# Defense Technology Security Administration

## Fiscal Year 2020 Strategic Plan

Ensuring the Edge

# DEFENSE TECHNOLOGY SECURITY ADMINISTRATION
(External Version)

## Strategic Plan

Fiscal Year 2020



Defense Technology Security Administration
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## Message from the Director

The return of great power competition creates renewed national security challenges regarding the international transfers of information and technology. The rapid pace of emerging technology development and commercialization adds to concerns in the policy and technological environment. We, in DTSA, must position ourselves to proactively address these challenges. The 2020 Strategic Plan provides the clear direction for what we want to achieve as an organization as we implement the core tenants of the National Defense Strategy.

This plan is a call to action. The commitment to achieving our goals and measurable objectives hold us accountable for accomplishing desirable results that lead to fulfilling our mission and vision. While the plan provides structure and future guidance, it will remain dynamic as we must strive to continually review and adjust for improvements.

My intent for this plan is to focus our efforts with effective talent management to increase DTSA's influence and expand its footprint. Strengthening our PARTNER culture will amplify our capabilities by inspiring a workforce that is proactive, accountable, respectful, transparent, networked, empowered, and representative. DTSA's intellectual capital, comprised of the varied and depth of expertise and experience is our greatest attribute. It is imperative that we utilize our expertise in making balanced assessments regarding the protection of information and technology, while upholding a *foundation of mutual respect, responsibility, priorities, and accountability* to our allies and other international partners, U.S. government, industry, and other stakeholders.

Defending the U.S. technological superiority is vital to maintaining the freedoms we are afforded as citizens of this great Nation. The ever-changing threats associated with the international transfers of information and technology are growing. I am confident our strategic plan will enable DTSA to enhance our performance through continuous evaluation of our business practices to best serve our Warfighters and Nation.

Heidi H. Grant,
Director
Defense Technology Security Administration

**STRAEGIC PLAN CONTENTS**

**Purpose and Scope**
**Defense Technology Security Administration**
**Strategic Plan 2020**

The DTSA Strategic Plan 2020 provides an enduring top-level roadmap to unite the DTSA workforce toward a shared vision and mission accomplishment. The plan aligns priorities, streamlines processes, and improves stakeholder relationships in accordance with the 2018 National Defense Strategy (NDS). In this way, the NDS serves as the key driver for all DTSA activities.

The DTSA Strategic Plan 2020 will serve as a five-year roadmap to accomplish DTSA's goals and advance its enduring mission.  It incorporates the DTSA mission, vision, organizational structure, and goals.  Stakeholders will benefit as a direct result of DTSA being a better PARTNER meaning more proactive, accountable, respectful, transparent, networked, empowered, and representative.  The strategic goals provide a framework of what needs to be done to reach DTSA's vision and fulfill its mission. The objectives associated with this plan will be updated annually through an annex to sustain process improvements, flexibility, and adaptability to an ever-changing policy and technological environment.

To achieve the full potential of this plan, all employees must use the plan to help guide their work. While, some initiatives will be undertaken DTSA-wide, many others will rest with specific individuals.  Together, these goals and objectives will guide the dedicated DTSA workforce who strive to support U.S. warfighters in maintaining the technological edge.

## Organization History and Structure

DTSA, a field activity within the Office of the Under Secretary of Defense for Policy (OUSD(P)), supports OUSD(P)'s mission to provide responsive, forward-thinking, and insightful policy advice and support to the Secretary of Defense and the Department of Defense (DoD) in alignment with national security objectives, specifically focusing on the impact of international transfers of controlled information and technology.
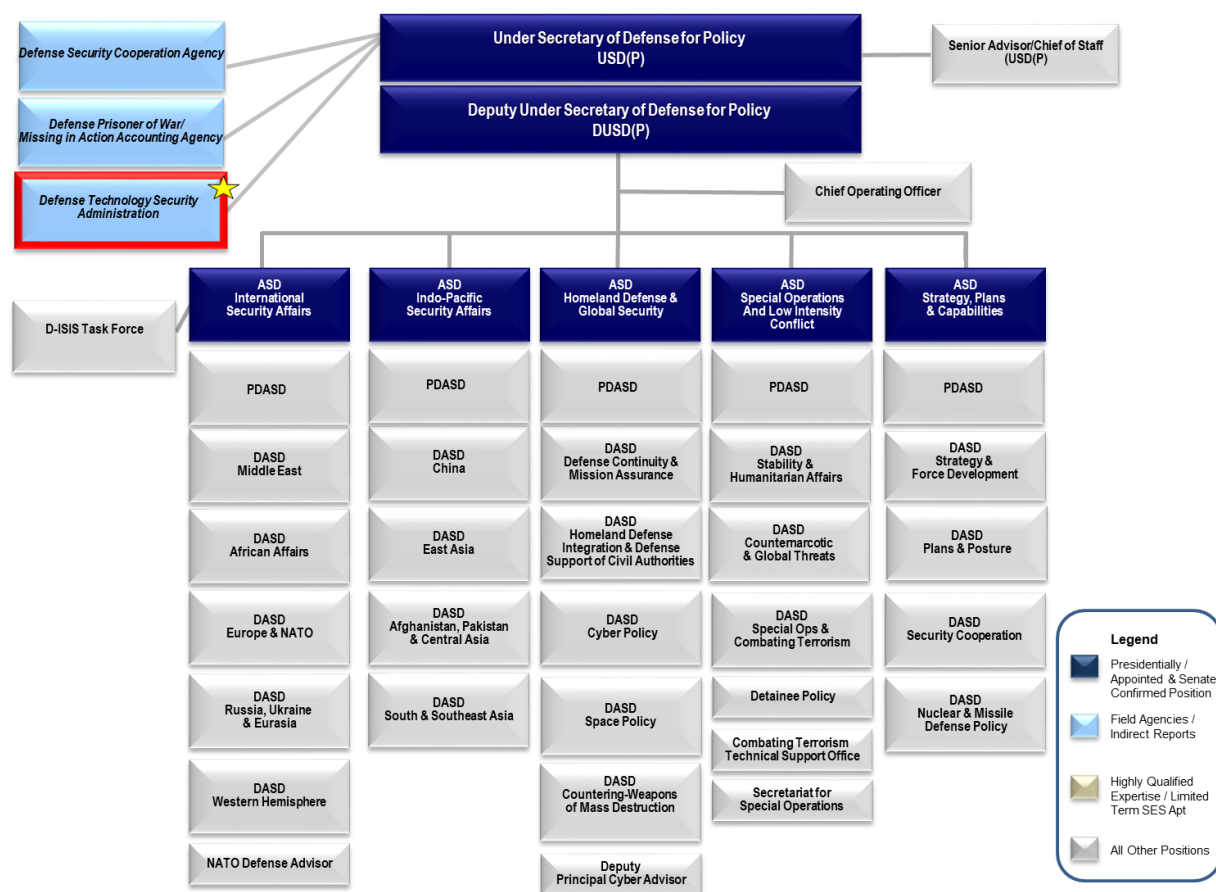


## History

Established in the mid-1980s, DTSA was initially created to review and oppose technology transfers that the Soviet Union sought to improve its military capability. DoD officials considered such transfers, especially of dual use technologies, a potential threat against the U.S. and a major challenge to U.S. national security.

With the fall of the Soviet Union, DTSA's role evolved. While retaining its mission to protect the U.S. military's technological edge in the most critical and sensitive areas, DTSA has increasingly been involved in reviewing critical information and technologies to enable transfers to international partners and allies.

The reemergence of near-peer competition poses new challenges for securing U.S. defense technological superiority.   DTSA's role in addressing these challenges reinforces DTSA's paramount contribution to U.S. national security.

**Structure**

DTSA consists of an executive office and three directorates as depicted in Figure 2. The directorates include the Export Control Directorate, International Engagement Directorate, and the Management Directorate.
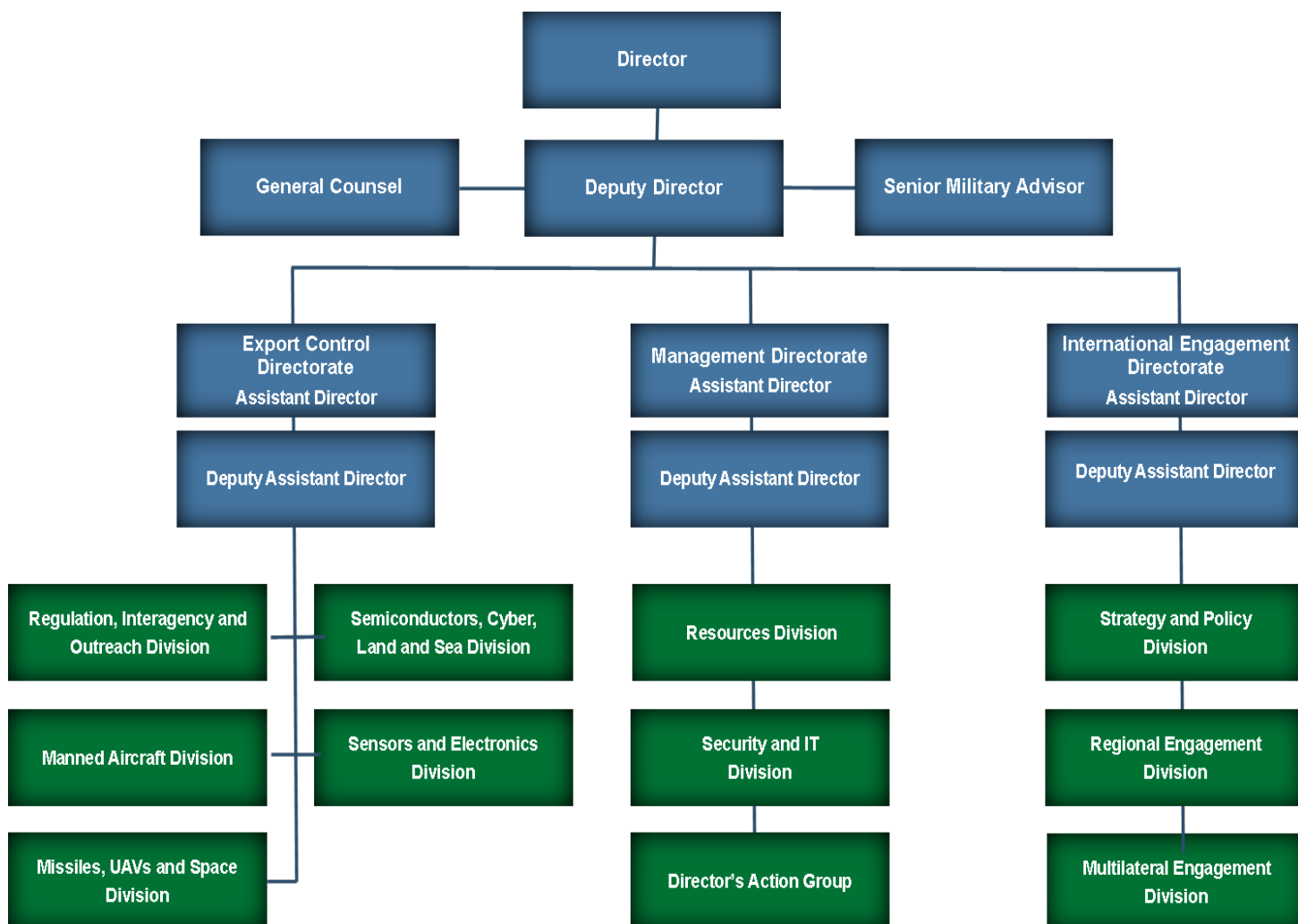


*Executive Office*

The Executive Office, comprised of the DTSA Director, Deputy Director, General Counsel, Senior Military Advisor, and support staff, sets the organization's vision, mission, priorities, and goals. Representing DTSA during senior engagements, the Executive Office ensures key stakeholders recognize and support DTSA equities and mission.  The DTSA Director also serves as Chairman of the Interagency National Disclosure Policy Committee (NDPC).

*Export Control Directorate*

The Export Control Directorate (ECD) leads the Department's national security review processes for Direct Commercial Sales export licenses, Commodity Jurisdiction requests, law enforcement actions and proposed changes to the International Traffic in Arms Regulation and Export Administration Regulations. The Directorate is responsible for identifying DoD national security equities and addressing technology protection requirements through close coordination with DoD stakeholders, U.S. industry and interagency partners. ECD is DTSA's principal source of independent advice on technical matters pertaining to international transfers of defense-related commodities and technologies. ECD applies relevant engineering and scientific knowledge, defense-related technical expertise, and responsive monitoring services to shape DoD technology security policies and to inform technology transfer decisions.

*International Engagement Directorate*

The International Engagement Directorate (IED) ensures that classified military information and sensitive defense technology shared with Allies and partners conform to U.S. Government requirements. IED implements the Secretary of Defense's responsibilities for U.S. national policy regarding the disclosure of classified military information and material to foreign governments and international organizations, as well as the implementation of NATO security policy within the U.S. Government. IED is the U.S. Government designated security authority for all international security programs and develops, negotiates, and concludes international security agreements. IED provides DoD export control and technology security policy positions to relevant DoD offices, the interagency, international partners, industry, and non-governmental organizations. IED represents Department technology security equities at multilateral nonproliferation and export control fora. IED develops anticipatory technology release policies to support foreign military sales, direct commercial sales, and other international cooperative programs; and oversees the DoD's technology release and foreign disclosure processes. IED advises select international defense partners on establishing effective technology and security institutions, procedures, and processes to facilitate greater defense cooperation.

*Management Directorate*

The Management Directorate integrates resources throughout DTSA so the other Directorates and Executive Office are positioned for success. MD provides financial, security, administrative, human capital, decision support, intelligence assessments, and government-wide information technology capabilities to meet mission requirements.

## Export Control Directorate

- DoD lead for review and adjudication of Department of State munitions export licenses
- DoD lead for review and adjudication of Department of Commerce dual use export licenses
- DoD lead for Commodity Jurisdiction Reviews, Commodity Classification Reviews, and Voluntary/Directed Disclosures by US industry
- Support to export law enforcement and compliance offices
- DoD lead for review/draft of recommended changes/updates to U.S. export control regulations
- DoD lead for various interagency export committees (missile technology, chemical, biological, Interagency Operating Committee and Advisory Committee on Export Policy)
- Technical analysis and recommendations for the Departments of State and Commerce export license applications, Committee on Foreign Investment in the U.S. filings, Exception to National Disclosure Policy requests, International science and technology agreements, and documents proposed for public release
- Expert witnesses for export enforcement and compliance actions
- Author and negotiate defense trade treaty and multilateral control regime export control text and technical parameters
- Technical analysis and recommendations for export control laws, regulations, policies, guidelines, and lists of controlled items and technology
- Provide technology transfer solutions to major acquisition programs and Industry
- Participate in LO/CLO Tri-Service Committee meetings
- Serve as OSD technical resource
- Physical monitoring of launch campaigns for U.S. spacecraft, and satellites being launched from non-NATO countries
- Physical monitoring of high risk spacecraft and launch vehicle technical interchange meetings
- Technical analysis and recommendations for U.S. spacecraft, satellite, and launch vehicle Technology Transfer Control Plans
- Document efforts and costs to be reimbursed by U.S. industry, as required by law, for the DoD Space Monitoring Program
- Provide recommendations to USG studies which impact the DoD Space Monitoring Program
- Maintain awareness of commercial spacecraft industry changes which impact the DoD Space Monitoring Program
- Technical analysis and recommendations supporting both NSC and OUSD(R&E) efforts to enhance critical and emerging technology protection

## International Engagements Directorate

- Leads DTSA on matters concerning classified military information and technology security engagements with international partners
- Represents DTSA at State and OSD Policy bilateral engagements with allies and partners
- Advocates for DoD export control and technology security positions to intra-departmental, interagency, industry, and international stakeholders
- Advises selected defense establishments on defense roles in export control and technology security
- Provides export control and technology security policy advice to DoD and interagency stakeholders concerning strategic competition
- Serves as the OSD Policy coordinator for Committee on Foreign Investment in the United States
- Administers the interagency National Disclosure Policy Committee
- Establishes National and DoD policies on disclosure of classified military information and materiel to foreign governments and international organizations
- Evaluates capability of foreign governments and international organizations to protect classified information
- Negotiates General Security Agreements, as well as more targeted Special Security Agreements and Industrial Security Agreements with US security partners
- Establishes DoD policy on foreign visits and policy for the Defense Personnel Exchange Program, Liaison Officer Program, and Cooperative Personnel Program
- Implements NATO security policy
- Monitors DoD International Program Security and foreign disclosure training
- Serves as the OSD Foreign Disclosure Office
- Serves as the OSD lead for Wassenaar Arrangement; Missile Technology Control Regime; Nuclear Suppliers Group; and Australia Group.
- Serves as the OSD lead for Civil Nuclear Cooperation Agreements
- Serves as the OSD lead for Iran North Korea Syria Nonproliferation Act sanctions
- Provides export-control related CAATSA Section 231 sanctions analysis and implementation
- Provides DoD oversight authority on DoD patent security review process
- Screens, triages, & tracks defense systems priority technology release and foreign disclosure reviews
- Develops & coordinates defense systems Releases in Principle and technology release and foreign disclosure policies
- Develops anticipatory technology release and foreign disclosure policies for defense systems and sensitive capabilities
- Processes, approves, and disseminates Electronic Warfare (EW) legacy system Information Assurance waivers.

## Management Directorate

- Financial Management (PPBE, Analysis, Defense Travel System)
- Contract Administration
- Human Capital Management
- Security Programs – Physical, Personnel & Information Security, Insider Threat Program
- Strategic Planning
- GAO/IG Engagements
- Congressional/Legislative Affairs
- Outreach and Engagements
- Information Technology Governance
- Program Compliance
- Cybersecurity
- Security Policy Automation Network (SPAN-IT) Applications Management: USXPORTS, Foreign Visits Systems, Foreign Disclosure System, National Security Policy System, Patent Review System, SPACELINK
- Internal Management Control Program
- Facilities Management
- Continuity of Operations (COOP)
- Intelligence Assessments
- Decision Support

**Strategic Direction**

**Mission**

Identify and mitigate national security risks associated with the international transfer of controlled information and advanced technology in order to maintain the U.S. warfighter's technological edge and support U.S. national security objectives.

**Vision**

Be the U.S. Government's premier experts on international information sharing and information & technology security, safeguarding the U.S. qualitative military edge while enhancing foreign partners' capabilities.
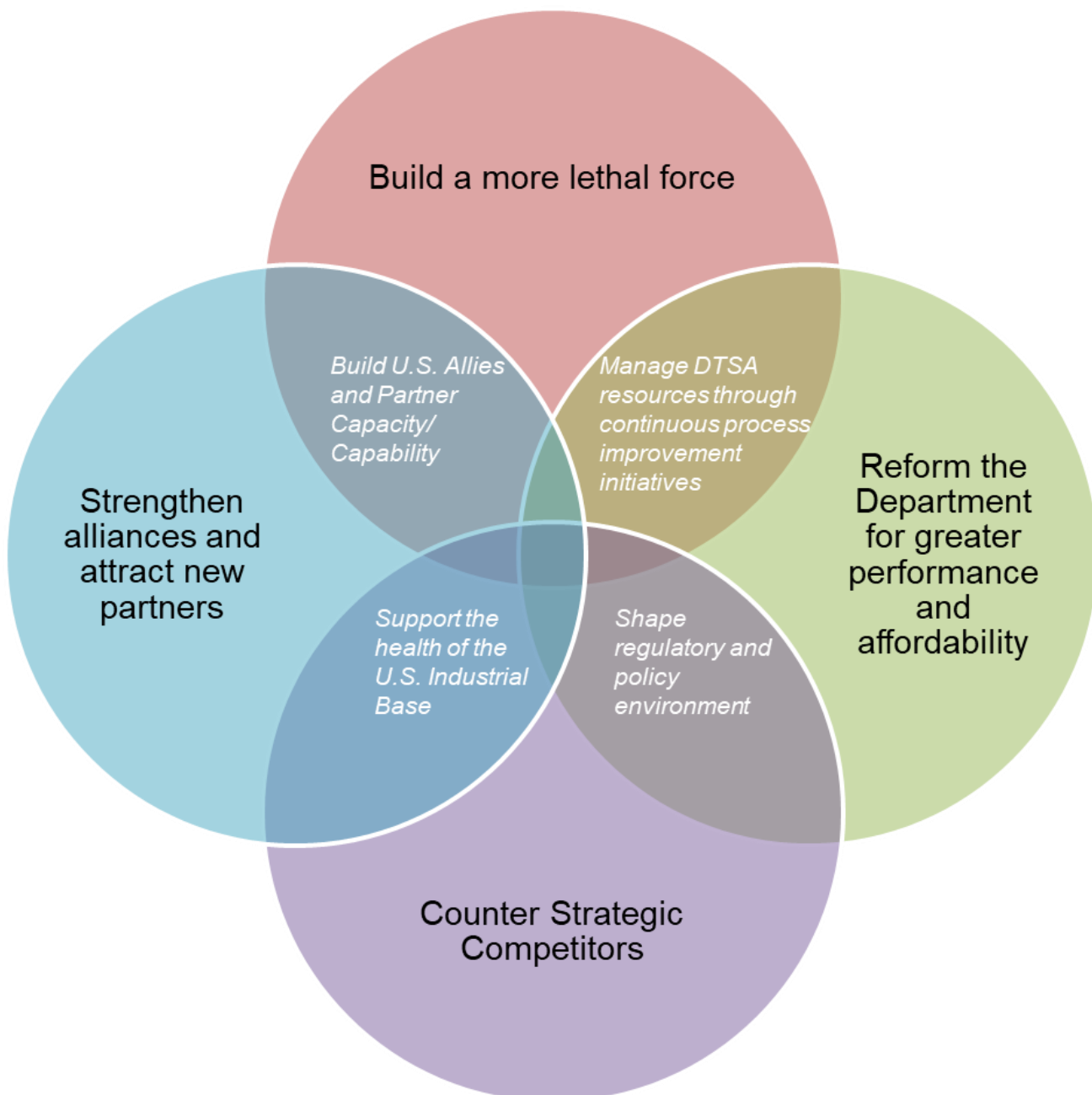
**Culture**

DTSA will be known as an organization that embodies a PARTNER culture.  This means that DTSA will be proactive, accountable, respectful, transparent, networked, empowered, and representative in pursuit of its goals.

**The National Defense Strategy and DTSA Mission Pyramid**

> *Mutually beneficial alliances and partnerships are crucial to our strategy, providing a durable, asymmetric strategic advantage that no competitor or rival can match. (NDS 2018)*

DTSA's 2020 strategic plan aligns the NDS lines of effort and DTSA's strategic goals. This allows for a solid link between the NDS and measurable objectives and action. This solidifies DTSA's role in implementing the NDS.

**DTSA Mission Pyramid**

The DTSA Mission Pyramid in Figure 3 depicts the flow from the NDS to DTSA's strategic goals to functions.  The PARTNER culture provides the foundation and characterizes DTSA's approach to achieving its mission, vision, and goals.



The DTSA mission pyramid is used to communicate the flow from the NDS, which identifies U.S. strategic priorities, into what DTSA does to accomplish its mission.  The functions represent how DTSA fulfills its mission through numerous and varied activities.  Lastly, the foundational PARTNER culture embodies the characteristics expected of each employee and is evident in all partner interactions with internal and external stakeholders.

**DTSA 5-Year Goals**

DTSA will work towards achieving the 5-year goals intended to reshape and lead the organization to align with the NDS and to be a more PARTNER workforce. Annually, DTSA leadership will develop objectives and action plans to achieve desired measurable outcomes. Each goal supports lines of effort (LOE) within the NDS: LOE 1. *Build a Lethal Force*, LOE 2. *Strengthen Alliances and Attract New Partners*, and LOE 3. *Reform the Department for Greater Performance and Affordability*.

| | |
|---|---|
| **Shape Regulatory and Policy Environment** | • Shape the regulatory and policy environment to ensure technology security, information security, and foreign disclosure requirements and risks are considered and addressed. |
| **Protect Critical Information and Technology** | • Assess risk of transferring advanced technology and critical information to foreign entities, identify means to mitigate risks, and provide recommendations to senior decision makers. |
| **Build U.S. Allies and Partners Capabilities/ Capacity** | • Engage U.S. allies and partners to increase interoperability and build partner capacity to protect critical technology and information. |
| **Support the Health of the U.S. Industrial Base** | • Support the health of the U.S. Industrial base through the development of balanced information and technology policies, procedures, recommendations, and decisions. |
| **Impede Strategic Competitors** | • Leverage expertise to impede NDS-identified strategic competitors' efforts to erode U.S. technological edge, disrupt alliances, and distort international trade. |
| **Manage DTSA Resources** | • Ensure DTSA resources, organizational structures, processes and procedures effectively support DTSA's mission. |

| NDS and DTSA Strategic Goals Linkage | | | |
|---|---|---|---|
| | LOE 1. Build a Lethal Force | LOE 2. Strengthen Alliances and Attract New Partners | LOE 3. Reform the Department for Greater Performance and Affordability |
| **DTSA Strategic Goals** | | | |
| Goal 1. Shape Regulatory and Policy Environment | X | X | X |
| Goal 2. Protect Critical Information and Technology | X | X | |
| Goal 3. Build U.S. Allies and Partners Capabilities/Capacity | | X | |
| Goal 4. Support the Health of the U.S. Industrial Base | X | X | X |
| Goal 5. Impede Strategic Competitors | X | X | |
| Goal 6. Manage DTSA Resources | | | X |

## Goal 1. Shape Regulatory and Policy Environment

Shape the regulatory and policy environment to ensure technology security, information security, and foreign disclosure requirements and risks are considered and addressed.

Desired Outcome:

National policies and DoD documents reflect the requirements for protecting critical information and technology.

Strategic Issues Addressed:

Crafting comprehensive national and defense policies requires a complex and nuanced understanding of controlled information and technology.  DTSA will work to increase whole of government partners' awareness of the comprehensive implications of relevant policies. To this end, DTSA will continue to cultivate deep relationships with many U.S. government entities with interest in the international protection and/or transfer of controlled information and technology.  Government Partners include the Departments of Defense, Commerce, State, Treasury, Energy, Justice, and Homeland Defense; the National Security Council (NSC); National Aeronautics and Space Administration (NASA); and the Office of the Director of National Intelligence.


## Goal 2.  Protect Critical Information and Technology

Assess risk of transferring advanced technology and critical information to foreign entities, identify means to mitigate risks, and provide recommendations to senior decision makers.

Desired Outcome:

Assess and mitigate controlled information and technology transfer risk.

Strategic Issues Addressed:

Both over and under disclosure of information and technology pose risks to U.S. warfighters and national security more broadly. DTSA plays a critical role in identifying and assessing these risks. DTSA needs organization-wide policies to produce and provide consistent risk assessments.

Further, mitigating these risks requires actionable recommendations, which require stakeholder buy-in. DTSA strives to increase this buy-in with its licensing and international security policies. License scope and language will reflect how DTSA partners—DoD, industry, international, and Whole of Government—understand and respond. International security policies will continue to reinforce international partners' abilities to protect critical information and technology.

**Goal 3.  Support the Health of the U.S. Industrial Base**

Support the health of the U.S. industrial base through the development of balanced information and technology policies, procedures, recommendations, and decisions.

Desired Outcome:

DTSA decisions and criteria will balance industry interests and national security needs.

Strategic Issues Addressed:

A robust partnership between U.S. Government and industry is essential in protecting national security interests and maintaining the health of the U.S. defense industrial base.  DTSA and its partners must work together to strike the proper balance between facilitating defense trade in support of our allies and friends while maintaining and implementing necessary constraints to protect our technological edge.  DTSA will do more to engage industries, understand and measure U.S. business interests, and provide transparent decisions and criteria. DTSA will also take a more proactive role in deregulation and anticipatory export policies.

**Goal 4.  Build U.S. Allies & Partners Capabilities/Capacities**

Engage U.S. allies and partners to increase interoperability and build partner capacity to protect critical technology and information.

Desired Outcome:

Increased confidence that international partners and allies can support U.S. strategic priority through securing and protecting critical information and technology.

Strategic Issues Addressed:

International partners' ability to protect sensitive information and technology is a key enabler of greater defense cooperation with the United States.  DTSA assists partners in establishing defense information, technology security, and export control systems that protect U.S. and partner defense technological advantages.  DTSA will improve processes for prioritizing countries for protection of information and technology. DTSA engages with allies, partner nations, alliances (e.g. NATO), the United Nations and other multilateral organizations, and non-government organizations. DTSA will streamline partner engagements to reconcile competing demands.

**Goal 5.  Impede Strategic Competitors**

Leverage expertise to impede NDS-identified strategic competitors' efforts to erode U.S. technological edge/disrupt alliances/distort international trade.

Desired Outcome:

Defend against and disrupt strategic near-peer competitor technology acquisitions.

Strategic Issues Addressed:

The 2018 NDS provided a renewed focus on threats from near-peer competitors. DTSA has a strategic opportunity to assist proactively in thwarting this strategic challenge. There are two parts to this challenge.  First, U.S. technology should not contribute to near-peer competitors' technological improvement.  Second, U.S. companies must maintain a competitive edge as the global supplier of choice.  Addressing these challenges requires identifying chokepoint technologies and the means to restrict competitors' access to these chokepoint technologies.  DTSA will establish a process and collaborate with partners to address this strategic challenge.


**Goal 6.  Manage DTSA Resources**

Ensure resources, organizational structure, processes and procedure effectively support DTSA's Mission.


Desired Outcome:

Strategic alignment of DTSA resources.

Strategic Issues Addressed:

Aligning resources to strategic priorities is critical to realizing mission success.  DTSA will devise a strategy to prioritize human capital needs and to strengthen PARTNER culture.  DTSA will increase opportunities for employee feedback, appreciation, and collaboration.  DTSA's resource allocation will more clearly reflect changing demand signals and establish continuous process improvement initiatives.

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