



Department of Defense

DIRECTIVE

NUMBER 5132.03

October 24, 2008

USD(P)

SUBJECT: DoD Policy and Responsibilities Relating to Security Cooperation

References: See Enclosure 1

1. PURPOSE. This Directive:

a. Reissues DoD Directive (DoDD) 5132.3 (Reference (a)) and is in accordance with DoDD 2055.3 (Reference (b)).

b. Establishes DoD policy and assigns responsibilities under the Guidance for Employment of the Force (GEF), Guidance for the Development of the Force, and titles 10 and 22 of the United States Code (U.S.C.) (References (c), (d), (e), and (f), respectively), and statutory authorities, Executive orders, and policies relating to the administration of security cooperation, including security assistance.

2. APPLICABILITY. This Directive applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as the "DoD Components").

3. DEFINITIONS. See Glossary.

4. POLICY. It is DoD policy that:

a. Security cooperation, which includes DoD-administered security assistance programs, is an important tool of national security and foreign policy and is an integral element of the DoD mission. Security cooperation activities shall be planned, programmed, budgeted, and executed with the same high degree of attention and efficiency as other integral DoD activities. Security cooperation requirements shall be combined with other DoD requirements and implemented through standard DoD systems, facilities, and procedures.

b. Security cooperation planners shall take into account the economic capabilities of the foreign country concerned. Except in cases of overriding military considerations, an improvement of military capabilities that the partner country cannot or will not support, safeguard, or sustain shall be discouraged.

c. Security cooperation planners shall consider complementary U.S. Government activities and shall coordinate as appropriate.

d. No DoD civilian or military personnel shall make any commitment involving future U.S. programs, performance, or the availability of U.S. resources without appropriate Governmental clearances and satisfactory assurances that such commitments can be met and are in the best interest of the United States, per Reference (b) and the Presidential Memorandum (Reference (g)).

e. The selection and training of U.S. DoD personnel engaged in security cooperation activities, particularly those assigned to security cooperation organizations (SCOs) and Defense attaché (DATT) offices, shall be in accordance with DoD 5105.38-M (Reference (h)).

f. The security classification of security cooperation information and the disclosure and safeguarding thereof shall be consistent with DoD 5200.1-R, DoDD 5230.11, and the National Disclosure Policy (References (i), (j), and (k), respectively).

5. RESPONSIBILITIES. See Enclosure 2.

6. INFORMATION REQUIREMENTS. The reporting requirements in this Directive are exempt from licensing according to paragraphs C4.4.2 and C4.4.8 of DoD 8910.1-M (Reference (l)).

7. RELEASABILITY. UNLIMITED. This Directive is approved for public release. Copies may be obtained through the Internet from the DoD Issuances Web Site at <http://www.dtic.mil/whs/directives>.

8. EFFECTIVE DATE. This Directive is effective immediately.


Gordon England
Deputy Secretary of Defense

Enclosures

1. References
 2. Responsibilities
- Glossary

ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5132.3, "DoD Policy and Responsibilities Relating to Security Assistance," March 10, 1981 (hereby canceled)
- (b) DoD Directive 2055.3, "Manning of Security Assistance Organizations and the Selection and USDP Training of Security Assistance Personnel," March 11, 1985
- (c) Office of the Under Secretary of Defense for Policy, "Guidance for Employment of the Force," April 21, 2008
- (d) Office of the Under Secretary of Defense for Policy, "Guidance for Development of the Force," May 12, 2008
- (e) Title 10, United States Code
- (f) Title 22, United States Code
- (g) Presidential Memorandum, "Policy Regarding Future Commitments for Foreign Assistance," May 8, 1956
- (h) DoD 5105.38-M, "Security Assistance Management Manual," October 3, 2003
- (i) DoD 5200.1-R, "Information Security Program," January 14, 1997
- (j) DoD Directive 5230.11, "Disclosure of Classified Military Information to Foreign Governments and International Organizations," June 16, 1992
- (k) National Disclosure Policy (NDP-1), October 1, 1988¹
- (l) DoD 8910.1-M, "Department of Defense Procedures for Management of Information Requirements," June 30, 1998
- (m) DoD Directive 5105.65, "Defense Security Cooperation Agency (DSCA)," October 31, 2000
- (n) Chairman of the Joint Chiefs of Staff Instruction 4110.01C, "Uniform Materiel Movement and Issue Priority System – Force/Activity Designators," April 12, 2004²
- (o) DoD Directive 5015.2, "DoD Records Management Program," March 6, 2000
- (p) Chairman of the Joint Chiefs of Staff Instruction 7401.01C, "Combatant Commander Initiatives Fund (CCIF)" August 15, 2007³
- (q) Joint Publication 1-02, "Department of Defense Dictionary of Military and Associated Terms," as amended

¹ http://www.dmo.defence.gov.au/id/di/US_National_Disclosure_Policy.doc

² https://ca.dtic.mil/cjcs_directives/cjcs/instructions.htm#4000

³ http://www.dtic.mil/cjcs_directives/index.htm

ENCLOSURE 2

RESPONSIBILITIES

1. UNDER SECRETARY OF DEFENSE FOR POLICY (USD(P)). The USD(P) shall serve as the principal staff assistant and advisor to the Secretary of Defense on security cooperation matters and, in that capacity, shall:

- a. Develop and coordinate DoD guidance, to include the issuance of Reference (c), which disseminates Secretary of Defense security cooperation goals and priorities.
- b. Develop and coordinate DoD campaign plan policy and assessment guidance.
- c. Provide oversight and review of regional and functional campaign plans and assessments.
- d. Oversee and advise the DoD Components on the development of campaign plans and campaign support plans and resource allocation priorities.
- e. Evaluate completed campaign plan assessments, campaign support plan assessments, and security cooperation program assessments and advise the Secretary of Defense on the effectiveness of DoD security cooperation efforts.
- f. Articulate Secretary of Defense security cooperation goals, policies, and priorities to other U.S. Government agencies to help shape national security objectives and enable greater unity of effort.
- g. Determine priorities for diversion of materiel and equipment in consultation with the Director, Defense Security Cooperation Agency (DSCA).
- h. Develop, coordinate, and disseminate Reference (c), including the assessment guidance, which outlines Secretary of Defense security cooperation goals.
- i. Oversee the direction and administration of DoD-wide policy guidance for the execution of security assistance and additional DoD security cooperation programs according to References (e), (f), (h), and DoDD 5105.65 (Reference (m)).
- j. Represent Secretary of Defense interests in security cooperation matters and serve as the DoD point of contact and representative for security cooperation.
- k. In coordination with the Director, Program Analysis and Evaluation, oversee and conduct programmatic level assessments and conduct all security cooperation program assessments.
- l. In coordination with the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) and the Director, DSCA, as appropriate, lead the development of

foreign disclosure and sales policies and procedures for defense information, technology, and systems via the Director, Defense Technology Security Agency.

2. DIRECTOR, DSCA. The Director, DSCA, under the authority, direction, and control of USD(P), shall direct, administer, and provide DoD-wide guidance to the DoD Components and DoD representatives to U.S. missions, for the execution of DoD security cooperation programs. The Director, DSCA shall only direct, administer, and provide DoD-wide guidance over those programs for which DSCA has responsibility, according to References (f), (h), and (m); and shall:

a. Ensure that Secretary of Defense and USD(P) interests in security assistance matters are represented.

b. Identify requirements, criteria, and procedures for the selection and training of personnel engaged in security assistance activities in DoD security cooperation programs over which DSCA has responsibility.

c. Communicate directly with the Heads of the DoD Components on security cooperation matters over which DSCA has responsibility, according to Reference (m).

d. In coordination with the USD(P) and the USD(AT&L), as appropriate, support the development of foreign disclosure and sales policies and procedures for defense information, technology, and systems.

e. Jointly establish appropriate agreements and procedures with the Director, Defense Intelligence Agency, and with the combatant commands for senior defense officials (SDOs) and DATTs to provide guidance and oversight to security cooperation programs for which DSCA is responsible, in accordance with applicable laws and regulations.

f. Approve, in coordination with the Chairman of the Joint Chiefs of Staff, SCO joint manpower programs involving the establishment of new security cooperation organizations or changes in manpower authorizations or organizational structure. Jointly, with the Director of the Defense Intelligence Agency, approve changes to the grade or Military Department affiliation of the SDO or DATT.

g. Report to the Under Secretary of Defense for Personnel and Readiness (USD(P&R)) in the Defense Readiness Reporting System (DRRS) readiness of personnel for security assistance activities in DoD security cooperation programs over which DSCA has responsibility, in accordance with section 117 (c)(3) of Reference (e), and other relevant instructions or guidance.

h. Act as the Executive Agent for DoD Regional Centers for Security Studies.

3. USD(AT&L). The USD(AT&L) shall:

- a. Coordinate on security cooperation policy guidance and campaign plans.
- b. Ensure conformance with international armaments cooperation, industrial collaboration, and technology release policies.
- c. Ensure that DoD logistics policy and procedures are effectively integrated with security cooperation campaign plans and program implementation.
- d. Provide advice and technical assistance to the USD(P) and the Director, DSCA, to accomplish the objectives of security cooperation programs.
- e. In coordination with the USD(P) and the Director, DSCA, as appropriate, support the development of foreign disclosure and sales policies and procedures for defense information, technology, and systems (including proposed international armaments cooperation, foreign military sales, and direct commercial sales in accordance with Chairman of the Joint Chiefs of Staff Instruction 4110.01C (Reference (n))).
- f. Establish policies, in coordination with the USD(P), for the effective development of international acquisition, technology, and logistics programs that support the objectives and end states outlined in Reference (c) and that support current security cooperation goals.

4. UNDER SECRETARY OF DEFENSE (COMPTROLLER) (USD(C)). The USD(C) shall establish policies and procedures for security cooperation activities involving financial management, fiscal matters, accounting, pricing, budgeting for reimbursements to DoD appropriation accounts and revolving funds, international payments, and matters affecting the DoD budget.

5. UNDER SECRETARY OF DEFENSE FOR INTELLIGENCE (USD(I)). The USD(I) shall:

- a. Develop and oversee implementation of defense intelligence security cooperation campaign plans.
- b. Establish policies, procedures, and priorities in coordination with the USD(P) for allocating and managing defense intelligence security cooperation activities that support the objectives and end states outlined in Reference (c).
- c. Provide oversight for intelligence security cooperation agreements conducted by the DoD intelligence agencies.

6. USD(P&R). The USD(P&R) shall:

- a. Assist the Director, DSCA and the Chairman of the Joint Chiefs of Staff by developing and coordinating relevant input on SCO joint manpower programs involving the establishment of

new security cooperation organizations or changes in SCO manpower authorizations, organizational structure, or the grade, rank, or Military Department affiliation of the Chief of the SCO.

b. Coordinate efforts to build regional, cultural, and language expertise among U.S. forces, including DoD international military and civilian personnel exchange programs, with USD(P).

c. Identify, track, and assess readiness of personnel with regional, cultural, and language expertise.

7. DIRECTORS OF THE DEFENSE AGENCIES AND DoD FIELD ACTIVITIES. The Directors of the Defense Agencies and DoD Field Activities shall:

a. Coordinate on security cooperation policy guidance and campaign plans, and allocate appropriate resources to achieve objectives.

b. Develop campaign support plans, as appropriate, to conduct security cooperation programs and activities in accordance with Reference (c).

c. Complete campaign support plan assessments, as appropriate, in accordance with Reference (c).

d. Provide appropriate assistance as requested by the USD(P) and the Director, DSCA.

8. SECRETARIES OF THE MILITARY DEPARTMENTS. The Secretaries of the Military Departments shall:

a. Coordinate on security cooperation policy guidance and campaign plans; allocate resources to achieve objectives.

b. In coordination with USD(P), develop campaign support plans, as appropriate, to conduct security cooperation programs and activities in accordance with Reference (c).

c. Complete campaign support plan assessments and contribute combatant command campaign plans, as appropriate, in accordance with Reference (f).

d. In coordination with USD(P), serve as advisors to the Secretary of Defense on all matters of security cooperation affecting or related to their respective Departments' support to the combatant commanders.

e. Provide recommendations to the Secretary of Defense to ensure the successful conduct of security cooperation programs.

f. Conduct international armaments cooperation with eligible friendly foreign countries and international organizations in accordance with policies and criteria established by the USD(AT&L).

g. Conduct military education and training and sales of defense articles and defense services to eligible foreign countries and international organizations in accordance with policies and criteria established by the USD(P) and the Director, DSCA.

h. Provide technical information and data, upon the request of the USD(P) and the Director, DSCA, on weapons systems, tactics, doctrine, training, capabilities, logistic support, price, source, availability, and lead-time for developing and reviewing security cooperation programs.

i. Maintain appropriate records and furnish prescribed reports as requested according to DoDD 5015.2 (Reference (o)).

j. Provide qualified military and civilian personnel to carry out security cooperation assignments according to approved tables of distribution and other authorizations, directives, and requests.

k. Ensure conformance with technology transfer, classified military information release, and disclosure policies for their respective areas of responsibility while conducting security cooperation activities.

l. Assist USD(AT&L) and the Director, DSCA, as requested, in government-to-government or interdepartmental discussions or negotiations involving security cooperation.

9. CHAIRMAN OF THE JOINT CHIEFS OF STAFF. The Chairman of the Joint Chiefs of Staff shall:

a. Provide implementation guidance for U.S. military plans and programs and provide the Secretary of Defense with military advice concerning security cooperation.

b. Review, in conjunction with USD(P), combatant command campaign plans (including security cooperation aspects) and oversee deconfliction of the campaign plans as necessary.

c. Produce the annual DoD campaign plan assessment template in consultation with USD(P), to be completed by the DoD Components. Review Service campaign support plans and enable deconfliction, coordination, and/or integration of Service support of combatant command campaign plans, as necessary.

d. Collect and review the campaign plan assessments completed by the Combatant Commanders through the comprehensive joint assessment and advise USD(P) on the effectiveness of DoD security cooperation efforts.

e. Modify Global Force Management Board processes and procedures to account for force requirements for security cooperation.

f. Assign force and activity designators for priorities in the allocation of defense articles, defense services, and military education and training between partner countries and organizations and among partner countries and organizations and the U.S. Armed Forces, according to Reference (n).

g. Recommend priorities for allocation of materiel and equipment for partner countries when competing needs cannot be resolved by Director, DSCA, according to the Chairman of the Joint Chiefs of Staff Instruction 7401.01C (Reference (p)).

10. COMBATANT COMMANDERS. The Combatant Commanders shall:

a. Develop campaign plans, as appropriate, to conduct security cooperation programs and activities in accordance with Reference (c).

b. Coordinate on seam issues (for combatant commands with geographic responsibility) or coordinate on their individual functional responsibilities (for combatant commands with a global focus).

c. Complete campaign plan and campaign support plan assessments, as appropriate, in accordance with Reference (c).

d. Provide appropriate assistance as requested by the USD(P) or the Director, DSCA.

e. Supervise the SCOs in matters related to execution of the Reference (c), including the provision of necessary technical assistance and administrative support to the SCOs.

GLOSSARY

DEFINITIONS

The following definitions are for the purpose of this Directive only.

campaign plan. A joint operation plan for a series of related major operations aimed at achieving strategic or operational objectives within a given time and space in accordance with Reference (c). The campaign plan is the primary vehicle for designing, organizing, integrating, and executing security cooperation activities.

campaign support plans. Plans developed by the DoD Components that focus on activities conducted to support the execution of global and theater campaign plans, and on their own security cooperation activities that directly contribute to the campaign end states and/or DoD Component programs in support of broader title 10 responsibilities.

functional campaign plans. Plans developed by functional combatant commands that focus on translating global strategies into operational activities through the development of an operation plan for a campaign.

regional campaign plans. Support and implement the objectives of the National Security, National Defense, and National Military Strategies and the Unified Command Plan through execution and assessment of regional, functional, contingency, and DoD Component plans. Regional campaign plans – along with DoD Component and directorate supporting plans – focus on activities, which include ongoing operations and security cooperation programs to achieve the theater objectives.

theater campaign plans. Plans developed by geographic combatant commands that focus on the command's steady-state activities, which include operations, security cooperation, and other activities designed to achieve theater strategic end states. It is incumbent upon geographic Combatant Commanders to ensure any supporting campaign plans address objectives in the GEF global planning effort and their respective theater campaign plans. Contingency plans for responding to crisis scenarios are treated as branch plans to the campaign plan.

campaign plan assessments. Assessments will address the Combatant Commanders' execution of the guidance contained in Reference (c) and any changes in the strategic environment that necessitate changes in DoD strategy or guidance. Assessments may be qualitative in nature.

security cooperation organizations (SCOs). Those DoD organizations permanently located in a foreign country and assigned responsibilities for carrying out security cooperation management functions under section 515 of Reference (e) and under Joint Publication 1-02 (Reference (q)), regardless of the actual name given to such DoD Component. SCOs include military assistance advisory groups, military missions and groups, offices of defense and military cooperation, liaison groups, and DATT personnel designated to perform security cooperation functions. The term "SCO" does not include units, formations, or other ad hoc organizations that conduct

security cooperation activities such as mobile training teams, mobile education teams, or operational units conducting security cooperation activities.

senior defense official (SDO) or defense attaché (DATT). Principal DoD official in a U.S. embassy, as designated by the Secretary of Defense. The SDO or DATT is the Chief of Mission's principal military advisor on defense and national security issues, the senior diplomatically accredited DoD military officer assigned to a diplomatic mission, and the single point of contact for all DoD matters involving the embassy or DoD elements assigned to or working from the embassy.

security assistance. A group of programs authorized by Reference (f), as amended, or other related statutes by which the United States provides defense articles, military training, and other defense-related services by grant, loan, credit, cash sales, or lease, in furtherance of national policies and objectives. The Department of Defense does not administer all security assistance programs. Those security assistance programs that are administered by the Department are a subset of security cooperation.

security cooperation. Activities undertaken by the Department of Defense to encourage and enable international partners to work with the United States to achieve strategic objectives. It includes all DoD interactions with foreign defense and security establishments, including all DoD-administered security assistance programs, that: build defense and security relationships that promote specific U.S. security interests, including all international armaments cooperation activities and security assistance activities; develop allied and friendly military capabilities for self-defense and multinational operations; and provide U.S. forces with peacetime and contingency access to host nations.

security cooperation policy guidance. Goals and objectives for DoD security cooperation efforts and the corresponding priorities and direction for resource allocation.

security cooperation program guidance. Management procedures for planning, programming, budgeting, executing, and assessing security cooperation programs.