE, ECASS, STELLA, SNAP-R, or other electronic source.					X
Annually review 50% of LD standard operating procedures and update/eliminate policies found to be outdated and/or no longer applicable within 90 days of review completion.					X

Metrics Matrix

Licensing Directorate

	Strategic Goal 1	Strategic Goal 2	Strategic Goal 3	Strategic Goal 4	Strategic Goal 5
Test management control assessable units quarterly; maintain 50% record of training; and take action to correct 50% of the deficiencies noted within 3 months.					X
80% of assigned personnel accomplished mandatory training requirements within established suspense date and 100% accomplished mandatory training within 4 weeks after the assigned suspense.					X

Management Directorate

	Strategic Goal 1	Strategic Goal 2	Strategic Goal 3	Strategic Goal 4	Strategic Goal 5
Provide DTSA personnel 99% access and availability to required systems and networks.					X
Provide DTSA personnel 98% vehicle fleet operational status.					X
Provide a well-funded training program equivalent to no less than $1,200 per capita, per fiscal year.					X
Provide a well-funded incentive award program equivalent to no less than .375% of civilian pay, per fiscal year.					X
Perform a biennial review of DTSA's Future Year Defense Plan (FYDP) military and civilian endstrength.					X
Ensure DTSA meets NSPS timelines necessary to establish annual job performance plans, perform interim and final employee assessments, conduct pay pool deliberations, and calculate payout distribution.					X
Annually review, revise, and reissue existing administrative instructions, policies, and procedures, to include associated processes.					X
Perform an annual review of the Management Control Plan and each assessable unit.					X
Provide an on-time submission of the annual Statement of Assurance.					X
Provide annual security awareness training on-time to 95% of DTSA personnel, and 100% within the year.					X
Conduct an annual Continuity of Operations (COOP) exercise.					X
Conduct semi-annual occupant evacuation drills.					X
Perform 100% annual reviews of personnel security requirements.					X

Metrics Matrix

	Strategic Goal 1	Strategic Goal 2	Strategic Goal 3	Strategic Goal 4	Strategic Goal 5
Management Directorate					
Provide on-time and complete submissions of planning, programming, budgeting, and execution documents and reports.					X
Achieve a need-based end of year obligation rate of 98.5%.					X
Achieve an actual execution rate within 15% of our annual forecasted spending profile.					X
Policy Directorate					
Initiate/develop/maintain relationships with relevant OSD and Joint Staff offices. Conduct liaison activities at least monthly, or as-needed.	X			X	
Ensure that relevant OSD, Joint Staff, and other DoD offices coordinate on export control policies and actions impacting them, or within their competence.	X			X	
Initiate/develop/maintain relationships with relevant offices in the Departments of State, Energy, and Commerce to ensure that technology security policy is consistent with broader national security interests. Liaise monthly, or as needed.	X			X	
Conduct "rolling review" of existing policies to ensure they are up-to-date and conduct aggressive analytical program to identify new technologies or concerns.	X			X	
In cooperation with TD and LD, the Military Departments, the Joint Staff, and other DoD entities, develop annual operational plans and priorities for DoD participation in international security arrangements. Update plans and priorities quarterly, or as needed.	X	X		X	
Ensure that DoD equities are addressed in USG guidance to delegations negotiating or discussing technology security or export control issues. Meet all DoD, USG, and agreement-required timelines.	X	X		X	
Ensure that background materials, talking points or other products are provided to DoD representatives to international forums. Ensure technology security concerns are accommodated in all DoD bilateral and multi-lateral cooperative agreements.	X	X		X	
Initiate/develop/maintain relationships with foreign governments to support a common approach to implementation of technology security policy.	X	X		X	

Metrics Matrix

Policy Directorate

	Strategic Goal 1	Strategic Goal 2	Strategic Goal 3	Strategic Goal 4	Strategic Goal 5
Conduct risk analysis of 100% of end users and identified intermediate consignees for all licenses referred and ensure that all positions are properly recorded and available for OSD Policy decision makers.	X	X	X	X	
90% of all end user research and analysis will be completed and exceed the PDA's quality guidelines by Day 10 of DTSA's receipt of the license application. 100% will be completed by Day 15.	X	X	X	X	
90% of license reviews conducted by PD that ensure compliance with US regional policy for the ultimate end user are completed within assigned suspense.	X	X	X	X	
90% of license reviews conducted by PD that ensure compliance with US release policy for the item or items in similar systems or of similar capabilities are completed within assigned suspense.	X	X	X	X	
Ensure that licensing positions comport with DoD and U.S. Government policies and positions in bilateral and multilateral regimes.	X	X	X	X	
Ensure that all CFIUS filings and issues have been referred to appropriate DoD Components for review and have provided their responses by Day 21 of filing date.	X	X	X	X	
Ensure all CFIUS cases have been prepared by Day 25 of the filing date for Under Secretary of Defense for Policy (USD(P)) or Deputy Secretary of Defense (DSD) decisions, as appropriate, and that their decisions have been forwarded to the Treasury Office of Foreign Investment by Day 30.	X	X	X	X	
For cases that were settled with mitigation agreements, ensure that all DoD elements responsible for monitoring and enforcement have been identified and are in compliance with monitoring responsibilities. Establish reporting requirements to monitor compliance. Develop an annual compliance report.	X	X	X	X	
During 3rd Quarter, FY 07, establish appropriate assessable units and conduct risk assessments.					X
At least quarterly, review and update internal management control plans in accordance with their established review intervals. Conduct risk assessments as necessary.					X
Conduct internal review of effectiveness of internal controls and correct all identified deficiencies within 30 days of identification.					X

Metrics Matrix

Space Directorate

	Strategic Goal 1	Strategic Goal 2	Strategic Goal 3	Strategic Goal 4	Strategic Goal 5
Notify the Director, DTSA within one business day of substantiating an export violation no less than 90% of the time.	X				
Formally respond to a monitoring services request with a disposition (positive or negative) within one business day, at least 90% of the time.			X		
Ensure monitors are present to actively support no less than 85% of all requests for technical interchanges (defense services) formally submitted (through Spacelink) in accordance with the conditions of the export authorization.				X	
Review and disposition 100% of all technical data for export submitted through the Spacelink system in accordance with the conditions of the export authorization.				X	
Adherence to TTCP Development Guidelines (current version).				X	
SD Management's review and disposition of specific Document Types in Spacelink: License, NTE 1 business day; draft TTCP, NTE 5 business days; final TTCP, NTE 3 business days.				X	
SD Management's sampling of monitor's technical data review in Spacelink to ensure official dispositions adequately and appropriately reflect approved scope and limitations/conditions of the subject export authorization				X	
Annually review 100% of all SD instructions for accuracy and applicability to the current environment and state of affairs of the directorate.					X
Ensure written into each SD instruction is a running history of the annual reviews and its revisions, to include the nature and purpose of the revisions.					X

Metrics Matrix

Technology Directorate

	Strategic Goal 1	Strategic Goal 2	Strategic Goal 3	Strategic Goal 4	Strategic Goal 5
>95% of the technical evaluations exceed the quality guidelines for completeness, technical proficiency, critical thinking, and communication.	X	X	X	X	
>95% of the technical evaluations are completed within the assigned suspense.	X	X	X	X	
>95% of the technical recommendations have a specific rationale.	X	X	X	X	
>95% of provisos and limitations have a specific justification.	X	X	X	X	
>95% of the incorporated technology security policy decisions exceed the quality guidelines for completeness, technical proficiency, and cooperation and teamwork.	X	X	X	X	
>95% of the incorporated technology security policy decisions are completed within the assigned suspense.	X	X	X	X	
>95% of the advocated technology security policy decisions exceed the quality guidelines for completeness, cooperation and teamwork, and communication.	X	X	X	X	
>95% of the advocated technology security policy decisions are completed within the assigned suspense.	X	X	X	X	
>85% of the TD Assessable Units are evaluated to determine effectiveness within the parameters specified by the applicable TD Internal Control Assessable Unit Plan. Deficiencies are corrected within 90 days of identification.					X
>70% of the TD Standard Operation Procedures are reviewed annually. Practices found to be outdated and/or no longer applicable are updated and/or eliminated within 90 days of identification.					X
>95% of TD personnel complete mandatory training within the assigned suspense. Conduct semi-annual evacuation drills.					X
Perform 100% annual reviews of personnel security requirements.					X

Agency Matrix

United States

National

Security

GOAL/AGENCY MATRIX

DTSA Goal / Agency MATRIX

	USD (P)	USD (ATL)	OSD OTHER	ARMY	USN/USMC	USAF	DEFENSE AGENCIES	JCS	JUSTICE	ENERGY	DHS	COMMERCE	STATE	TREASURY	INTELLIGENCE	INDUSTRY	FOREIGN
GOAL 1 Preserve Critical U.S. Military Technological Advantages	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	
GOAL 2 Support Legitimate Defense Cooperation With Foreign Friends and Allies	X	X	X	X	X	X	X	X					X			X	X
GOAL 3 Assure The Health Of The U.S. Defense Industrial Base	X	X	X	X	X	X	X				X	X	X	X	X	X	X
GOAL 4 Prevent The Proliferation And Diversion Of Technology That Could Prove Detrimental To U.S. National Security	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
GOAL 5 Implement Enterprise-Wide Resources To Ensure Organizational Structures, Processes And Procedures Effectively Support DTSA's Mission	X		X				X				X				X		

DTSA STRATEGIC PLAN 2007-2008

Teamwork
Accountability
Service
Integrity