

# Defense Security Cooperation University Expert Course of Instruction

---

Content, Design, Implementation

JEFFERSON P. MARQUIS, JENNIFER D. P. MORONEY,  
PAULINE MOORE, REBECCA HERMAN, JONATHAN WELCH,  
REID DICKERSON

Prepared for the Office of the Secretary of Defense  
Approved for public release



RAND

NATIONAL DEFENSE RESEARCH INSTITUTE

For more information on this publication, visit [www.rand.org/t/RAA572-1](http://www.rand.org/t/RAA572-1)

Published by the RAND Corporation, Santa Monica, Calif.

© Copyright 2020 RAND Corporation

**RAND**® is a registered trademark.

### Limited Print and Electronic Distribution Rights

This document and trademark(s) contained herein are protected by law. This representation of RAND intellectual property is provided for noncommercial use only. Unauthorized posting of this publication online is prohibited. Permission is given to duplicate this document for personal use only, as long as it is unaltered and complete. Permission is required from RAND to reproduce, or reuse in another form, any of its research documents for commercial use. For information on reprint and linking permissions, please visit [www.rand.org/pubs/permissions](http://www.rand.org/pubs/permissions).

The RAND Corporation is a research organization that develops solutions to public policy challenges to help make communities throughout the world safer and more secure, healthier and more prosperous. RAND is nonprofit, nonpartisan, and committed to the public interest.

RAND's publications do not necessarily reflect the opinions of its research clients and sponsors.

### Support RAND

Make a tax-deductible charitable contribution at  
[www.rand.org/giving/contribute](http://www.rand.org/giving/contribute)

[www.rand.org](http://www.rand.org)

## Preface

---

In its 2017 National Defense Authorization Act (NDAA), the U.S. Congress called for the professionalization of the security cooperation (SC) workforce as part of a range of reforms designed to confront perceived deficiencies in Department of Defense (DoD) SC planning, management, execution, and assessment and placed the Defense Security Cooperation Agency (DSCA) in charge of this effort. Accordingly, DSCA established a Security Cooperation Workforce Certification Program (SCWCP) in January 2020, which codified SC competencies and areas of concentration (AOC) for the approximately 20,000 civilian and military officials in SC workforce positions and established four proficiency levels that reflect increasing responsibility and greater knowledge, skills, and abilities (KSA). DSCA asked the RAND National Defense Research Institute (NDRI) to help develop training course requirements for expert professionals that would capture what they need to know regarding the integration of SC into the national security framework.

The RAND study team undertook four research tasks in pursuit of this objective. To identify training requirements for SC experts, we reviewed the SC academic and policy literature, conducted interviews and discussions with SC subject-matter experts (SMEs), and conducted case studies of existing SC courses. To identify best practices in senior leader education and training outside DoD, we reviewed relevant academic and business literature, interviewed adult education SMEs, and conducted case studies of executive education programs. Based on this research, we outlined an SC expert course of instruction (COI), to include course objectives, associated design elements, estimated duration

and cost considerations; and recommended options for implementing the COI that accounted for DSCA priorities and constraints.

This study may be of interest to SC policymakers, educators, practitioners, and researchers, as well as U.S. government officials who focus on DoD personnel training, education, and professional development.

The research reported here was completed in August 2020 and underwent security review with the sponsor and the Defense Office of Prepublication and Security Review before public release.

This research was sponsored by the U.S. Department of Defense's DSCA and conducted within the Forces and Resources Policy Center and the International Security and Defense Policy Center of the RAND National Security Research Division (NSRD), which operates the NDRI, a federally funded research and development center sponsored by the Office of the Secretary of Defense (OSD), the Joint Staff, the Unified Combatant Commands, the Navy, the Marine Corps, the defense agencies, and the defense intelligence enterprise.

For more information on the RAND Forces and Resources Policy Center, see [www.rand.org/nsrd/frp](http://www.rand.org/nsrd/frp) or contact the director (contact information is provided on the webpage). For more information on the RAND International and Defense Policy Center, see [www.rand.org/nsrd/isdp](http://www.rand.org/nsrd/isdp) or contact the director (contact information is provided on the webpage).

# Contents

---

**Preface** ..... iii  
**Figures and Tables**..... vii  
**Summary** ..... ix  
**Acknowledgments** ..... xvii  
**Abbreviations**..... xix

**CHAPTER ONE**

**Introduction** ..... 1  
Defense Security Cooperation University’s New Certification Program.... 3  
Principles Guiding the Study ..... 6  
Key Issues ..... 6  
Study Approach ..... 12  
Study Limitations ..... 12  
Report Organization..... 13

**CHAPTER TWO**

**Review of the Policy and Academic Literature for Security**  
    **Cooperation Professional Training and Education** ..... 15  
Security Cooperation Legislation and Policy Guidance..... 15  
Security Cooperation Literature on Training and Educating Security  
    Cooperation Professionals..... 21  
Conclusion..... 30

**CHAPTER THREE**

**Interviews and Discussions with Security Cooperation**  
    **Subject-Matter Experts** ..... 31  
Interview Participants ..... 32

Interview Protocol and Coding ..... 33

Findings ..... 34

Conclusion ..... 46

**CHAPTER FOUR**

**Best Practices in Subject-Matter-Expert Training and Education..... 49**

Review of the Academic and Professional Training and Education

    Literature..... 50

Interviews Related to Subject-Matter-Expert Training and Education... 57

Findings ..... 59

Case Studies Relevant to Security Cooperation Expert Education and

    Training ..... 63

Case Study Methodology ..... 64

Conclusion ..... 70

**CHAPTER FIVE**

**Security Cooperation Expert Course of Instruction and Ways to**

**Implement It ..... 73**

Potential Security Cooperation Expert Learning Objectives Distilled

    from Subject-Matter Expert Interviews, Case Studies, and

    Prior Research ..... 74

Developing Course Design Recommendations and Considering

    Time and Cost..... 76

An Ideal Professionalization Program to Develop Experts Could

    Require Substantial Investment ..... 82

Seven Strategic Choices to Ponder Related to Expert Education..... 84

Additional Challenges Posed by COVID-19 ..... 89

Conclusion ..... 90

**APPENDIXES**

**A. Interview Protocols..... 93**

**B. Case Study Recommendations for Security Cooperation**

**Expert Course ..... 103**

**C. Methodology for Cross-Sector Literature Review and**

**Department of Defense and Non–Department of Defense**

**Subject-Matter Expert Interviews ..... 109**

**D. Case Study Summaries..... 117**

**References ..... 163**

# Figures and Tables

---

## Figures

|      |                                                                                                                                                                 |     |
|------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| S.1. | Proposed Organization and Flow of Security Cooperation Expert-Level Course .....                                                                                | xiv |
| 1.1. | “T-Shaped” Leader: Distinguishing Among Expert, Advanced, and Executive Levels of Security Cooperation Professionals .....                                      | 8   |
| 1.2. | Bloom’s Taxonomy.....                                                                                                                                           | 9   |
| 3.1. | Percentage of Interviewed Senior Security Officials and Subject-Matter Experts by Organization.....                                                             | 33  |
| 3.2. | Number of Security Cooperation Interviewees (out of 58 Total) Who Identified Expert Positions in Particular Security Cooperation Enterprise Organizations ..... | 37  |
| 3.3. | Number of Security Cooperation Interviewees Who Identified Particular Areas of Expert Knowledge.....                                                            | 39  |
| 3.4. | Number of Security Cooperation Interviewees Who Identified Particular Methods for Training and Educating Security Cooperation Experts .....                     | 42  |
| 3.5. | Number of Security Cooperation Interviewees Who Identified Particular Challenges to Implementing Security Cooperation Expert Training and Education .....       | 45  |
| 5.1. | Security Cooperation Expert Learning Objectives .....                                                                                                           | 75  |
| 5.2. | Proposed Organization and Flow of Security Cooperation Expert-Level Course .....                                                                                | 83  |

## Tables

|      |                                                                             |    |
|------|-----------------------------------------------------------------------------|----|
| 4.1. | List of Interviewees from Outside the Security Cooperation Enterprise ..... | 58 |
|------|-----------------------------------------------------------------------------|----|

- 4.2.    Non-Department of Defense Case Congruence with  
        Selection Criteria..... 64
- 5.1.    Security Cooperation Expert Strategic Choices and  
        Associated Duration and Delivery Modes ..... 85
- B.1.    Recommended Case Studies for Security Cooperation  
        Experts ..... 104
- C.1.    Cross-Sector Literature Review Standards of Evidence ..... 110
- C.2.    Non–Department of Defense Case and Interview  
        Selection Criteria..... 114
- D.1.    Pine Street Practice Areas and Sample Programs ..... 123

## Summary

---

The 2018 National Defense Strategy (NDS) identified perceived shortfalls in professional military education (PME)—specifically that it has stagnated and lacks rigor in training of intellectual leadership and the art and science of war.<sup>1</sup> Previously, in its 2017 National Defense Authorization Act (NDAA), the U.S. Congress had called for the professionalization of the security cooperation (SC) workforce as part of a range of reforms designed to confront perceived deficiencies in the planning, management, execution, and assessment of a growing number of Department of Defense (DoD) SC activities throughout the world.<sup>2</sup> Furthermore, it placed the Defense Security Cooperation Agency (DSCA) in charge of this workforce development effort.<sup>3</sup> In response, DSCA undertook a major restructuring of its educational arm,

---

<sup>1</sup> Jim Mattis, “Summary of the 2018 National Defense Strategy of the United States of America: Sharpening the American Military’s Competitive Edge,” Washington, D.C.: Department of Defense, 2018.

<sup>2</sup> According to DSCA, SC “comprises all 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 (SA) programs, that build defense and security relationships; promote specific U.S. security interests, including all international armaments cooperation activities and SA 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.” See DSCA, *Security Assistance Management Manual*, undated b.

<sup>3</sup> U.S. Code, Title 10, Section 384 (10 U.S.C. 384), Department of Defense Security Cooperation Workforce Development, December 23, 2016, p. 2526.

which resulted in the opening of a new Defense Security Cooperation University (DSCU), headquartered in Arlington, Virginia, in September 2019. This milestone was followed by the launching of the Security Cooperation Workforce Certification Program (SCWCP) in January 2020, which codified SC competencies and areas of concentration (AOC) for the approximately 20,000 civilian and military officials in SC positions working within and outside the United States.<sup>4</sup>

As part of the latter effort, in the summer of 2019, DSCA officials asked the RAND National Defense Research Institute (NDRI) to help them develop course requirements for expert-level DoD civilian and military SC professionals, which would capture what they need to know regarding the integration of SC into the national security framework.

## Research Tasks and Approach

The RAND study team undertook four research and analysis tasks in pursuit of the objective of producing a course of instruction (COI) for SC experts:

- **Task 1:** conduct a review of the SC literature and the current SC certification process, conduct interviews and discussions with SC subject-matter experts (SMEs), and conduct case studies of DoD SC-related courses in order to identify training and education requirements for SC experts
- **Task 2:** conduct a review of the academic and business literature, conduct interviews with adult education SMEs, and conduct case studies of executive education programs in order to identify best practices in senior leader education and training outside DoD

---

<sup>4</sup> SC competencies include: regional expertise, SC authorities and programs, SC strategy and planning, interagency stakeholders, SC rules and regulations, campaign plan goals, SC tools integration, SC roles and missions, national security process, and SC case execution. SC areas of concentration include: SC Planning, Oversight, and Execution (POE) Management, SC Case Execution Management, SCO (security cooperation office) Operations and Management, SC Execution Support Management, and SC Acquisition Management.

- **Task 3:** outline SC expert COI, to include course objectives, associated design elements, estimated duration, and cost considerations
- **Task 4:** recommend options for implementing SC COI in ways that account for DSCA priorities and constraints.

The research approach reflected in these tasks was as follows. The literature reviews helped us to understand the SC certification process and issues with SC training and education, as well as how non-DoD organizations approach training of senior leaders and which of their practices are supported by evidence. Our interviews and panel discussions allowed us to understand how DoD and non-DoD SMEs (including 58 current and former SC officials from across the SC community) view experts, the knowledge, skills, and abilities (KSA) they should have, and the ways in which they should be trained and educated. Our case studies deepened our understanding of current SC-related training/education and what works in expert-type training/education in organizations outside DoD. These analyses contributed to our concept of an ideal SC training and education program and to recommendations for areas of focus, while taking practical considerations, such as course duration and cost, into account.

## **Task One Findings: Security Cooperation Literature and Subject-Matter Experts**

The following are summary findings from the study team's examination of the SC-related literature and interviews and panel discussion with SC SMEs:

- Although legislation and DoD guidance call for workforce reforms and mandate changes in SC professional development, no in-depth research exists on the training and education practices that are best suited to achieving desired SC outcomes.
- Many SC interviewees accepted the need for a cadre of experienced and well-trained experts; however, interviewee responses suggested a certain degree of confusion and skepticism regarding the definition of expertise and the level of certification.

- Interviewees most often identified combatant commands (CCMDs), embassy SCOs, the Office of the Security of Defense (OSD) for Policy, and DSCA as locations for expert positions.
- Most-mentioned expert knowledge areas were regional expertise, SC authorities and programs, SC strategy and planning, and interagency stakeholders.
- Many SC interviewees considered case studies and a cohort-based approach (where a relatively small but diverse group of senior professionals are kept together for an extended period) to be important elements of expert training and education.
- Time for busy professionals to participate in schoolhouse activities was the most important challenge in implementing expert training and education for SC interviewees.

## **Task Two Findings: Adult Education Literature and Subject-Matter Experts**

Findings from the adult education literature included the following:

- Intensive, guided learning experiences (as opposed to one-way or remote learning) are most effective for expert learners.
- Different types of learning experiences (e.g., small group discussions, practical exercises, conversations with senior practitioners) that actively engage the learner are most effective.
- Experts can be taught how best to continue their learning beyond initial classroom training.
- On-the-job supports that reinforce what has been learned during formal training sessions can improve the transfer of KSA.

The following training practices were recommended by adult education SMEs during the course of the study team's interviews and case studies:

- conduct assessments of student needs at the outset of an adult education program for senior-level employees

- organize adult learning initiatives into a handful of two- or three-day in-person sessions spread over eight to twelve months
- hold online sessions in between in-person meetings to facilitate the cross-fertilization of knowledge acquired at work and in the classroom
- focus on real-world problems relevant to participants' career fields rather than canned scenarios with predetermined results
- conduct informal follow-up at the conclusion of a learning initiative to help improve the quality of future instruction.

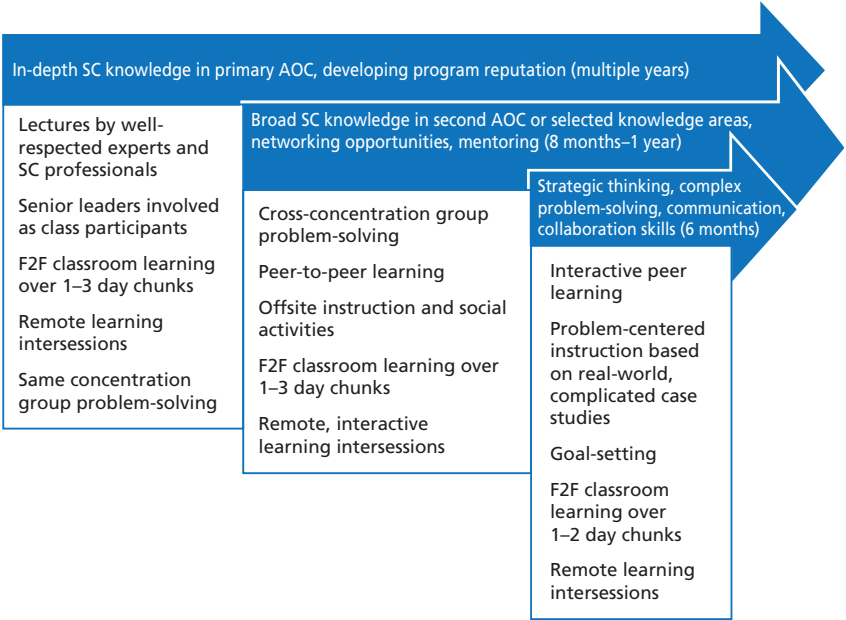
### Task Three: Integrated Findings

Integrating the findings from our SC and adult education literature reviews, case studies, interviews, and panel discussions, the study team created a hierarchy of potential SC expert learning objectives and sub-objectives. To grow and retain SC experts, available research suggests that DSCU needs to pursue three primary objectives:

- develop an SC advisory capability, to include acquiring SC KSA and SC networks
- develop an SC management capability, to include fostering collaboration, communication, and to a lesser extent mentoring skills
- instill pride in expert status by building the reputation of the SC professional development program.

Figure S.1 shows a proposed organization and flow of an ideal SC expert-level course. However, achieving these objectives could require a substantial investment in time and resources. For example, developing in-depth knowledge in a primary AOC and developing program reputation could be a multiyear goal, involving lectures by well-respected experts and SC professionals, class participation by senior leaders, face-to-face (F2F) classroom learning, remote learning intersessions, and same concentration group problem-solving activities. We estimate it could take from eight months to a year to develop broad SC knowledge in a second AOC or selected knowledge areas

**Figure S.1**  
**Proposed Organization and Flow of Security Cooperation Expert-Level Course**



NOTE: A more focused expert course could be accomplished in about a year and cost less.

especially helpful to experts as well as provide networking opportunities and some limited training in mentoring, although some of these activities could be accomplished concurrently with in-depth knowledge development. Ideally, this area of instruction could include cross-concentration group problem-solving, peer-to-peer learning, and off-site instruction and social activities, in addition to F2F classroom learning and remote, interactive learning intersessions. The development of skills in strategic thinking, complex problem-solving, communication, and collaboration, which could also be potentially implemented concurrently with knowledge acquisition, could take six months and involve interactive peer learning, problem-centered instruction based on real-world, complicated case studies, and goal-setting instruction, as well as F2F classroom learning and remote learning intersessions.

## **Task Four: Recommendations That Account for Outcome Priorities, Time, and Cost**

Having laid out potential objectives for an SC expert educational program, along with the organization and flow of an ideal expert-level COI, the study team considered how the course timeline might be reduced to a year or less through a more focused approach that took into account the time and cost associated with different course components, outcome priorities expressed by the sponsor, such as developing an advisory capability and the ability of senior SC professionals to solve complex problems, and the challenges of aligning SC educational offerings with DoD civilian and military training cycles and job demands. As a result of this exercise, we are recommending that DSCU

- ensure that SC professionals achieve sufficient mastery in their primary AOC prior to transitioning to the expert stage of development
- broaden SC knowledge of expert candidates by developing certain knowledge areas that the SC community has determined to be important for most individuals at their level rather than requiring them to self-select a secondary AOC that might not be as appropriate for experts
- focus expert skill development on strategic thinking and complex problem-solving
- provide significant assistance to help expert candidates further develop their networks of knowledgeable and experienced contacts in key areas of the SC community
- initially, consider keeping the course short (under six months) while taking steps to increase its duration and expand its content over time and targeting certain kinds of students, such as those working near DSCU locations, DoD civilians, and foreign area officers (FAOs), while striving to broaden the student body in the long run
- to deal with effects of COVID-19, examine ways to facilitate effective online interaction within expert cohorts and among students, instructors, and senior SC experts.

## Conclusion

It is hoped that the findings and recommendations of this study will inform the ongoing discussion within DoD regarding training and education for senior members of the SC workforce. Developing an effective and implementable COI for SC experts depends on balancing requirements for deep and broad knowledge, on the one hand, and desired course content and practical considerations, on the other hand. The ultimate goal of the professionalization process should be a “T-shaped” leader with both depth and breadth in terms of training and experience. There is not a consensus within the SC community, however, on who should have “expert” knowledge, what it should consist of, or when it should be acquired. Indeed, some question whether a separate expert-level of certification is needed or whether “expert” KSA should be relegated to SC executives and/or advanced level professionals. Another issue with which DSCA must grapple is finding the balance between designing the course to optimize the learning objectives and designing the course with practical time and cost considerations in mind. This is particularly challenging as the potential participant group is relatively small, widely dispersed, and limited in its availability for training. Although achieving a balance in these two areas will be difficult, we believe it is worth the effort, given that the outcome of reforms in various aspects of SC will depend on having a continuous supply of well-qualified and strategically minded senior SC professionals.

## Acknowledgments

---

Although the authors are responsible for the content of this report, the research underlying the study team's findings and recommendations required the assistance of many individuals in our sponsor organization, DSCA, as well as in the larger SC community, the adult education community, and our parent organization, the RAND Corporation. In particular, we would like to thank Cara Abercrombie, President of the Defense Security Cooperation University, and DSCU's Stephen Wentworth, our study monitor, for their guidance and support. We would also like to thank RAND's Rachel Swanger and Nelson Lim for their oversight of the initial phase of our adult education research, as well as our internal RAND reviewer, Charles Goldman, and our external reviewer, Tommy Ross, for their many excellent suggestions aimed at improving the quality and organization of our report.



# Abbreviations

---

|       |                                                      |
|-------|------------------------------------------------------|
| AM&E  | assessment, monitoring, and evaluation               |
| AOC   | area of concentration                                |
| BPC   | building partnership capacity                        |
| CAP   | critical acquisition position                        |
| CCMD  | combatant command                                    |
| CCP   | Command Campaign Plan                                |
| CJCS  | Chairman of the Joint Chiefs of Staff Instruction    |
| COI   | course of instruction                                |
| CRS   | Congressional Research Service                       |
| CSIS  | Center for International and Strategic Studies       |
| DAU   | Defense Acquisition University                       |
| DAW   | defense acquisition workforce                        |
| DAWIA | Defense Acquisition Workforce Improvement Act        |
| DISAM | Defense Institute for Security Assistance Management |
| DISCS | Defense Institute for Security Cooperation Studies   |
| DoD   | Department of Defense                                |

|       |                                              |
|-------|----------------------------------------------|
| DoDD  | Department of Defense Directive              |
| DoDI  | Department of Defense Instruction            |
| DoDIG | Department of Defense Inspector General      |
| DoS   | Department of State                          |
| DSCA  | Defense Security Cooperation Agency          |
| DSCU  | Defense Security Cooperation University      |
| ECQ   | Executive Core Qualifications                |
| EMPA  | Executive Master of Public Administration    |
| F2F   | face-to-face                                 |
| FAO   | foreign area officer                         |
| FAS   | Foreign Area Staff                           |
| FMS   | foreign military sales                       |
| FO    | flag officer                                 |
| FY    | fiscal year                                  |
| GAO   | Government Accountability Office             |
| GCC   | geographic combatant command                 |
| GO    | general officer                              |
| GS    | general services                             |
| IPE   | interprofessional education                  |
| IPSR  | international programs security requirements |
| IW    | irregular warfare                            |
| JP    | Joint Publication                            |
| KLP   | key leadership position                      |
| KSA   | knowledge, skills, and abilities             |

|        |                                                    |
|--------|----------------------------------------------------|
| MAJCOM | major command                                      |
| MCSCG  | Marine Corps Security Cooperation Group            |
| MCTAG  | Marine Corps Training and Advisory Group           |
| MD     | managing director                                  |
| MIT    | Massachusetts Institute of Technology              |
| MOOTW  | military operations other than war                 |
| MPA    | Master of Public Administration                    |
| NDAA   | National Defense Authorization Act                 |
| NDRI   | National Defense Research Institute                |
| NDS    | National Defense Strategy                          |
| NGO    | nongovernmental organization                       |
| NSS    | National Security Strategy                         |
| OSD    | Office of the Secretary of Defense                 |
| PE     | practical exercise                                 |
| PME    | professional military education                    |
| POE    | planning, oversight, and execution                 |
| RAO    | Regional Area Officers                             |
| RAS    | Regional Area Staff                                |
| SA     | Security Assistance                                |
| SC     | security cooperation                               |
| SCEP   | security cooperation engagement plan               |
| SCETC  | Security Cooperation Education and Training Center |
| SCO    | security cooperation office                        |
| SCPC   | Security Cooperation Planners Course               |

|             |                                                      |
|-------------|------------------------------------------------------|
| SCWCP       | Security Cooperation Workforce Certification Program |
| SCWDP       | Security Cooperation Workforce Development Program   |
| SDO/DATT    | senior defense official/defense attaché              |
| SECDEF      | Secretary of Defense                                 |
| SES         | senior executive service                             |
| SME         | subject-matter expert                                |
| SYSCOM      | systems command                                      |
| USAFRICOM   | United States Africa Command                         |
| USCENTCOM   | United States Central Command                        |
| USEUCOM     | United States European Command                       |
| USINDOPACOM | United States Indo-Pacific Command                   |
| USMC        | United States Marine Corps                           |
| VP          | vice president                                       |
| WashU       | Washington University                                |

## Introduction

---

The 2018 National Defense Strategy (NDS) identified perceived shortfalls with professional military education (PME)—specifically that it has stagnated and lacks rigor in training of intellectual leadership and the art and science of war. NDS further states that PME should be used as a strategic asset to build trust and interoperability across the joint force and with allies and partners.<sup>1</sup> In May 2020, the Joint Staff responded with a vision and accompanying guidance of its own that calls for all PME schools to “develop the practical and critical thinking skills our warfighters require” with methodologies such as the “use of case studies grounded in history to help students develop judgment, analysis, and problem-solving skills.”<sup>2</sup>

Along these same lines, the Department of Defense (DoD) security cooperation (SC) workforce is also undergoing reforms. SC constitutes activities with foreign partners to build capacity, promote interoperability, improve U.S. access, and strengthen relationships. SC planners use a variety of tools, including providing training and education opportunities, transferring equipment, providing advisor to strengthen capacity in defense and other security institutions (institutional capacity building), conducting exercises, and so on. SC personnel often need to blend skills associated with defense strategy, regional and country-specific expertise, acquisition, and force development.

---

<sup>1</sup> Joint Chiefs of Staff, *Summary of the 2018 National Defense Strategy of the United States of America*, 2018.

<sup>2</sup> See Joint Chiefs of Staff, *Developing Today's Joint Officers for Tomorrow's Ways of War*, May 1, 2020.

As SC has grown in importance to U.S. national strategy, stakeholders have recognized that DoD needs to devote considerable effort to developing the SC workforce, which is currently comprised of roughly 20,000 positions (8,000 military and 12,000 civilian) across the SC enterprise. Accordingly, in the 2017 National Defense Authorization Act (NDAA), Congress directed the Secretary of Defense (SECDEF) to establish the DoD Security Cooperation Workforce Development Program (SCWDP) to “oversee the development and management of a professional workforce supporting SC programs and activities of the Department of Defense.”<sup>3</sup> The Defense Security Cooperation Agency (DSCA) was given the responsibility to (1) identify and define training and certification requirements for SC positions, (2) establish a professional certification program for the SC workforce in different career tracks and levels of competency, (3) assign appropriately certified personnel in key positions and billets, and (4) establish requirements for training and professional development to achieve specific levels of certification.<sup>4</sup>

As mentioned above, the 20,000-strong SC workforce should more effectively address current and future SC demands. Currently, all members of the SC workforce require certification. Existing DoD training institutions such as the Defense Security Cooperation University (DSCU), Defense Acquisition University (DAU), and others have historically developed specialists in SC functions, such as managing the acquisition and delivery of defense articles and services for international partners. They are less equipped to produce multifunctional generalists capable of developing SC policy and guidance in support of national security objectives, working with interagency partners on whole-of-government approaches, synchronizing U.S. and partner

---

<sup>3</sup> According to DSCA, SC “comprises all 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 (SA) programs, that build defense and security relationships; promote specific U.S. security interests, including all international armaments cooperation activities and SA 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.” See DSCA, undated b.

<sup>4</sup> 10 U.S.C. 384, p. 2526.

nation requirements, and evaluating the best practices and lessons of SC programs and activities.

## **Defense Security Cooperation University's New Certification Program**

A major milestone occurred in September 2019 with the opening of the new DSCU campus in Arlington, Virginia, and a second milestone occurred in January 2020 with the official launch of the new Security Cooperation Workforce Certification Program (SCWCP). The cornerstones of the certification program are progressive training, experience, and continuous learning. DSCA has defined four levels of certification: basic, intermediate, advanced, and expert. While the basic level program is well established and the intermediate level is being tested and refined, the advanced and expert levels are still under development. DSCA has found it particularly challenging to develop courses of instruction (COIs) for the highest level of certification—the expert level—for civilian and military professionals. These individuals require a broad and deep understanding of SC and of SC programs overall, particularly in terms of how SC supports and is supported by national security policies and the national security interagency, as well as executive-level (military and civilian) officials, who manage the overall SC enterprise.

Within this new construct of SC professionalization, DSCA has identified ten SC competencies that describe the knowledge, skills, and abilities (KSA) needed to achieve desired results. These include:

- regional expertise
- SC authorities and programs
- SC strategy and planning
- interagency stakeholders
- SC rules and regulations
- campaign plan goals
- SC tools integration
- SC roles and missions
- national security process
- SC case execution.

In addition, DSCA has identified five areas of concentration (AOCs) that group similar SC functions according to a competency-based training and education curriculum. These include:

- **SC planning, oversight, and execution management:** broad planning, policy development, oversight, and execution of SC activities and programs; as well as management of SC programs, intelligence cooperation, military-to-military engagements, and defense institution building
- **SC case execution management:** building partnership capacity/foreign military sales (BPC/FMS) case execution, including case development, management, and execution (financial, logistics, and training management)
- **SCO operations and management:** SC activities conducted by a security cooperation office (SCO), which would typically include most general services (GS) and military SCO staff and some combatant command (CCMD) staff
- **SC execution support management:** SC execution not in another AOC, including SC support staff, international military student offices, state partnership programs, and so on
- **SC acquisition management:** acquiring defense articles and services using the DoD acquisition process for our international partners, typically by members of the defense acquisition workforce (DAW).

Moreover, DSCA has identified four proficiency levels that reflect increasing responsibility and greater KSA:

- **basic level:** includes general knowledge and understanding of SC
- **intermediate level:** builds on the basics level and the focuses on developing technical knowledge in one AOC in the context of broader SC
- **advanced level:** builds on intermediate level and focuses on increasing technical mastery of one AOC in the context of broader SC

- **expert level:** builds on the advanced level certification and focuses on (1) technical mastery in one AOC, (2) a broad understanding of SC as an instrument of U.S. national security, and (3) cross-training in a second AOC at the intermediate level.

DSCA has defined the requirements for the first two levels and has launched both courses; basic is exclusively online and intermediate is a combination of online and classroom instruction. The certification training requirements for the latter two, advanced and expert, are under consideration.

In addition to the four levels of certification, DSCU offers a four-day executive training course on a rolling basis. According to senior DSCA officials, the course is now farther along the path to becoming better targeted toward executive-level students in both content and delivery. Within its broader slate of SC course offering, in the past year, DSCU omitted and/or consolidated much of the legacy “vocational-level” material in favor of more strategic and interactive courseware and instructional methods. In 2020, DSCU developed and delivered the following courses:

- History of Security Cooperation
- Case Study: Ethics
- Culture Considerations in Security Cooperation
- Interagency Stakeholders
- Security Cooperation Planning and Assessment, Monitoring, and Evaluation (AM&E)
- SC Strategy to Capability
- SC and U.S. Defense Industry Considerations
- Security Cooperation and Great-Power Competition
- Current SC Issues and Trends

With this backdrop and the changes to the executive-level course and new DSCU course offerings in mind, we develop course requirements for expert-level DoD civilian and military SC professionals. *The goal is to identify what they need to know regarding the integration of SC*

*into the national security framework, how best to deliver that instruction, and how this differs from the current SC training offerings.*

## **Principles Guiding the Study**

Following a review of relevant legislation, policy guidance, and academic literature and consultations with our DSCU sponsor, we decided on the following five principles, which accorded with the authors' previous SC research, as the basis for our study design. First, there is a need to further professionalize the diverse SC workforce, and the current approach is not optimal. Second, centrally managed, progressive, multilevel training and education (along with continuous learning and opportunities for broadening experiences) is the best approach to professionalizing the SC workforce. Third, DoD does not provide adequate preparation to SC professionals in senior advisory positions (i.e., experts) to enable them to have a broad understanding of SC as an instrument of national security. Fourth, training and education are necessary components of expert preparation; experience is also necessary but insufficient. Finally, there is a need to look both inside and outside DoD to understand what experts need to know and how they should be trained and educated.

## **Key Issues**

Prior to implementing a COI for SC experts, DSCA and other major SC stakeholders need to collectively grapple with several key issues that could shape the direction of what it means to be an SC expert and how a cadre of such experts should be trained and educated: (1) the balance between the need for deep and broad knowledge at the expert level; (2) the tension between inculcating an array of SC KSA in a relatively small group of experts and practical considerations, such as the limited availability of senior SC professionals, and the high costs of extended in-person education; and (3) the challenge of providing a high quality SC education within the context of military and civilian training cycles and job demands that affect SC professionals and are largely outside of DSCA's control. These issues are discussed briefly below.

### Balancing Deep and Broad Knowledge

There are generally two types of knowledge that could be applied to SC: *in-depth knowledge* in a particular subject area often developed over years of formal and on-the-job training and education; and *broad knowledge*, which usually requires less time-consuming and rigorous formal training and can, to a certain extent, be acquired through interactions with colleagues in other disciplines and self-education. This deep/broad distinction is implicitly reflected in DSCU's certification program, which requires in-depth training in one AOC, such as SC planning, oversight, and execution (POE), but also ensures that all SC professionals receive at least a basic level of exposure to the nine workforce competencies that underlie all four AOCs mentioned above (these include, among others, country/regional orientation and awareness, strategy and policy development, and sales and transfers). In the case of SC experts, the current certification guidelines indicate that they must be trained in a primary AOC at the advanced level and cross-trained in a secondary AOC at the intermediate level. The guidelines do not say which AOCs should be emphasized, if any, when it comes to developing a cadre of SC experts. The assumption seems to be that all AOCs are of equal value at the highest level, although the position requirements for experts may demand a deeper knowledge of the competencies associated with some AOCs more than others. However, the position requirements for experts may call for deep knowledge in some AOCs more than others.

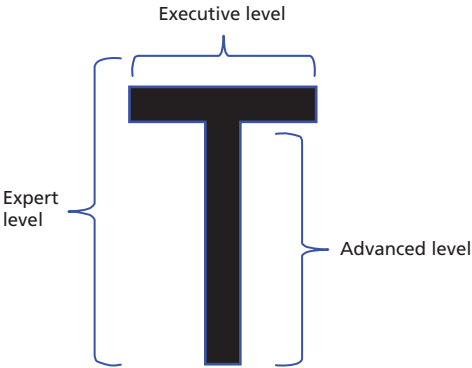
Thus, one issue for SC educators and the larger SC community is how deep should expert knowledge be? Is an advanced level of knowledge sufficient? Or is there an extra bit of knowledge within an AOC that experts should possess? Another issue is how broad should expert knowledge be? Should it require an intermediate level of knowledge in a second AOC and, if so, in which one? Or should their breadth of common knowledge encompass a wider, but more selective, set of subject areas? Finally, in the course of SC professionals' careers, when should they develop deep and broad knowledge? Presumably, a good deal of this knowledge would be developed before they move to the expert stage. But what realm of knowledge, if any, should be set aside for the final stage of the training and education process?

Related to the issue of balancing depth and breadth in expert education is the need to distinguish more clearly between the training and education requirements for advanced-, expert-, and executive-level positions. If an advanced-level professional is a technical master and an executive provides strategic direction and oversight across functional areas, then an expert presumably bridges the gap between specialist and generalist. It may be helpful to think of an SC expert as being “T-shaped” (i.e., deep and broad) and the advanced professional as having greater emphasis on depth while the executive professional would have greater emphasis on breadth (see Figure 1.1). If looked at in this way, depth is a prerequisite for expertise, and what those striving for expert status primarily require is broadening.

**Balancing Desired Course Content and Design with Practical Considerations**

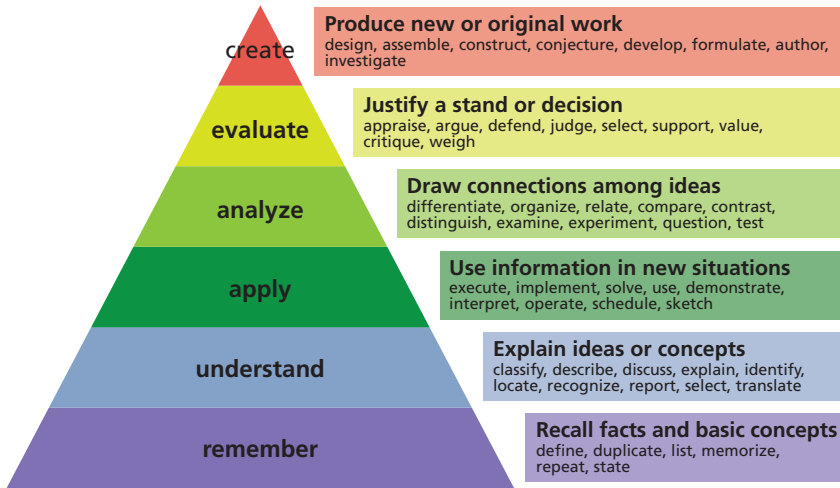
A second challenge in developing this—or any—course is the interplay between course content and design. Course content encapsulates the specific areas of KSA that students should develop in the course. According to the widely referenced Bloom’s taxonomy, content can be characterized along a hierarchy beginning with foundational learning

**Figure 1.1**  
**“T-Shaped” Leader: Distinguishing Among Expert, Advanced, and Executive Levels of Security Cooperation Professionals**



NOTE: Expertise is T-shaped: deep and broad.

**Figure 1.2**  
**Bloom's Taxonomy**



SOURCE: Patricia Armstrong, "Bloom's Taxonomy," Vanderbilt University Center for Teaching, webpage, undated (CC BY 2.0).

(recalling facts and explaining ideas) and building to complex learning (evaluating a position and creating new direction).<sup>5</sup> SC experts need to address content at all levels of Bloom's taxonomy (see Figure 1.2), from learning about SC authorities or a new region to solving problems using knowledge from across the enterprise.

Course design has to do with the delivery of the course, such as whether participants work independently or as a group, join in person or remotely, listen to lectures or collaboratively solve problems in case studies. Education research shows that some modes of instruction are particularly effective for learning content. For example, listening to instructor lectures is effective for acquiring information (remembering and understanding). Alternatively, hands-on practice in unfamiliar situations,

<sup>5</sup> D. R. Krathwohl, B. S. Bloom, and B. B. Masia, *Taxonomy of Educational Objectives: The Classification of Educational Goals. Handbook II: The Affective Domain*, New York: David McKay Company, 1964; Lorin W. Anderson and David R. Krathwohl, eds., *A Taxonomy for Learning, Teaching, and Assessing: A Revision of Bloom's Taxonomy of Educational Objectives*, New York: Longman, 2001.

such as analysis of case studies or on-the-job problem-solving, optimizes transfer of skills from a known to an unknown setting (applying information, the third stage of “Bloom’s Taxonomy”).<sup>6</sup> As the goal of the SC expert course is to acquire cross-enterprise knowledge and develop strategic thinking in unfamiliar contexts, traditional lecture-oriented instruction may be necessary, but it will not be sufficient.

Ideally, content would drive design. For example, if DSCA expects experts to know and understand SC as an instrument of U.S. national security, courses designed around reading and lecture would be sufficient. If DSCA expects experts to apply this knowledge, analyze situations, identify and evaluate solutions, and create new solutions in their work, course design should include opportunities to practice these skills by using case studies, on-the-job assignments, collaborative problem-solving, and similar strategies.

However, sometimes pragmatic constraints (e.g., costs, availability of participants) have priority and thus affect the design of the course. For example, potential participants might not be able to leave their worksite for the in-person learning sessions that best support networking and peer learning. Therefore, one goal in developing this expert-level course is to find a balance between optimal instruction and realistic constraints.

### **Balancing Security Cooperation Educational Requirements with External Training and Job Demands**

A third challenge arises from the fact that the SC training and education establishment does not exist as an ivory tower isolated from the rest of DoD. Rather it must operate in an environment where SC professionals, military and civilian, face competing pressures for their time stemming from external training and job demands over which DSCA has little to no control. Traditionally, DSCA and other SC training providers have dealt with this challenge by developing relatively short duration, in-residence training courses (a few days to a few weeks) in

---

<sup>6</sup> Justin M. Dubas and Santiago A. Toledo, “Taking Higher Order Thinking Seriously: Using Marzano’s Taxonomy in the Economics Classroom,” *International Review of Economics Education*, Vol. 21, 2016.

specific functional areas so as to accommodate the busy schedules and immediate needs of their students. More recently, they have added online courses to provide background and supplementary information on various SC topics, which can be accessed at students' convenience. To this point, however, SC educators have not squarely addressed the question of whether this piecemeal approach to learning is appropriate for developing a cadre of experts with deep and broad SC knowledge, a range of relevant skills and abilities, and personal relationships that enable them to intellectually and practically connect their activities to larger national security goals. In other words, is something akin to a civilian university or military war college master's degree in SC needed for this select group of people?

But establishing a year- or years-long in-situ COI for midcareer professionals poses substantial risks. An expert-level course for a duration that does not align with career progressions and training cycles could lead to empty classrooms, no matter how outstanding the content. The dilemma is heightened among the target audience of the expert-level course, which would presumably include both civilian and military personnel—each of whom have different training cycles. Some civilians may have flexibility, either to undertake dedicated training or coursework by taking time away from their normal positions or to take on extracurricular education, completing courses during their free time. For others, job demands may preclude long stints away from the office or limit free time needed to pursue extracurricular options. For their part, military personnel tend to have more rigid and regulated training cycles, with time scheduled for different types of training modules at different times throughout a career progression. Extracurricular learning is often challenging, as is taking time away from a scheduled assignment for training. For most military personnel, training must be slotted into established rhythms.

Meeting the challenge of developing high-quality SC expert education within a context of competing DoD pressures on a diverse study body will require DSCA to engage with training officials and leaders inside and outside the SC community. If an expert COI is to be more than a brief interlude sandwiched between existing training and operational assignments, then DoD processes external to the SC domain

will probably need to be modified to accommodate a more expansive educational concept. Ways this might be done without creating overwhelming systemic resistance are discussed in Chapter Five.

## Study Approach

The team approached the research for this study by undertaking four tasks. In task 1, we investigated the training requirements for expert-level SC professionals, reviewed the literature on SC professional qualifications, training, and education, and considered the DoD SCWCP. We conducted interviews and panel discussions with senior experienced SC professionals in a variety of SC roles to understand the training and education requirements from their perspective.<sup>7</sup> Concurrently, in task 2, we reviewed the literature on executive education, conducted interviews outside of DoD, and conducted several deep-dive case studies to identify lessons and best practices that could be applied to the SC expert-level course. Task 3 involved outlining the key elements of an expert COI including course objectives, design, duration, and associated costs. Task 4 offers some ideas for implementing the COIs and the pros and cons associated with each option.

## Study Limitations

There are several limitations to the approach we used to develop course requirements for expert-level SC professionals. With respect to task 1, DSCA's rather abstract definition of SC "expert" sometimes made it challenging for the study team to discern when subject-matter expert (SME) interviewees were ascribing positions, or KSA to one group versus another or to more than one group of senior professionals. Also, our sample of SC interviewees was deliberately skewed toward current and former policy officials (who our sponsor believed were well suited to

---

<sup>7</sup> All interviews and panel discussions were conducted in accordance with RAND's Human Subject Protection Committee guidance.

assessing expert knowledge and training requirements) and did not include a representative number of officials involved in SC programming and implementation; this may have led to a policy-oriented bias in the team's interview findings. See Chapter Three for a more detailed discussion of these limitations.

Our analysis of best practices in expert-type education and training (task 2) was limited to some extent by the inexact parallel between DSCU's current four-level professional certification structure and the corporate and university executive training and education programs that we examined for relevant insights. Also, although the adult education literature that we examined is extensive, the methods used by adult education researchers have not always led to definitive results. Thus, we have been careful to indicate the degree of confidence associated with our best practice findings. See Chapter Four and Appendix C for more information on these limitations.

Due to the lack of pertinent policy guidance, we could not draw on officially approved SC expert training and education objectives as the basis for our tasks analysis of key expert course components. Instead, we derived our objective hierarchy inductively through discussions with our DSCU sponsor and SC interviewees, as well as research in adult education. Finally, our analysis of time and cost considerations related to expert training and education alternatives is based on a qualitative comparison of selected SC and cross-sector training and education programs rather than on a detailed quantitative examination of the elements required for an SC expert course. As a result, the findings described in Chapter Five are more suggestive than robust.

## **Report Organization**

Chapter Two discusses the requirements for SC expert-level training and education. The chapter provides an overview of the guidance and legislation for SC professional education and training and then summarizes the rather limited literature on SC training and education. Chapter Three reports the findings from many key informant interviews with senior SC professionals. Chapter Four discusses best

practices for SMEs from outside of DoD. It considers how organizations outside of the SC enterprise approach training senior SMEs and identifies the practices that are most relevant to SC. Chapter Five discusses the expert-level course options and identifies some ways to implement this training. Appendix A details the interview protocols the team used for this study. Appendix B offers a list of complicated SC case studies, which were suggested by a number of officials we interviewed and which could be included within the expert-level course. Appendix C provides the standards of evidence we used to review the adult education literature. Appendix D provides an overview of the United States Marine Corps' (USMC's) Security Cooperation Planners Course (SCPC) and four non-DoD adult education programs/courses that were used as case studies for this report.

## **Review of the Policy and Academic Literature for Security Cooperation Professional Training and Education**

---

Both defense legislation and policy guidance call for a need to reform the SC workforce and ensure that all SC professionals have the necessary KSA. This chapter addresses the legislation and policy guidance for SC professional level education and training and then discusses the rather limited government and academic literature to provide background and context. Continuing on from the discussion in Chapter One, this chapter begins by detailing the increased interest among DoD policymakers and academics in SC workforce professionalization and discusses the broader context of challenges in SC planning, resource management, execution, and AM&E. The chapter provides an overview of three current training examples, one within DAU, another within the Marine Corps, and the third taught by the Defense Institute for Security Cooperation Studies (DISCS)/DSCU, for SC professionals at the intermediate level. These courses could be precursor courses to both advanced- and expert-level training.

### **Security Cooperation Legislation and Policy Guidance**

#### **Impetus for Legislative Direction/Mandate**

As mentioned in Chapter One, the fiscal year 2017 (FY 2017) NDAA directed DSCA, via SECDEF, to initiate the DoD SCWDP. It did so with the following intent:

to improve the quality and professionalism of the security cooperation workforce in order to ensure that the workforce—

- (1) has the capacity, in both personnel and skills, needed to properly perform its mission, provide appropriate support to the assessment, planning, monitoring, execution, evaluation, and administration of security cooperation programs and activities . . . , and ensure that the Department receives the best value for the expenditure of public resources on such programs and activities; and
- (2) is assigned in a manner that ensures personnel with the appropriate level of expertise and experience are assigned in sufficient numbers to fulfill requirements for the security cooperation programs and activities of the Department of Defense and the execution of security assistance programs and activities described in subsection (a)(2).<sup>1</sup>

Additionally, Congress directed SECDEF to provide unambiguous guidance within one year to address such issues as career paths, a mechanism to identify and define training and certification requirements and a program to manage them, and establishment of a school to accomplish this.<sup>2</sup> Furthermore, Congress explicitly defined the SC workforce to include:

- (1) Members of the armed forces and civilian employees of the DoD working in the Security Cooperation Offices of United States missions overseas.
- (2) Members of the armed forces and civilian employees of the DoD in the geographic combatant commands and functional combatant commands responsible for planning, monitoring, or conducting security cooperation activities.
- (3) Members of the armed forces and civilian employees of the DoD in the military departments performing security cooperation activities, including activities in connection with the acquisition and development of technology release policies.

---

<sup>1</sup> 10 U.S.C. 384, p. 2526.

<sup>2</sup> 10 U.S.C. 384, p. 2526.

- (4) Other military and civilian personnel of Defense Agencies and Field Activities who perform security cooperation activities.
- (5) Personnel of the DoD who perform assessments, monitoring, or evaluations of security cooperation programs and activities of the DoD, including assessments.
- (6) Other members of the armed forces or civilian employees of the DoD who contribute significantly to the security cooperation programs and activities of the Department of Defense by virtue of their assigned duties.

This legislation did not come as a surprise to DoD officials. It was foreshadowed in Congressional Research Service (CRS) and Government Accountability Office (GAO) reports, as well as in a few think tank reports. In August 2016, a CRS report explained that DoD officials lamented that the increasingly complex task of making coordinated and timely implementation of foreign assistance programs is difficult. Although some analysts fault the system, others argue that a lack of adequate staffing and training is to blame.<sup>3</sup> CRS suggests three options for Congress: (1) reevaluating SC staffing at embassies, (2) establishing a career path, and (3) introducing SC training for those working on these issues, namely at embassies and CCMDs.<sup>4</sup>

Then in November of 2016, CRS conducted a “Comparison of Proposed Provisions for the FY 2017 NDAA.”<sup>5</sup> It offers some useful background on the statutory revisions.

The growth of DoD’s range of SC activities—and the evolution in DoD thinking about building foreign partner capability—has led some observers to conclude that a new, dedicated SC workforce is necessary. Such a workforce could arguably enable the U.S. government to design and execute locally appropriate

---

<sup>3</sup> CRS, “DoD Security Cooperation: An Overview of Authorities and Issues,” Washington, D.C., August 2016, p. 19, emphasis added.

<sup>4</sup> CRS, 2016, p. 19.

<sup>5</sup> Liana Rosen, Kathleen J. McInnis, Bolko J. Skorupski, and Lauren Ploch Blanchard, *Security Cooperation: Comparison of Proposed Provisions for the FY2017 National Defense Authorization Act (NDAA)*, Washington, D.C.: Congressional Research Service, November 2016.

SC programs that are tailored to a broad range of partner requirements. According to such views, arm sales are often desirable, but insufficient to build sustainable foreign security forces capacity, which may variously require defense institution capacity building support, including the development of new or reformed defense strategies, or a modern human resources system. The professionalization and adaptation of a DoD SC workforce that can support such programs and activities, which are outside DSCA's areas of core security assistance competence, may enable DoD—and the U.S. government more broadly—to advance its strategic goals with foreign partner countries.<sup>6</sup>

### Identification of Training Shortfalls

GAO examined SC training shortfalls, in particular in SCOs.<sup>7</sup> In a 2012 report, GAO pointed out that “DoD recognized the need for improved training and workforce management as early as 2009, when the Deputy Secretary of Defense included efforts to improve security cooperation training in his top 10 Office of Management and Budget high priority performance goals for 2010 and 2011.”<sup>8</sup> Then in early 2017, a GAO report on BPC highlighted previous RAND research on the limited experience of military members working in SCOs, again implying training shortfalls.<sup>9</sup> GAO also completed a report on FMS in August 2017, which noted that both the workforce and workload (particularly the processing of FMS cases) increased, while DSCA's work-

---

<sup>6</sup> Rosen et al., 2016.

<sup>7</sup> GAO, “DoD's Ongoing Reforms Address Some Challenges, but Additional Information Is Needed to Further Enhance Program Management,” Washington, D.C., GAO-13-84, November 16, 2012, p. 10.

<sup>8</sup> GAO, 2012, p. 10.

<sup>9</sup> GAO, *Building Partner Capacity: Inventory of Department of Defense Security Cooperation and Department of State Security Assistance Efforts*, Washington, D.C., GAO-17-255R, March 24, 2017; David E. Thaler, Michael J. McNerney, Beth Grill, Jefferson P. Marquis, and Amanda Kadlec, *From Patchwork to Framework: A Review of Title 10 Authorities for Security Cooperation*, Santa Monica, Calif.: RAND Corporation, RR-1438-OSD, 2016, pp. 11–12; Jennifer D. P. Moroney, David E. Thaler, and Joe Hogler, *Review of Security Cooperation Mechanisms Combatant Commands Utilize to Build Partner Capacity*, Santa Monica, Calif.: RAND Corporation, RR-413-OSD, 2013.

force did not keep pace.<sup>10</sup> Additionally, it criticized DSCA, saying that it had “not yet developed a workforce plan that could help identify any skill or competency gaps in its workforce. Officials said they planned to do so by May 2018.”<sup>11</sup>

The study team also reviewed the DoD Inspector General (DoDIG) repository of reports and audits pertaining to SC. Only one addresses the training of the SC workforce. In a 2019 audit, DoDIG criticized the U.S. Army for not providing sufficient training to regionally aligned forces charged with conducting SC-related missions in Africa; areas that needed to be addressed included: “cultural awareness training, instructor training to enable the teaching and advising of skills and tactics to partner nations, and training on our African partners’ environments or militaries.”<sup>12</sup>

### Limited Executive Branch Guidance

At the national level, the president’s 2017 National Security Strategy emphasized the importance of cooperation and burden sharing, but did not offer details on the provision or mechanics of SC.<sup>13</sup> SECDEF’s 2018 NDS followed suit, as did the Chairman of the Joint Chiefs of Staff’s (CJCS’s) 2018 National Military Strategy.<sup>14</sup>

Within the DoD there are several directives (DoDDs) and instructions (DoDIIs) related to SC. The most useful to the topic of SC training is DoDD 5105.65, “DSCA,” which directs the agency to “ensure the DoD security cooperation workforce possesses the skills required

---

<sup>10</sup> GAO, *Foreign Military Sales: DoD Needs to Improve Its Use of Performance Information to Manage the Program*, Washington, D.C., GAO-17-703, August 2017, p. 12. GAO acknowledged that, as DSCA explained to them, these measures are an oversimplification and fail to account for numerous factors outside the control of those organizations.

<sup>11</sup> GAO, 2017.

<sup>12</sup> DoDIG, “(U) Audit of the Training of the Army’s Regionally Aligned Forces in the U.S. Africa Command,” Washington, D.C., June 18, 2019, DoDIG-2019-096, p. 11.

<sup>13</sup> Donald J. Trump, “National Security Strategy of the United States of America,” Washington, D.C.: The White House, December 2017.

<sup>14</sup> Joint Staff, 2018. The CJCS also has a series of instructions (CJCSI) for the joint force, but nothing directly related to SC or international affairs.

to develop partner country capabilities in support of U.S. theater and global objectives.”<sup>15</sup> Another key DoDD is 5132.03, “DoD Policy and Responsibilities Relating to Security Cooperation,” which gives a passing mention of SC workforce training responsibilities for the director, DSCA; the military departments; and CJCS.<sup>16</sup> Beyond formal training, it points out that “personnel in the field should draw upon support from relevant subject matter experts throughout the DoD to ensure effective planning, execution, and evaluation.”<sup>17</sup> This recommendation is telling in that it highlights the importance of SMEs and implies the importance of on-the-job training. It also suggests, on a more nuanced level, that SMEs should have the interpersonal skills to provide guidance and possibly mentorship to those in the field. DoDI, 5132.13, “Staffing of Security Cooperation Offices and the Selection and Training of Security Cooperation Personnel,” offers additional detail on training responsibilities, but, as evidenced by its title, is much more narrowly scoped. Republished after the FY 2017 NDAA had taken effect, its Enclosure 2 explicitly addresses the training responsibilities of all stakeholders, including the director, DSCA; the Undersecretary of Defense for Acquisition, Technology, and Logistics (now Acquisition and Sustainment); the military departments; CJCS; the geographic combatant commands (GCCs); senior defense officials/defense attachés (SDOs/DATTs); and even the commandant of the Defense Institute for Security Assistance Management (DISAM) (now part of DSCU).<sup>18</sup>

While not directly focused on SC workforce training, the 2017 DoDI 5132.14 on *Assessment, Monitoring, and Evaluation Policy for the Security Cooperation Enterprise*, which will be discussed in the follow-

---

<sup>15</sup> DoDD 5105.65, *Defense Security Cooperation Agency (DSCA)*, October 26, 2012, p. 4

<sup>16</sup> DoDI 5132.13, *Staffing of Security Cooperation Offices (SCOs) and the Selection and Training of Security Cooperation Personnel*, January 9, 2009, pp. 8–11.

<sup>17</sup> DoDD 5132.03, *DoD Policy and Responsibilities Relating to Security Cooperation*, December 29, 2016, p. 4.

<sup>18</sup> DoDI 5132.13, January 9, 2009.

ing section, highlights the need for SC professionals to be able to perform these tasks.<sup>19</sup>

## **Security Cooperation Literature on Training and Educating Security Cooperation Professionals**

### **Training Security Cooperation Partners Rather than Training the Security Cooperation Workforce**

The first step in understanding the requirement for SC training, expert or otherwise, was to examine where previous or current training may fall short. To this end we conducted a literature review across a broad array of sources including reports from the leading think tanks and articles and papers written by military officers who have worked in the field. More specifically, we asked what gaps, if any, had been identified in the training and education of members of the SC workforce.

The most useful academic literature consists primarily of think tank reports and papers written by SC workforce members while attending military schools, many published in military journals. While “training” comes up in almost every piece, it is overwhelmingly focused on the delivery of training to partners, rather than on the training of the U.S. SC workforce. RAND has a substantial body of research on SC, but it is overwhelmingly focused on broader issues of more effective SC rather than on developing the SC workforce. In fact, RAND was involved in initial efforts examining the difference between what is possible and what should be required of the SC workforce in 2018, following the enactment of the FY 2017 NDAA.<sup>20</sup> One of RAND’s major contributions is with the numerous AM&E reports for the Office of the Secretary of Defense (OSD), the Army, Air Force, DSCA, and CCMDs. Many RAND reports have focused on AM&E

---

<sup>19</sup> DoDI 5132.14, *Assessment, Monitoring, and Evaluation Policy for the Security Cooperation Enterprise*, January 13, 2017.

<sup>20</sup> M. Wade Markel, Jefferson P. Marquis, Peter Schirmer, Sean Robson, Lisa Saum-Manning, Katherine C. Hastings, Katharina Ley Best, Christina Panis, Alyssa Ramos, and Barbara Bicksler, *Career Development for the Department of Defense Security Cooperation Workforce*, Santa Monica, Calif.: RAND Corporation, RR-1846-OSD, 2018.

frameworks to help the workforce to quickly get up to speed and be able to apply good AM&E practices in a systematic and rigorous way. RAND reports argue that the department needs to introduce rigor into its AM&E processes and offer a plethora of approaches that could help.<sup>21</sup>

The Center for International and Strategic Studies (CSIS) has produced reports on the need for viable career paths for both civilian and military personnel who work on SC, including associated training.<sup>22</sup> After the FY 2017 NDAA passed, CSIS assessed that the legislation requires a generational commitment and a cultural shift to recognize and incentivize DoD's SC community to recognize SC as a tool of national strategy that ranges from competing with Russia and China to countering terrorism.<sup>23</sup> Finally, the report points out that the many "operational elements" of the military that have important roles, but are disconnected would benefit significantly from sharing training and curriculum.<sup>24</sup>

While there is plenty of writing about SC in papers by military officers, there is surprisingly little about how those tasked to execute SC are, or are not, trained. However, one particularly interesting insight was not so much about gaps in training of the SC workforce,

---

<sup>21</sup> See Angela O'Mahony, Ilana Blum, Gabriela Armenta, Nicholas Burger, Joshua Mendelsohn, Michael J. McNerney, Steven W. Popper, Jefferson P. Marquis, and Thomas S. Szayna, *Assessing, Monitoring, and Evaluating Army Security Cooperation: A Framework for Implementation*, Santa Monica, Calif.: RAND Corporation, RR-2165-A, 2018; Jefferson P. Marquis, Michael J. McNerney, S. Rebecca Zimmerman, Merrie Archer, Jeremy Boback, and David Stebbins, *Developing an Assessment, Monitoring, and Evaluation Framework for U.S. Department of Defense Security Cooperation*, Santa Monica, Calif.: RAND Corporation, RR-1611-OSD, 2016; and Jennifer D. P. Moroney, Joe Hogler, Jefferson P. Marquis, Christopher Paul, John E. Peters, and Beth Grill, *Developing an Assessment Framework for U.S. Air Force Building Partnerships Programs*, Santa Monica, Calif.: RAND Corporation, MG-868-AF, 2010.

<sup>22</sup> Melissa Dalton, "Reforming Security Cooperation," Washington, D.C.: Center for Strategic and International Studies, 2016.

<sup>23</sup> Melissa G. Dalton, Hijab Shah, Tommy Ross, and Asya Akca, *Shifting the Burden Responsibly: Oversight and Accountability in U.S. Security Assistance*, Washington, D.C.: Center for Strategic and International Studies, April 2019, p. 27.

<sup>24</sup> Dalton et al., April 2019, pp. 27–28.

but instead about gaps in SC training provided to operational planners. The author, a student at the Joint Advanced Warfighting School, a joint planning course, lamented that “there is no Joint Publication (JP) that consolidates security cooperation concepts and provides fundamental principles to guide the U.S. military in the planning and execution of security cooperation activities.”<sup>25</sup> He cited the 2010 Security Cooperation Reform Task Force and conducted a detailed review of SC curriculum content at the war colleges to make his point.<sup>26</sup> He attributed the lack of attention to SC at these institutions to three things: a reluctance to accept SC as a core activity, limited doctrinal guidance, and limited personnel versed in strategic SC application.<sup>27</sup> However, the issuance in 2017 of JP 3-20, “Security Cooperation” now provides a loose doctrinal foundation for SC training and education, though the emphasis is primarily on improving DoD planning.<sup>28</sup>

In addition to the think tank and other academic reports, we sought to determine the extent to which the SC enterprise or other DoD organizations focus on training and educating senior members of their workforces. We looked at the principal components of that training and how, if at all, that training sought to instill an understanding of the role of SC as an instrument of U.S. national security. As noted above, there are several ongoing courses to train SC professionals at the intermediate level across the DoD. We chose to highlight three of these below, but there are, of course, others.

### **The Defense Acquisition Workforce Improvement Act as a Model**

The best analogues in DoD for SC workforce reform are the Defense Acquisition Workforce Improvement Act (DAWIA) and its resulting DAW education, training, experience, and career development program.

---

<sup>25</sup> Terry Baggett, “Security Cooperation and Professional Military Education: Developing Better Theater Campaign Planners,” thesis, Norfolk, Va.: Joint Advanced Warfighting School, 2012, pp. 47 and 39.

<sup>26</sup> Baggett, 2012, p. 18.

<sup>27</sup> Baggett, 2012, p. 56

<sup>28</sup> Chairman, Joint Chiefs of Staff, *Security Cooperation*, Washington, D.C., JP 3-20, May 23, 2017.

Congress passed DAWIA in 1990 to address acquisition scandals in the 1980s. The act sought to control the size and quality of the acquisition workforce by imposing tracking, counting, and training requirements on both military and civilian personnel.<sup>29</sup> DoDI 5000.66 governs the program and is complemented by the *Defense Acquisition Workforce Program Desk Guide*.<sup>30</sup> The instruction includes an explanation of the three certification levels “based on their complexity, authority, and impact on defense acquisition programs, and not solely on a position’s grade or rank.”<sup>31</sup> DAU manages these certifications, which consist of:

1. Basic (level I): Basic certification standards are reflective of fundamental competencies for the position. In addition to participating in education and training courses, individuals are expected to develop their required competencies through relevant on-the-job experience, including rotational assignments.
2. Intermediate (level II): Competencies at the intermediate level emphasize functional specialization. Individuals at this level are expected to have and apply journeyman level acquisition-related skills. Broadening experiences provide the competencies and skills necessary to assume positions of greater responsibility. This may involve multifunctional experience and development.
3. Advanced (level III): This level is typically assigned to positions located in DoD Components’ organizations with a primary acquisition mission and where the duties require a high level of acquisition knowledge and skills.<sup>32</sup>

However, certification is only part of the story. The broader program is built upon the coding of DAW positions, which is primarily

---

<sup>29</sup> Susan M. Gates, *Shining a Spotlight on the Defense Acquisition Workforce—Again*, Santa Monica, Calif.: RAND Corporation, OP-266-OSD, 2009, pp. 7–8.

<sup>30</sup> Under Secretary of Defense, Acquisition Technology and Logistics, Human Capital Initiatives, *Defense Acquisition Workforce Program Desk Guide*, July 20, 2017.

<sup>31</sup> DoDI 5000.66, *Defense Acquisition Workforce Education, Training, Education, Experience and Career Development*, July 27, 2017, p. 27.

<sup>32</sup> DoDI 5000.66, July 27, 2017, p. 27.

a function of DoD judgment.<sup>33</sup> These then guide acquisition career progression with requirements to serve in critical acquisition positions (CAPs) and more senior, but fewer, key leadership positions (KLPs). Both KLPs and CAPs carry additional requirements, on top of certification, to maximize professional experience as well.<sup>34</sup> It is worth noting that although DSCA examined DAWIA and its results thoroughly for its applicability to SC training and education, it has thus far chosen to pursue a four- rather than three-tiered certification construct by adding an “expert” layer, which would indicate senior SC officials’ “broad understanding of SC as an instrument of U.S. national security.” That said, DAW reforms continue to provide a useful model for the SC workforce professionalization program.

### **United States Marine Corps: Security Cooperation Planners Course**

The Marine Corps Security Cooperation Group (MCSCG) course is designed to “provide Joint Force, Interagency, Theater Security Cooperation Officers [Marine Corps Forces Command (service component headquarters)], Security Cooperation Planners, Regional Planners, Foreign Area Officers (FAO), Regional Area Officers (RAO), Foreign Area Staff Non-commissioned Officers (FAS), and Regional Area Staff Non-commissioned Officers (RAS) with the ability to analyze national, regional, interagency, joint, maritime, and Marine Corps policy and guidance to identify common objectives and apply planning considerations to the development and execution of engagement plans that achieve U.S. stated objectives and end states.”<sup>35</sup>

The Marine Corps has a long history of involvement in irregular warfare (IW), small wars, and military operations other than war (MOOTW). As Operation IRAQI FREEDOM and Operation ENDURING FREEDOM concluded, the service recognized a need to preserve lessons learned from those campaigns, with a particular focus on advising and partnership. As a result, in 2011, it reorganized

---

<sup>33</sup> Some positions, such as contracting, are coded in statute (10 U.S.C. Chapter 87).

<sup>34</sup> See DoDI 5000.66, July 27, 2017, Table 1: Additional Requirements for KLPs and CAPs

<sup>35</sup> MCSCG, “Security Cooperation Planner’s Course Quicklook,” September 23, 2019.

its IW and SC organizations, combining the Security Cooperation Education and Training Center (SCETC), focused primarily on security assistance, with the Marine Corps Training and Advisory Group (MCTAG), focused primarily on advisor training and employment, to create MCSCG. The merger, in part, resulted from a need for a greater service focus on SC.<sup>36</sup> SCPC was developed, with input from DISCS, to help satisfy this need.

Course attendance is noncompetitive, other than demand typically exceeding supply for available seats. The course is open to other services, and each session typically includes a few officers from other services as well as occasional government civilians. As highlighted in the purpose above, SCPC is designed to focus on the operational level, in particular on the Marine Forces component commands. However, those headquarters account for a very small portion of the Marine Corps, and their role is not widely understood, even within the service. As a result, it is not uncommon for marines assigned as tactical advisors to attend the course when what they really need is training on tactical advising rather than operational-level SC planning.<sup>37</sup> Class size is limited to 32, and composition varies widely from noncommissioned officers up through field grade officers. A secret security clearance is required, because the course makes extensive use of “real-world” guidance and planning documents.

Additionally, students are required to complete the DISCS online modules for international programs security requirements (IPSR) and FMS process. The course meets for only five days, so it does not present much of an opportunity to build a cohort. However, individual relationships are initiated, and it is typical for the course managers to receive questions from a few students in each class following the conclusion of the course. MCSCG puts on six courses per year, usually half at its home station in Virginia Beach, Virginia, and the others are

---

<sup>36</sup> USMC, “Institutionalization, Consolidation, and Strengthening of Marine Corps Irregular Warfare (IW) and Security Cooperation (SC) Organization,” MARADMIN No. 454/11, August 11, 2011.

<sup>37</sup> Jonathan C. Welch, Senior Policy Analyst, RAND Corporation, interview with MCSCG staff, January 15, 2020.

delivered via mobile training teams, depending on the needs of the Marine Corps.

The primary objective of the course is to train students to be able to develop a security cooperation engagement plan (SCEP).<sup>38</sup> The course is built around lectures, panel discussions, and a series of practical exercises, which guide students' creation of key parts of a SCEP.<sup>39</sup> Practical exercises (PEs) are a critical hands-on part of the curriculum. PEs and their debriefs account for over 25 percent of the instructional hours and require students to analyze SC documents, from the national level on down, classified and unclassified, to build toward a tailored SCEP. They are conducted in groups of about eight, each with an MCSCG staff member facilitating.<sup>40</sup> Instructors and facilitators are primarily permanent staff members at MCSCG, both uniformed and civilians. Instructors have at a minimum attended the course previously, but typically have additional expertise relevant to their area of instruction. This obviously varies based on their career path, how far along they are into their assignment at MCSCG, and so on.<sup>41</sup> The lectures and exercises are complemented by a panel discussion, which provides additional expert insight and real-world examples, but varies based on instructor and lecturer availability. Students are not formally evaluated by a written or oral exam. They provide course feedback on the final day of the course, as well as follow-on feedback upon returning to their parent commands or assumption of their subsequent assignment.

The level of this course is not of direct relevance to DSCU, but its methods and content could be useful. The method of delivery is a lecture, followed by practical exercise; this is repeated throughout the course and gives students a chance to receive information and then immediately apply it. The content is focused on planning and on

---

<sup>38</sup> MCSCG, 2019.

<sup>39</sup> MCSCG, 2019.

<sup>40</sup> Interview and SCPC 20-2 Schedule of Events.

<sup>41</sup> It is important to note that it is comparatively rare for marine officers to spend time assigned to Offices of Defense Cooperation or anywhere in embassies for that matter. They are most commonly assigned as naval/marine attachés, in particular to countries with a robust naval and or naval infantry/marine force.

teaching students methods for developing SCEPs. SCEPs are country-specific and comprehensive. Given USMC's role in SC, which is much more focused on BPC than security assistance, SCEPs tend to reflect that approach. Based on the interviews we conducted, we found that the most common frustration of interviewees was a deficiency in planning knowledge—not just SC planning, but incorporating SC into planning in general. This course is both lauded and certified by DISCS for its approach to incorporating SC in operational-level planning, with a focus on the service components, which is really the critical node for that function.

**Defense Institute for Security Cooperation Studies: Intermediate Security Cooperation Planning, Oversight, and Execution Course**

Planning, Oversight, and Execution (POE) 201 is a new course, developed in 2019 and designed to incorporate some of the changes that came out of the FY 2017 NDAA. DISCS (now DSCU) ran a pilot of POE 201 in October 2019 and has taught the course several times since then, each time a little differently (as they are learning as they go). POE 201 is an intermediate-level course and focuses on “Country-specific Security Cooperation Section of a CCMD Campaign Plan (CCP).”<sup>42</sup>

DISCS paid close attention to new requirements coming out for AM&E. The initial pilot was a “train-the-trainer” course. POE 201 prepares students “to plan for, oversee and execute the many complex and interrelated aspects of security assistance and security cooperation at the intermediate level. It builds on functional knowledge of security assistance/security cooperation planning considerations, authorities, funding and roles of the Department of State (DoS), DoD, and other members of the U.S. government interagency.”<sup>43</sup>

The intended audience for the course consists of “SC personnel involved with SC Program Management, SC Planning, Operation, or

---

<sup>42</sup> DSCA, Defense Institute of Security Cooperation Studies, “Intermediate SC Planning, Oversight and Execution Course (POE 201) Participant Guide,” October, 2019.

<sup>43</sup> DSCA, “Defense Institute of Security Cooperation Studies,” undated a.

Delivery of Military Equipment, Operation, Execution, or Delivery of SC Training and Equipping Programs or AM&E.”<sup>44</sup> Course attendance is noncompetitive, but it does require completion of SC-101, Introduction to Security Cooperation, or an approved alternative.<sup>45</sup>

POE 201 is focused at the GCC level. Upon completing the course, students should be able “to plan, oversee and execute a Country-specific Security Cooperation Section (CSCS) of a CCMD CCP.”<sup>46</sup> The course works toward that outcome by developing a “functional knowledge of security assistance/security cooperation planning considerations, authorities, funding and roles of DoS, DoD, and other members of the U.S. government interagency.”<sup>47</sup>

POE 201 is primarily a four-day resident course and includes eight one-hour sessions. The online portions are a mix of reading, taking part in discussion boards or journaling, and submitting exercise assignments. The resident portions are a mix primarily of “facilitated discussions” and “class presentations,” which are evaluated by the instructor. The course is conducted at the unclassified level.

Since this course only recently completed its pilot and since it is a DISCS course, it is too early to draw any conclusions about how it could be applied to expert-level training. However, given the experienced nature of the cohort who attended the pilot, it is critical to get their candid feedback on both the course content and the delivery. For those who returned to organizations where they are doing the work, it would be valuable to follow up with them over time to confirm whether, in terms of both content and method of delivery, the course provided them with the knowledge required to be successful in their position or, if not, what would have made it more effective.

---

<sup>44</sup> DSCA, undated a.

<sup>45</sup> DSCA, undated a.

<sup>46</sup> DSCA, undated a.

<sup>47</sup> DSCA, undated a.

## Conclusion

Our review of the legislation, policy guidance, and academic literature leads us to several observations, which can serve as a useful backdrop for the chapters which follow. First, the legislation and policy guidance policy call for a need to reform the SC workforce and ensure that all SC professionals have the necessary KSA. Second, academic policy experts echo calls for SC workforce reform, but do not provide much specific training guidance. There is a dearth of information on higher-level (advanced and expert) SC requirements that could inform education and certification requirements. Moreover, “expert” is ill-defined in DoD literature; its establishment as a certification level does not come from a congressional or DoD mandate.

Third, traditional SC training is functionally focused and geared at beginning and midcareer professionals (except for executive courses). The recent SC certification program describes areas of concentration, competencies, and levels, but courses for advanced and expert levels have not been developed. Several DoD SC courses, including the intermediate-level DISCS and Marine Corps service planners’ courses, offer some insights into pre-expert-level training. The current slate of training plays an important role in setting the foundation for SC professionals’ success in the SC enterprise. However, this training could be augmented at higher levels with a focus on complex problem-solving and strategic thinking about SC as an instrument of U.S. national security.

Fourth, DAW is the most relevant analog for the security cooperation workforce. Its structure was studied thoroughly in SCWDP, but it is worth exploring challenges it has faced and acknowledging the differences in the two programs. In particular, DAW has a broader array of functional specialties with less focus on universal certification levels.

The following chapter provides the results of the team’s interviews with SC professionals and begins to move toward more specific ideas for how to structure the SC expert certification course.

## **Interviews and Discussions with Security Cooperation Subject-Matter Experts**

---

The previous two chapters have demonstrated a heightened interest in SC workforce professionalization among policymakers and academics in the context of perceived inadequacies in SC planning, resource management, execution, and AM&E. They have also described DSCA's intent to create an SC workforce certification program that includes a cadre of experts, standing between advanced technical specialists and general officer (GO)/senior executive service SC managers, with an advisory role and "a broad understanding of SC as an instrument of U.S. national security." As Chapter Two points out, however, there is neither an obvious DoD model for SC expert-level training and education nor a clear way at present to differentiate among expert, advanced, and executive training requirements.

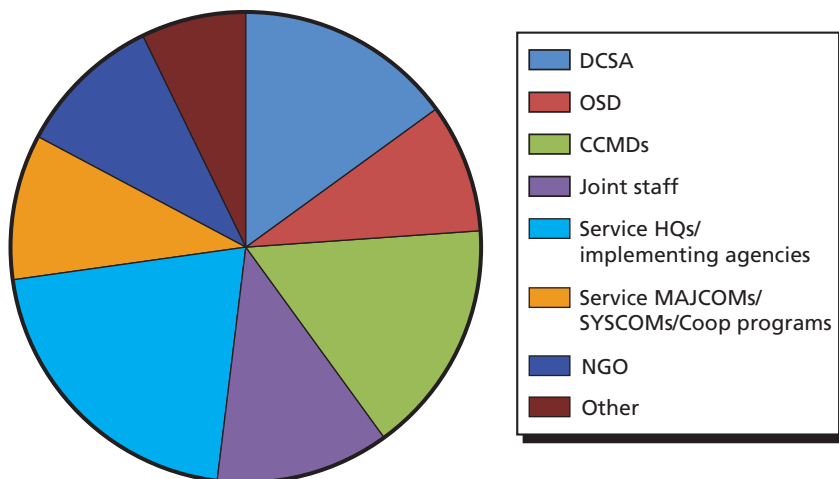
The purpose of this chapter is to assist DSCU in developing SC training requirements for experts by presenting findings from interviews and panel discussions with a range of senior SC officials and experts regarding the definition of SC expert, the organizations in which experts should be positioned, the KSA they should possess, the basic elements of an expert-oriented COI, and potential challenges in implementing such a course. Chapter Four will significantly expand on these findings in certain areas, such as expert skills and abilities and instructional strategies, by providing the results of our review of the adult education literature and interviews with non-DoD specialists with a background in training expert-level personnel in organizations similar in important respects to the SC enterprise.

The next two sections of the chapter describe those who participated in the study team's SC enterprise-focused interviews and discussions, the protocol that was used to guide these activities, and the coding process that was employed to analyze their results. These methodological sections are followed by seven key research findings and a conclusion that summarizes and explores the implications of these findings for the development of SC expert training and education.

## **Interview Participants**

The RAND study team used a semistructured interview process comprised of individual interviews and panel discussions conducted in person and over the phone to collect information related to SC training and education requirements in the final quarter of 2019 and the first quarter of 2020. In total, 58 respondents participated in this process, along with four study team members. As Figure 3.1 shows, the former group included current and former senior officials and SMEs from across the SC enterprise: DSCA (15 percent), OSD (9 percent), GCCs (16 percent), Joint Staff (12 percent), service headquarters and implementing agencies (21 percent), service major commands (MAJCOMs), systems commands (SYSCOMs) and Cooperative Development Programs (10 percent), nongovernmental organizations (NGOs, 10 percent), and other governmental organizations, including DoS's Political-Military Bureau, a U.S. embassy SCO, and the National Defense University (7 percent). About half of these individuals were recommended by the sponsor; the rest were identified by study team members or by other interviewees. Thirty-seven of the 58 had over 10 years of SC experience, and 17 had over 20 years' experience.

It may appear that certain organizations within the SC enterprise are insufficiently represented in our interview sample. Although only one current member of an SCO was interviewed, six interviewees identified themselves as former SC officers, SDOs/DATTs who served in embassies, and/or FAOs with international affairs training and experience serving in overseas SC positions. Relatively few interviews were conducted with members of MAJCOMs or SYSCOMs or with SC program managers, the exception being U.S. Navy Systems Command

**Figure 3.1****Percentage of Interviewed Senior Security Officials and Subject-Matter Experts by Organization**

NOTE: The "other" category includes interviewees from a U.S. embassy SCO, DoS's Political Military Bureau, and the National Defense University.

and Cooperative Program officials. Also no interviews were conducted with service regional component command officials. Although service MAJCOMs, SYSCOMs, and regional components comprise large and important segments of the SC workforce, the sponsor and study team judged these organizations to be less likely to be involved in strategic-level SC advising and management, the presumed domain of SC experts. That said, it is possible that giving less voice to individuals in execution-oriented organizations may have somewhat biased the team's conclusions regarding expert positions, knowledge, and training.

## Interview Protocol and Coding

To facilitate comparative analysis, the study team used a similar protocol to interview non-DoD adult education SMEs and senior SC officials and experts. The protocol for the latter set of interviewees, who are

the focus of this chapter, asks questions about participants' background in SC and their views on the types of DoD positions that should be filled by military and civilian SC experts, as well as the kinds of KSA that these experts should possess and the training and education that they should receive. More detail about the interview methodology and coding of interview responses is included in as part of Appendix C. In what follows, we present seven key findings from the study team's interviews and panel discussions with SC officials and SMEs regarding SC training and education, especially in relation to the newly established category of expert-level SC professionals.

## Findings

### **Finding #1: Most Interviewees Had Received Security Cooperation Training, but a Significant Minority Had None and/or Wished They Had More**

A majority of the SC experts interviewed by the study team had at least some formal SC training, and many had participated in multiple COIs. For the most part, this instruction was provided by DoD's major SC educational provider, previously known as DISAM, then DISCS, and now DSCU. Some interviewees had also attended courses related to SC or security assistance offered by DAU or the services, either as students or visiting lecturers.

However, a significant minority (17 percent), most of whom were current or former OSD officials, said that they had received no formal SC training. Additionally, 19 percent of respondents said that they would have benefited from more training. (Most of those interviewed did not say whether or not they would have benefited from additional training.) One interviewee said that it would have been "helpful to have a week long program to step through all of the different definitional issues that have emerged about security assistance and security cooperation and the role of State Department and its programs and the role of DoD and its programs [to include] who executes what and who controls what resources." Another interviewee said, "I would have benefited from having some training that would have helped me understand how DSCA executed programs," whether it be large-scale

foreign military financing cases or “developmental assistance,” such as defense institution-building programs. Others indicated they would have been better at their job with “more training in a variety of different disciplines,” more joint military professional education or strategic-level acquisition courses, or more opportunity to “hear from folks who had to do this before,” such as former country desk officers and senior officials, “who had to think about why are we working this country [and] how do we work with this country.”

### **Finding #2: Interviewee Responses Suggest Confusion and Skepticism Regarding Expert Certification and Definition**

Most interviewees did not openly question the need for an expert-level of certification for SC professionals or the provisional definition of expertise provided by DSCA. Yet the majority’s willingness to consider the idea of SC experts should probably not be construed as widespread endorsement of the certification level as currently defined. Although there was much sympathy for the notion of creating an elite group of professionals with breadth and depth of SC knowledge and experience, just one interviewee stated it was “absolutely mandatory” to develop an expert-level cadre. Also, it was not always clear from their responses that interviewees were distinguishing between advanced and expert or between expert and executive levels of SC professionals, even though they had all been provided with definitions of these categories in writing in advance of the interview and orally during the introductory portion of the interview. Rather, some interviewees seemed to respond to questions about experts as though they were thinking of them as undifferentiated senior SC officials.

Twenty-five percent of interviewees clearly stated that they found the expert category to be unsatisfactory in some way. One of these skeptics opined: “No one has ever clearly defined what advanced and expert is” in the context of the SC workforce. “If you’re struggling to find the definition, maybe you don’t need it.” Others recommended a three-level certification framework that either stopped at the advanced level or combined the advanced and expert levels. “I don’t know if you need to go beyond advanced,” said one interviewee. An advanced SC professional must demonstrate a high “skill level/progression for training and knowledge.” Another said: “Combine expert and advanced.

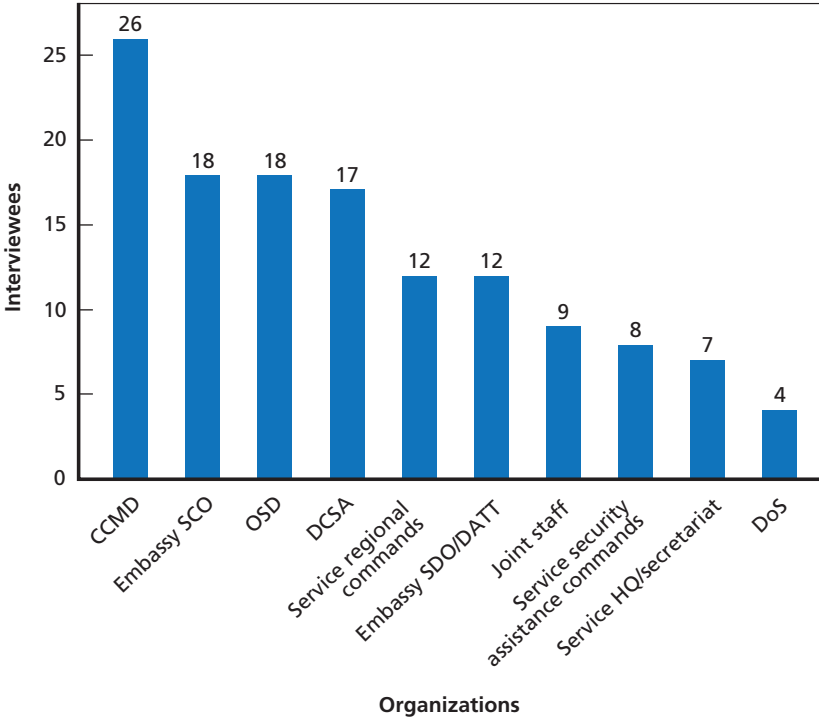
I believe that advanced [professionals] won't require much more technical info, but they may need to be broadened out a bit." Alternatively, some interviewees held that expert-level training and education could best be utilized by those in executive positions within the SC enterprise. One of them stated: "The expert qualifications are at the GO, FO [flag officer] level." According to another interviewee, "a flag or SES [senior executive service] position—that's a true leadership strategy position. When you're at the [GS] 14/15 level, you're a leader, but an operational leader; no one is going to send you strategic questions."

**Finding #3: Security Cooperation Interviewees Most Often Identified Combatant Commands, Security Operations Offices, the Office of the Secretary of Defense, and the Defense Security Cooperation Agency as Locations for Expert Positions**

With the caveat that they did not always clearly differentiate among different categories of senior SC officials—or believe in such distinctions—SC interviewees most often identified geographic command commands, embassy SCOs, OSD, and DSCA as locations for expert SC professional positions (see Figure 3.2). Other organizations and individual positions that were mentioned included service regional components, embassy SDOs/DATTs, the Joint Staff, service security assistance commands, service headquarters/secretariats, and DoS.

When specified, interviewees indicated that SC organizations should contain from two to ten experts—with DSCA consistently allocated the most such positions—which, if aggregated, would translate to a small fraction of the approximately 20,000 person SC workforce. One interviewee stated he that would "put the experts where you need folks to navigate using security cooperation as foreign policy tool and incorporating the realities of a complex military industrial demand signal." Another suggested that "within the CCMD there needs to be as senior level civilian with an expert classification who can understand and interpret [SC requirements] to senior military personnel." Many interviewees thought that O6 (colonel/captain) or GS15 was an appropriate rank/level for military and civilian experts, respectively; however, they often advised against making this an inflexible rule, contending

**Figure 3.2**  
**Number of Security Cooperation Interviewees (out of 58 Total) Who Identified Expert Positions in Particular Security Cooperation Enterprise Organizations**



that some O5 (lieutenant colonel/commander) or GS14 positions could be classified as expert, especially outside the U.S. capital region. A few believed that GO/FO and SES positions should be occupied by expert-certified personnel. Most of those who recommended experts be placed in embassy positions did not believe that they were needed in all SC offices. According to one interviewee, just a “handful of expert level SCOs were required in countries like Egypt and Saudi Arabia,” which have numerous and complex SC interactions with the United States. “Out of 134–140 SCOs, you’re looking at less than six experts.” Another interviewee recommended being “more strategic about mapping

critical [embassy] nodes across the globe” and placing expert “credentialled SCOs in those embassies.”

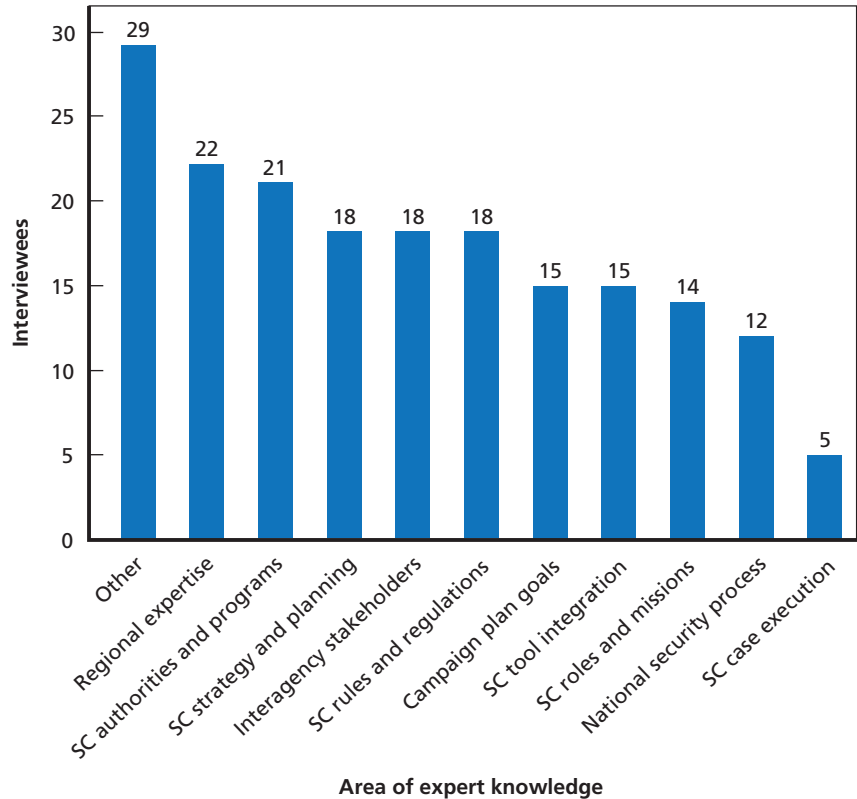
**Finding #4: Most-Mentioned Expert Knowledge Areas Were Regional Expertise, Security Cooperation Authorities and Programs, Security Cooperation Strategy and Planning, and Interagency Stakeholders**

Revealing the diversity of what experts working in various parts of the SC realm might need to know, SC interviewees mentioned 24 different knowledge areas (many akin to SC competencies and some to more narrow tasks) that they believed to be useful to expert-level SC professionals. As Figure 3.3 shows, the top five were regional expertise, SC authorities and programs, SC strategy and planning, interagency stakeholders, and SC rules and regulations. Although in the top spot, regional expertise was considered less important in certain positions than in others and did not necessarily entail additional training at the expert level. As one interviewee noted: “At the CCMD level and down there is probably some requirement for cultural [knowledge], and I would think those folks have gotten some of that in their basic intermediate or advanced training. . . . In the Pentagon, once you move beyond the regional [level], you’re aggregating data and managing policy.”

The next five most mentioned knowledge areas were campaign plan goals, SC tool integration, SC roles and missions, the national security process, and SC case execution. Explaining the importance of SC tool integration, one interviewee equated the SC expert to a “master architect who understands how all the pieces work.” Whereas technicians do the “plumbing and the electrical” work, “the guy who gets trained at the expert level understands the plan, the system, and timing.” Although mentioned by only five interviewees, FMS case execution had one strong advocate as an essential area of knowledge for SC experts. According to her, “Policymakers have zero idea how execution happens. . . . OSD directors don’t understand constraints of process, timing, et cetera. There are plenty of security cooperation folks who don’t understand . . . what is viable.”

The large “other” category shown in the far left of Figure 3.3 contains knowledge areas mentioned by less than five interviewees. These

**Figure 3.3**  
**Number of Security Cooperation Interviewees Who Identified Particular Areas of Expert Knowledge**



include the defense acquisition process, technology security and foreign disclosure, AM&E, institutional capacity building, and defense industry. Focusing on the final knowledge area, one interviewee noted that the defense industry plays a vital role in the execution of SC. Thus “a basic lay of the land would be helpful” to an SC expert: this would involve “being conversant in how industry operates, behaves, and executes” in various partner countries.

There is overlap between DSCA’s general list of SC workforce competencies and the above interview-derived knowledge areas, but it is not complete. For example, the SC competency “country/regional

orientation and awareness” equates to “regional awareness,” the knowledge area that interviewees mentioned most frequently. And the “strategy and policy development” competency is closely related to the third most mentioned knowledge area, SC strategy and planning. However, other SC competencies—for example, sales and transfers, international armaments cooperation/programs, AM&E, and security, foreign disclosure, and end use controls—were mentioned by only a few interviewees as being important areas of knowledge for SC experts. Although not definitive, these interview results suggest that not all competencies are equally useful for experts.

The team’s interviews indicate that one AOC—SC POE management—may be more important than others when it comes to SC expert training and education. Despite a range of opinions regarding what experts need to know within the overall group of those interviewed, more than 50 percent of CCMD and NGO interviewees (the latter including several former senior OSD officials) mentioned strategy and planning as a key knowledge area. Furthermore, other knowledge areas mentioned frequently by SC interviewees (i.e., SC authorities and programs, interagency stakeholders, SC rules and regulations, campaign plan goals, SC tools integration, SC roles and missions, and the national security process) are integral to the SC POE management AOC, which in turn suggests that it should be either a primary or a secondary AOC for experts. One interviewee comment epitomized this perspective by describing an SC expert as someone with an “understanding of all of the [relevant] resources and processes and how to sequence events and tie different authorities and different events together to advance toward a specific objective and how to integrate activities with diplomacy [so as] to maintain a partner’s commitment to a project over time.”

However, this view of the primacy of certain competencies or AOCs was not held by all interviewees. One declared that “each of the AOCs would have drastically different skill sets at the expert level.” Developing strategy, developing FMS cases, working with foreign customers, negotiating an agreement—all require “different skill sets.” Another interviewee equated SC to real estate. “It’s like location. If you’re here in DC, your day job is going to be more focused on

the unreal world of bureaucratic politics: the dynamic tension [among] the Joint Staff, OSD policy, and the CCMDs . . . and the budget process.” In contrast, “the guy sitting down at USCENTCOM [United States Central Command] [is focused on] on requirements generation, [partner] absorptive capacity, what happens to the things you submit up the chain.”

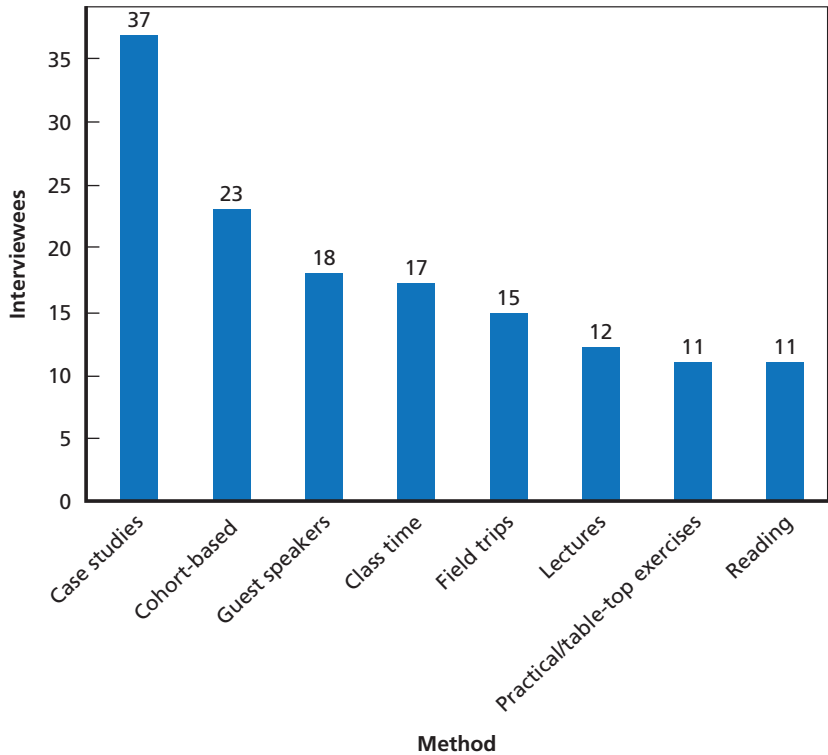
#### **Finding #5: Some Security Cooperation Subject-Matter Experts Mentioned Certain Skills and Abilities as Being Useful for Experts**

Unlike the non-DoD adult education experts whom the study team consulted, SC interviewees had relatively little to say about the skills and abilities that SC experts should possess. Out of the 58 individuals interviewed, six mentioned interpersonal skills, three negotiation ability, three critical thinking, two communication ability, and one creativity. According to one interviewee, “Some people are naturally better at interpersonal skills, but even those guys can be taught.” He touted one executive management course taught by a Stanford University instructor in Singapore that focused on negotiation skills. In his view, that was “exactly the type of skill set [necessary for] the members of the ODC [Office of Defense Cooperation a.k.a. SCO] who have dialogues with the partner.” Another interviewee believed that critical thinking and problem-solving were important attributes for experts and could be trained “to a degree.” Still another stated it was important for experts to be able to communicate to stakeholders, including Congress, “a strategic level narrative about how security cooperation advances security in a region.”

#### **Finding #6: Many Security Cooperation Interviewees Considered Case Studies and a Cohort-Based Approach to Be Important Elements of Expert Training and Education**

As Figure 3.4 shows, many SC interviewees highlighted complex, real-world case studies and an instructional approach focused on a select cohort of professionals from across the SC enterprise that is kept together over an extended period as key components of expert-level training and education. To enhance the problem-solving ability of senior SC personnel, one interviewee advised introducing case studies “that do not have

**Figure 3.4**  
**Number of Security Cooperation Interviewees Who Identified Particular Methods for Training and Educating Security Cooperation Experts**



one clear course of action, but many options for success and opportunities for failure.” Another liked the Harvard approach to case studies where students are placed “in a scenario” and “you don’t know how the actual people dealt with it”; only at the end are they informed about how participants actually dealt with the situation at hand. To ensure complexity, SC interviewees and RAND SC experts consulted by the study team recommended cases that featured multiple stakeholders, various SC tools and funding authorities, political and process hurdles, high- and low-end partners, and cross-CCMD effects. (See Appendix B for specific case study examples recommended by SC SMEs interviewed for this report and with whom the study team consulted at RAND.) These

included current and former civilian and military officials in OSD Policy, the Joint Staff, DSCA, Navy headquarters, Marine Corps headquarters, United States Indo-Pacific Command (USINDOPACOM), United States European Command (USEUCOM), and DoS. Finally, most interviewees emphasized the need for realistic case studies rather than simplified, pieced-together “Bandaria” scenarios.<sup>1</sup>

With respect to the student cohort, many interviewees spoke about the need for “cross-pollination”—DoD civilian and military personnel from SC stakeholder organizations, members of other agencies with an SC interest, such as DoS, the U.S. Agency for International Development and intelligence agencies, possibly even some international students, “all in one room.” While emphasizing diversity, these interviewees also thought the cohort should be relatively small (e.g., no more than 20 students). In contrast, one interviewee noted that there were pros and cons to diverse student cohorts. In his view, “the pros of integration is people will appreciate the different levels, equities, perspectives” found within the SC community. “The negative to that approach is that they won’t have similar viewpoints and won’t be able to assist one another to the same degree as they would have if they had similar backgrounds.”

Other important instructional elements mentioned by SC interviewees included guest speakers with significant, preferably high-level, experience in SC; substantial face-to-face (F2F) interaction with instructors, fellow students, and guest experts in a classroom setting; opportunities to undertake interactive field trips to various SC organizations; lectures by knowledgeable and experienced instructors; practical tabletop exercises that involve a range of SC players from different organizations and functional areas; and reading assignments that supplement classroom instruction and provide students with background information on subjects outside their AOC.

To develop critical thinking, some interviewees advised bringing in lecturers with different, even opposing views, from agencies outside the SC enterprise (e.g., congressional staffers, officials from the

---

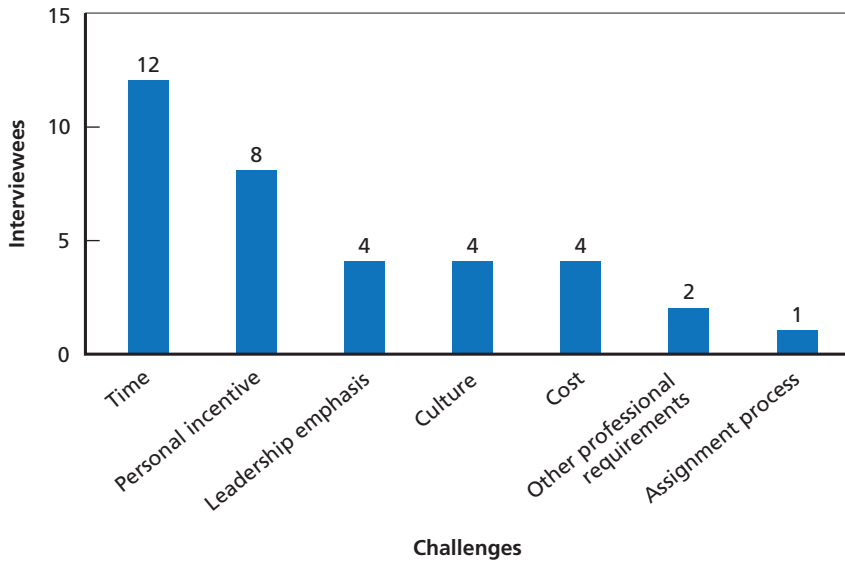
<sup>1</sup> Bandaria is a fictional country frequently used by DoD planners and educators when constructing training exercise scenarios.

Departments of Commerce or Homeland Security, DoDIGs, and so on). One thought that senior professionals “tend to respond to practitioners [when it comes to training and education], people with hands on, real-world experience.” Another wanted to “hear from some former senior leaders . . . here’s what I found, here’s what I wish I knew, here are some things to put in your head.” Many interviewees believed that small group discussions were a more effective method for conveying this kind of information than simply listening to briefings. As one interviewee put it: “With the [GS] 15s and O6s, the best thing is to pull them away and do facilitated training, small group, couple of faculty members, lots of breakout sessions, lots of hands on, where the instructor is not talking.” Although acknowledging the implementation challenges, another interviewee recommended field trips to partner countries to learn about SC projects and what worked and did not work in terms of improving partner capability. Still another interviewee questioned the value of online learning for senior professionals. “I’m a brick and mortar gal,” she said. “I like to see the whites of my instructors’ eyes. I like to have the opportunity to restate what I’ve heard. I like to be engaged in the moment. Whenever PME is important, you get it in-person. When it’s required but not as important, its speed click through a CBT [computer-based training].” Several interviewees suggested a mixed-methods instructional strategy for experts. One advised that “a lecture followed by small group” would be appropriate: “It could be three hours of small group exercise where they take the parts of the design process and work through it. It culminates in a strategy paper and assessing the paper, and there are some case studies as well.”

#### **Finding #7: Time Was the Most Important Challenge in Implementing Expert Training and Education for Security Cooperation Interviewees**

Having sufficient time to attend an appropriately rigorous COI was the most important challenge to implementing expert training and education mentioned by SC interviewees (see Figure 3.5). According to one interviewee, “Making an expert is dependent upon the length and rigor of the education or training.” Another likened an ideal SC expert COI

**Figure 3.5**  
**Number of Security Cooperation Interviewees Who Identified Particular Challenges to Implementing Security Cooperation Expert Training and Education**



to a Ph.D. program. Most interviewees thought a “two-week crash course” would be insufficient. Rather, expert course organizers should “be thoughtful about extending a sequence of training, simulations, site visits, maybe over a year or two, depending upon how rigorous and robust you want to be. That has the benefit of having people take back fundamentals to begin with, apply them to their day job, and prompt more questions,” which they would bring back to the classroom. Ideally, organizers could provide some kind of support in between training events that allowed for real time student feedback: “Hey, I learned this, but I saw in my job I actually need this; can we build this into the program?”

Other implementation challenges included having a personal incentive to participate in expert training, having leaders willing to emphasize the importance of expert training and education, developing

a culture that values SC expertise, the cost of creating a cadre of well-educated SC experts, competing non-SC professional requirements, particularly for military officers, and a DoD assignment process that is not designed to facilitate the training of SC experts. A majority of OSD interviewees saw leadership emphasis as an important educational prerequisite, with one of them indicating that staff members could not devote the time needed for expert training without their superiors deliberately organizing the work process to permit it. A DSCA interviewee contended that developing a high degree of SC expertise required a change in the cultural ethos of the SC workforce. As he explained, “It’s always struck me that this field of security cooperation has been a historical backwater. Where else is one exposed to foreign policy, national security, and industrial policy that one could pivot from working inside the government and working inside industry in a tangible, monetized way? I think it is the real way of the future—if you can get people to be proud of the community. . . . You have to build the ethos.”

## Conclusion

The study team’s interviews and panel discussions with SC officials and SMEs resulted in a number of findings that could be useful for the establishment of SC expert training requirements.

Although most of those interviewed had received some formal SC training, a significant percentage had not received such training and/or would have appreciated more. Furthermore, many of these interviewees were current or former OSD officials responsible for SC strategy and policy, a function that would arguably require expert-level preparation. Although all of those interviewed attempted to address the issue of SC expert training requirements, a significant number either objected to having an expert level of certification and/or felt that the expert category was insufficiently defined. This suggests that DSCA may have more work to do to persuade certain stakeholders of the need for certified experts as well as to flesh out the T-shaped expertise concept, described in Chapter One, which distinguishes experts from advanced-level personnel and executives.

There was not a consensus among interviewees on the organizational locations for SC experts. However, many mentioned the SC division chief or deputy chief positions within the regional CCMDs, SCO chief or SDO/DATT positions within U.S. embassies, most staff positions within OSD's SC office, and director/deputy director positions at DSCA headquarters. Most interviewees indicated that experts would likely constitute only a small slice of the overall SC workforce. And relatively few respondents indicated that this elite group should include members of service implementation organizations (e.g., secretariat-level implementation agencies and security assistance–focused MAJCOMs). This suggests there may be an organizational hierarchy when it comes to designating expert positions and that developing experts may require cycling promising SC personnel through organizations at the top of the hierarchy. Interviewees were deliberately vague about the number of positions in major SC organizations that should be reserved for experts; instead, they indicated that that should be derived through a systematic jobs analysis.

There was a wide range of opinion regarding the areas of knowledge that SC experts should possess. Some interviewees claimed that expert knowledge requirements should be linked to the specialized functions performed by the diverse constellation of SC professionals. But the knowledge areas most frequently mentioned by interviewees suggest that competencies and tasks associated with SC POE management may be generally needed by SC professionals, regardless of their prior SC AOC, when assuming an expert position. That said, a structured survey of SC stakeholders would be required to more definitely identify and prioritize a common set of expert knowledge areas. SC interviewees had relatively little to say about the skills and abilities that are most useful for experts. Yet those that were mentioned—such as interpersonal and communication skills and critical thinking and negotiating abilities—are also described in more detail by adult education researchers and practitioners as desirable for expert-level personnel (see Chapter Four).

There was broader agreement among interviewees on the basic elements of a potential expert COI. These included complex and realistic case studies, a cohort-based approach to training and education,

and mixed and interactive instructional strategies involving lectures by senior current and former SC officials, small group discussions, PEs, and perhaps field trips to different SC organizations. Again, as the next chapter will show, these course features match well with best practices in adult education.

Finally, the implementation challenge most frequently mentioned by SC interviewees was the difficulty of carving out sufficient time to attend high-quality expert-level training and education given the various job and career field demands placed upon senior SC professionals. This challenge is related to some of the other training hurdles mentioned by interviews, such as personal incentive, leadership emphasis, culture, cost, and other professional requirements, which impact the motivation and ability of military and civilian members of the SC workforce to undertake an extended COI. Chapter Five addresses how these challenges might be mitigated in part through a COI that focuses on high-priority objectives and takes time and cost into account.

## **Best Practices in Subject-Matter-Expert Training and Education**

---

To assist DSCA in developing a curriculum for expert-level SC officials, the RAND study team identified best practices in expert- and executive-level training from outside DoD. The purpose of this research was to answer two overarching questions: How do organizations outside of the SC enterprise approach training their senior SMEs? And of these approaches, which practices are relevant to the training of SC experts and supported by research evidence?

The study team applied a three-pronged approach to identifying these best practices. First, we conducted a cross-sector review of literature focused on expert-level training programs to understand the advantages and disadvantages of different approaches to educating senior managers and the extent to which there is a consensus in the literature of what constitutes best practices. Second, we conducted semi-structured interviews with administrators of carefully selected adult professional education programs that target individuals at career levels comparable with SC experts. Third, we completed four case study analyses of adult professional education programs in order to compare objectives, content, duration, and delivery structures. Our methodology allowed us to triangulate across different sources of evidence to develop a comprehensive understanding of best practices in professional education, which ultimately informs the recommendations that we provide to DSCA in the next chapter.

## **Review of the Academic and Professional Training and Education Literature**

The study team conducted a comprehensive review of evidence pertaining to the training of expert-level adult professionals. We were particularly interested in reviewing literature that focuses on expert-level training located at the apex of a purposefully structured professional development program, in a similar way that DSCU's expert-level course would be situated at the top of the basic-intermediate-advance-expert certification sequence. Our review drew on research from the health, education, and business sectors and initially identified over 460 distinct documents in a search of electronic databases and selected web-sites. The types of documents

- empirical research
  - intervention studies (Randomized Controlled Trial, Quasi Experimental Design, correlational)
  - observational studies (cases)
- literature reviews
  - meta-analyses, systematic reviews
  - narratives, background reviews
- theories
  - theory of action
  - conceptual framework
- opinion pieces
  - expert consensus
  - opinion
- news items.

Appendix C provides an overview of the standards of evidence that we used to conduct our literature review. After screening for relevance and quality of research design, we conducted a detailed analysis of approximately 50 documents.

In addition to providing theoretical perspectives, the studies that we reviewed also discussed best practices in the implementation of expert-level professional education, as well as the impact that education programs have on various outcomes. While the studies differed in

the exact outcomes deemed appropriate for expert training programs, they did concur on general outcome categories. For example, the studies focused on individual participants' reactions to the learning experience, their learning of new KSA, and their ability to transfer KSA to new settings, as well as changes in organizational outcomes such as cost, profit, turnover, or absenteeism. While the first three outcomes are relevant to the individual learner, the last is an organizational-level outcome. Given that evidence on organizational-level outcomes was limited, relative to individual-level outcomes, it was important to consider literature that focused on individual outcomes where these might eventually contribute to organizational outcomes (i.e., individuals learning new KSA required by the organization and successfully transferring them to the workplace).

Our review identified relevant best practices in three areas: the organization of expert-level training; student experiences; and the KSA covered in expert-level training. Specifically, the literature suggests that intensive, guided learning experiences where instructors act as facilitators are most effective for expert learners. Moreover, the integration of learning experiences directly tied to participants' professions and the active engagement of participants significantly improve the learning experience. Finally, the literature highlights best practices for inclusion of general content in expert-level professional education. In particular, many adult professional education programs seek to expose participants to high-level working knowledge of functional areas beyond their own area of expertise and to develop cognitive and interpersonal skills that experts need to operate efficiently at the enterprise level. The sections below provide more detail about our findings.

### **Finding #1: Intensive, Guided Learning Experiences Are More Effective for Expert Learners**

The literature on expert-level professional education shows that participants are more likely to achieve learning outcomes when working with an instructor, as opposed to working on their own.<sup>1</sup> Consistent with

---

<sup>1</sup> Christina N. Lacerenza, Denise L. Reyes, Shannon L. Marlow, Dana Joseph, and Eduardo Salas, "Leadership Training Design, Delivery, and Implementation: A Meta-Analysis," *Journal of Applied Psychology*, Vol. 102, No. 12, 2017.

Knowles's adult learning principles,<sup>2</sup> instructors in adult professional education programs tend to act primarily as facilitators rather than lecturers, a trend that may reflect the expectation of adult professionals for more active learning experiences.<sup>3</sup> Because facilitation is critical to creating the environment adult learners need, some instructors may require additional training on facilitation that promotes learner confidence, helps participants set realistic goals, and promotes equal participation while minimizing friction among participants.<sup>4</sup>

The literature provides limited evidence regarding the optimal size of learning groups in professional education programs, but it does suggest that learning initiatives that are organized into groups of 30 or fewer participants and follow a predetermined sequence of instructional activities over multiple learning sessions are more likely to achieve learning outcomes than larger groups composed of more than 30 students.<sup>5</sup> Moreover, organizing instruction into multiple training sessions increases the extent to which learned KSA are transferred to the workplace, as these structures provide participants more time to reflect and absorb content.<sup>6</sup> Some studies also find that learning pro-

---

<sup>2</sup> Malcom Knowles identified five characteristics, or principles, of adult learning in the 1980s, which continue to have currency today. The 5 principles include self-concept; adult learner experience; readiness to learn; orientation to learning; and motivation to learn. See Malcolm S. Knowles, *Andragogy in Action: Applying Modern Principles of Adult Learning*, San Francisco: Jossey-Bass, 1984.

<sup>3</sup> Patricia Hind and Viki Holton, "Effective Executive Education: What are the Key Components and Challenges?" *International Journal of Advanced Research in Business*, Vol. 1, No. 1, 2016, p. 35; James C. Lockhart, Dorothy M. McKee, and Deborah Donnelly, *Exploring the Synergy Offered by Blended Learning in Executive Education. Blended Learning: Principles, Challenges and Impact on Student Performance*, Hauppauge, N.Y.: Nova Science Publishers, Inc., 2017, chap. 4. Scott Reeves, Simon Fletcher, Hugh Barr, Ivan Birch, Sylvain Boet, Nigel Davies, Angus McFadyen, Josette Rivera, and Simon Kitto, "A BEME Systematic Review of the Effects of Interprofessional Education: BEME Guide No. 39," *Medical Teacher*, Vol. 38, No. 7, May 5, 2016.

<sup>4</sup> Reeves et al., 2016.

<sup>5</sup> Carl J. Dunst, Carol M. Trivette, and Deborah W. Hamby, "Meta-Analysis of the Effectiveness of Four Adult Learning Methods and Strategies," *International Journal of Continuing Education and Lifelong Learning*, Vol. 3, No. 1, 2010.

<sup>6</sup> Lacerenza et al., 2017; Hind and Holt, 2016.

grams that run over longer durations have stronger effects in terms of acquiring KSA, although the findings regarding course duration and learning outcomes are generally mixed.<sup>7</sup>

Studies of adult professional education also provide robust evidence that F2F programs have a stronger impact on adult learning than online or virtual learning conducted remotely.<sup>8</sup> This is especially true when it comes to transferring skills from the classroom to the workplace. However, online programs may be as effective as F2F programs when it comes to the initial acquisition of KSA.<sup>9</sup> F2F learning provides advantages by creating opportunities for peer-to-peer exchanges and in-person collaboration, as well as opening the possibility of integrating unconventional modes of F2F pedagogies such as open space conferencing or action learning in specific work sites.<sup>10</sup> Of note, adult education programs are increasingly shifting to online delivery platforms thanks to advances in technology and demands for flexibility and lower-cost options on the part of participants and their employers.<sup>11</sup>

Finally, our review of the literature highlights that adult professionals benefit from on-the-job training opportunities. In-class education develops general skills and theoretical knowledge, while workplace learning fosters the technical and soft skills professionals require to succeed on the job.<sup>12</sup>

---

<sup>7</sup> Lacerenza et al., 2017; Dunst, Trivette, and Hamby, 2010.

<sup>8</sup> Lacerenza et al., 2017.

<sup>9</sup> Lacerenza et al., 2017.

<sup>10</sup> Lockhart, McKee, and Donnelly, 2017.

<sup>11</sup> K. O'Leonard, *The Corporate Learning Factbook 2013: Benchmarks, Trends, and Analysis of the U.S. Training Market*, Oakland, Calif.: Bersin by Deloitte, 2013. O'Leonard's (2013) study of 300 organizations, finds that classroom-based, instructor-led learning dropped below 50 percent, while virtual classes and online self-study increased.

<sup>12</sup> Gabriella C. Gonzalez, Reema Singh, Rita Karam, and David S. Ortiz, *Energy-Sector Workforce Development in Southwestern Pennsylvania: Aligning Education and Training with Innovation and Needed Skills*, Santa Monica, Calif.: RAND Corporation, RR-807-NETL, 2014.

## **Finding #2: Different Types of Learning Experiences That Actively Engage the Learner Are Most Effective**

Our review of the literature confirmed that Knowles's principles of adult learning continue to have currency in shaping contemporary programs:<sup>13</sup>

- Experience (including error) provides the basis for learning activities.
- Adults need to be responsible for their decisions on education and need involvement in the planning and evaluation of their instruction.
- Adults are most interested in learning subjects that have immediate relevance to their work and/or personal lives.
- Adult learning is problem-centered (e.g., what knowledge and skills can be used to solve a problem?) rather than content-oriented (e.g., what knowledge or skills should learners acquire to work in their field?).

Underlying these principles is the fundamental distinction of active versus passive learning. While active learning typically includes project-based lessons, individual or group problem-solving, on-the-job practice, or similar strategies, passive learning is structured around lectures, readings, and demonstrations.

In general, the literature we reviewed suggests that actively involving adult learners in learning yields more robust outcomes, especially when instruction relies on real-life scenarios and engages participants in role-playing activities.<sup>14</sup> That said, passive learning methods have also been effective, particularly when it comes to learning new KSA.<sup>15</sup> The discrepancy in these findings stresses the importance of integrating three pedagogies—providing information, giving demonstrations, and offering practice opportunities—into adult learning programs in an effort to promote both the learning of new skills and transferring this learning to the workplace.<sup>16</sup>

---

<sup>13</sup> Knowles, 1984; Malcolm S. Knowles, *The Modern Practice of Adult Education: From Pedagogy to Andragogy*, rev. ed., Chicago: Associated Press, 1988; Malcolm S. Knowles, *Self-Directed Learning: A Guide for Learners and Teachers*, Chicago: Follett Publishers, 1975; M. S. Knowles, E. F. Holton, and R. A. Swanson, *The Adult Learner*, 6th ed., San Diego, Calif.: Elsevier, 2005.

<sup>14</sup> Dunst, Trivette, and Hamby, 2010.

<sup>15</sup> Lacerenza et al., 2017.

<sup>16</sup> Lacerenza et al., 2017.

Individualized learning is also critical to successful adult education and maximizes participants' learning opportunities. Research shows that executives and senior-level employees more generally have low tolerances for wasting time and expect a high value out of the learning experiences in which they are engaged.<sup>17</sup> Assessing participants' KSA at the start of a learning initiative helps to tailor learning experiences. For example, instructors might use a participant questionnaire to identify existing knowledge and gaps.<sup>18</sup> Using needs assessments also corresponds to improved knowledge and skills and focuses the application of new knowledge and skills to the job.<sup>19</sup> Gathering focused feedback from participants at the conclusion of an adult professional education program also generally results in improved transfer of KSA to the workplace.<sup>20</sup> Finally, competency-based education is another form of individualizing learning insofar as it gives participants the chance to demonstrate their abilities in a specific area by "testing out" of that area.<sup>21</sup> Participants who do not "test out" continue their training until they have mastered that skill or content.

### **Finding #3: Experts Can Learn How to Collaborate and Communicate with Others Outside Their Area of Expertise**

The literature on interprofessional education (IPE),<sup>22</sup> which provides a potentially useful model for education of SC experts, shows that collaboration skills can be taught. In the health industry, IPE teaches

---

<sup>17</sup> Lockhart, James C., "Executive Education: Can It Be Too Good?" *Journal of Executive Education*, Vol. 12, No. 1, 2013. Marlene A. Smith and Susan M. Keaveney, "A Technical/Strategic Paradigm for Online Executive Education," *Decision Sciences Journal of Innovative Education*, Vol. 15, No. 1, January 2017.

<sup>18</sup> Matthew Valle and Kevin J. O'Mara, "Targeted Instruction for Executive Education: Classifying Participants to Enhance Program Delivery," *Journal of Executive Education*, Vol. 11, No. 1, 2012.

<sup>19</sup> Lacerenza, et al. 2017.

<sup>20</sup> Lacerenza et al., 2017.

<sup>21</sup> Dunst, Trivette, and Hamby, 2010.

<sup>22</sup> *Interprofessional education* refers to occasions when students from two or more professions in health or social care learn together during all or part of their professional training. The goal of IPE is to cultivate collaborative practice to provide better client- or patient-centered health care. See, University of New Mexico Health Sciences Center Interprofessional Education, "What Is Interprofessional Education (IPE)?" undated.

participants to work with experts in other areas to solve patient issues and imbues them with the “language nuances, culture, and practices of other disciplines.”<sup>23</sup> IPE appears to have positive effects on participants’ attitudes toward working across disciplines, knowledge of other disciplines, and behavior on the job, as well as patient outcomes (e.g., mortality rates, length of stays, clinical errors).<sup>24</sup> It is interesting to note that participant attitudes toward collaboration appear to change from naïve enthusiasm to skepticism to commitment over the course of IPE programs.<sup>25</sup>

Professional education programs can also help to broaden senior-level professionals’ cognitive and interpersonal skills, which they then apply to working effectively at the enterprise level in their own careers. To develop these skills, the literature suggests that adult education programs should focus first and foremost on action-learning, which involves getting participants to reflect on the learning experience itself as part of an assignment. Examples of action learning include journaling or having participants engage in reflective group discussions about the learning.<sup>26</sup>

#### **Finding #4: On-the-Job Supports Can Improve Transfer of Knowledge, Skills, and Abilities**

Our last set of findings from the literature suggests that factors above and beyond the structure of adult professional education programs are

---

<sup>23</sup> Saras Henderson, Megan Dalton, and Jennifer Cartmel, “Using Interprofessional Learning for Continuing Education: Development and Evaluation of the Graduate Certificate Program in Health Professional Education for Clinicians,” *Journal of Continuing Education in the Health Professions*, Vol. 36, No. 3, July 2016, p. 212.

<sup>24</sup> Elaine V. Cohen, Ruth Hagestuen, Gladys González-Ramos, Hillel W. Cohen, Celia Bassich, Elaine Book, Kathy P. Bradley, Julie H. Carter, Mariann Di Minno, Joan Gardner, Monique Giroux, Manny J. González, Sandra Holten, Ricky Joseph, Denise D. Kornegay, Patricia A. Simpson, Concetta M. Tomaino, Richard P. Vandendolder, Maria Walde-Douglas, Rosemary Wichmann, and John C. Morgan, “Interprofessional Education Increases Knowledge, Promotes Team Building, and Changes Practice in the Care of Parkinson’s Disease,” *Parkinsonism Related Disorder*, Vol. 22, January 2016; S. Y. Guraya and H. Barr, “The Effectiveness of Interprofessional Education in Healthcare: A Systematic Review and Meta-Analysis,” *Kaohsiung Journal of Medical Sciences*, Vol. 34, No. 3, March 2018; Reeves et al., 2016; J. Sergeant, T. MacLeod, and A. Murray, “An Interprofessional Approach to Teaching Communication Skills,” *Journal of Continuing Education in the Health Professions*, Vol. 31, No. 4, 2011.

<sup>25</sup> Reeves et al., 2016.

<sup>26</sup> Lockhart, McKee, and Donnelly, 2017; Dunst, Trivette, and Hamby, 2010.

important to ensuring the transfer of KSA from the classroom to the workplace. For instance, because high-level leaders are frequently poor at changing behaviors related to their job, they may require on-the-job support such as mentoring and continuous feedback after having attended an expert-level course to ensure that they retain the training they received.<sup>27</sup> Other research identifies at least three types of supports or factors that positively affect the transfer of soft skills from the learning environment to the workplace in post-training contexts.<sup>28</sup> First, specific interventions around goal setting can help adult learners use new skills and address threats to maintaining these skills. Second, social supports help promote positive attitudes toward the training among participants and their colleagues. Third, certain job-related factors such as job relevance, task autonomy, and workloads can further support the continued use of new skills once participants have completed the learning initiative and returned to the workplace.<sup>29</sup>

## **Interviews Related to Subject-Matter-Expert Training and Education**

The RAND team also completed a set of semistructured interviews with administrators from reputable adult professional education programs to further ground best practices in expert- and executive-level training. The objective of the interviews was to identify both a common set of skills and abilities that senior SMEs should have as they enter high-level positions within their organizations and the modes and methods through which these SMEs should receive training.

### **Case Selection and Interview Methodology**

We conducted a total of six interviews with training and education specialists from organizations outside the SC enterprise. Respondents were

---

<sup>27</sup> Lacerenza et al., 2017.

<sup>28</sup> Jolanda A. Botke, Paul G. W. Jansen, Svetlana N. Khapova, and Maria Tims, “Work Factors Influencing the Transfer Stage of Soft Skills Training: A Literature Review,” *Educational Research Review*, Vol. 24, June 2018.

<sup>29</sup> Botke et al., 2018.

associate deans, program directors and associate directors from programs that focused on the education of individuals with undergraduate degrees and at least five to ten years of professional experience and well-developed expertise in a diversity of professional fields. Our sample includes individuals from an internal corporate training program, a hybrid university–think tank program, and multiple university programs, including one DoD-funded institution. Several of the programs that our interview participants represented also operate programs for hire, which provide the option to design customized curricula to meet the specific needs of individual client organizations. We selected our cases and associated interviewees on the basis of four main criteria to ensure that the examples we drew from remained comparable with the overall objectives informing SCU’s expert-level course. Appendix C provides more detail on case selection, and Table 4.1 presents an overview of our interview participants and their affiliated organizations.

As noted above, RAND used a semistructured interview protocol to guide conversations with administrators from expert- or executive-level education programs. In our interviews with non-DoD adult edu-

**Table 4.1**  
**List of Interviewees from Outside the Security Cooperation Enterprise**

| Organization                                           | Program                                                                 | Type of Organization, Program                                                     |
|--------------------------------------------------------|-------------------------------------------------------------------------|-----------------------------------------------------------------------------------|
| Goldman-Sachs                                          | Pine Street Leadership Development Group                                | Corporate: Internal leadership academy                                            |
| Washington University (WashU) in St Louis at Brookings | Executive Fellowship Certificate in Policy Strategy                     | University/think tank hybrid:<br>1. Certificate program<br>2. Certificate program |
| Syracuse University, Maxwell School                    | Executive Master of Public Administration (EMPA)                        | University: EMPA                                                                  |
| University of Maryland, School of Public Policy        | Leadership and Policy Programs Executive Leadership Development Program | University:<br>1. On-demand workshops<br>2. Short courses                         |
| National Defense University                            | National War College                                                    | Government, University: Master of Arts (M.A.)                                     |
| RAND Corporation                                       | Pardee RAND Graduate School                                             | University: Ph.D.                                                                 |

cation SMEs, we asked participants about the skills and abilities that experts and senior executives need to perform well in their professions and collected information on training design. More detailed description of the interview protocol and interview coding process for non-DoD SME interviews is included in Appendix C. In the sections that follow, we outline best practices in expert- and executive-level education derived from these interviews.

Our interviews with administrators of expert- and executive-level education programs highlighted best practices in five areas: assessing student needs; issues related to course timelines; modes of delivering expert-level courses; instructional strategies for expert-level education; and methods of post-program follow-up.

## Findings

### **Finding #1: Assessing Participants and Engaging Sending Organizations Shape the Programs**

Interview participants agreed that conducting assessments of student needs is an important precursor to designing an effective adult education program for senior-level employees. Assessments should capture the needs of the organization sending its employees to a particular training program, as well as the needs of the individual employees who will participate in the program. In this regard, nearly all of our interviews stressed that early engagement with the sending or client organization is critical to shaping successful programs; understanding the skills with which participants enter a program allows the curriculum to hone in on specific underdeveloped areas. Methods for assessing student needs include interviewing the senior leaders of the sending organization and examining organizational data such as previously implemented 360 evaluations<sup>30</sup> and employee surveys designed to identify high-priority gaps. Importantly, most of our interview respondents also stressed that assessing participant needs should be an ongoing process throughout the course of a learning initiative in order to maximize impact.

---

<sup>30</sup> A 360 evaluation is a performance evaluation tool that solicits feedback about an employee from all directions: their managers, coworkers, and direct reports.

**Finding #2: A Hybrid of In-Person and Remote Learning, Spaced over Time, Promotes Deep Learning**

With the exception of administrators from programs housed exclusively in academic institutions, our interview respondents agreed that adult learning initiatives should be organized into a handful of two- or three-day in-person sessions spread out over the course of eight to twelve months. Alternatively, learning programs can be condensed into four- to five-month time frames. Degree-based programs housed in academic institutions that target executives tend to last longer and require at least one full academic year to complete; these types of programs also tend to be more self-paced.

Our interviews suggest that nondegree adult education programs are designed to allow participants time to reflect on what they have learned in the classroom and to apply new KSA to their jobs. To this end, administrators from two programs stressed the importance of integrating online intersessions between in-person meetings and stretching out learning initiatives over longer periods of time: “Ideally, [we integrate] multiple touches spread out over time so [that participants] have time to reflect.”<sup>31</sup> Repetition is also a key component to successful executive-level education, as stressed by another interview respondent: “[The] elongated learning journey is where you see the most movement. . . . If you just come together once for five days, you get some awareness, understanding, but you only build behavior change and confidence when you have repeat meetings.”<sup>32</sup>

All of our respondents emphasized that F2F interaction is critical to successful adult education. That said, most also pointed to the benefits of integrating opportunities for online remote learning in conjunction with F2F interaction, in part to accommodate the hectic schedules of senior-level employees. In general, this response speaks to the effectiveness and practicality of hybrid learning structures. At the outset of a program online modules can also be an effective way to “bring everyone to a similar base of knowledge”<sup>33</sup>—for example about skills

---

<sup>31</sup> RAND interview with executive education administrator, December 2019.

<sup>32</sup> RAND interview with executive education administrator, November 2019.

<sup>33</sup> RAND interview with executive education administrator, November 2019.

that are at the center of a particular profession. Some interviewees also spoke to the value of one-on-one coaching, which can be implemented either virtually or in-person.

### **Finding #3: Participants Value Hands-On, Real-World Experiences**

Our interviews highlighted the importance of interactive learning based on real-world problems that are relevant to participants' career fields. Most adult education programs that target senior-level professionals are grounded in reality. Our interview respondents said that they seek to provide students with a sense of what is most current in terms of issues that they are likely to encounter in their careers and that case studies, hands-on experiences, and so-called challenge projects are particularly effective teaching methods. Moreover, expert-level courses place high value on the experiences with which participants enter a course. Nearly all interviewees highlighted that peer-to-peer interaction and sharing are effective ways of learning, as well as building networks that advanced professionals can then continue to draw on throughout their careers. As noted above, administrators whom we interviewed also highlighted that individual coaching is a valuable teaching and follow-up tool insofar as it allows the individual needs of participants to be addressed.

### **Finding #4: Follow-Up Experiences Are Hard to Implement**

Most of our interviewees described informal forms of follow-up at the conclusion of a learning initiative. Informal follow-up includes reaching out to program alumni on an individual basis or just "staying in touch" with a group of alumni.<sup>34</sup> More formal means of follow-up, such as implementing continuous education once a program has ended or collecting information for rigorous impact evaluation several months out are difficult to implement because of participants' time constraints once they return to their careers. Where more formal follow-up does occur, it is more likely to take place within the bounds of the organization of the individual who has received training, rather than among a group of participants from diverse organizations who then disperse upon a program's conclusion.

---

<sup>34</sup> RAND interview with executive education administrator, December 2019.

### **Challenges to Implementing Expert Training and Education Highlighted by Outside Organizations**

According to our interview respondents, the design and implementation of expert- and executive-level professional education courses face a number of challenges. First, programs targeting government-level employees struggle to maintain relationships with sending agencies and organizations in the face of administration changes and shifting funding priorities. One respondent, for example, said that implementing learning programs is more feasible and valuable when the sending agency and the education provider both see value to an enduring partnership.<sup>35</sup> Conducting training on an ad-hoc basis is more challenging. A potential means to mitigate the impact of administration and funding changes is to make explicit efforts to maintain ongoing partnerships with organizations and agencies sending their employees to professional education programs. Reaching out to new administrations early can also help address challenges tied to administration and funding changes, as can disseminating the results of more formal program evaluations that publicize and clarify the positive impact of particular learning initiatives.

Second, the career pressures that senior-level employees face in their day-to-day jobs place significant limits on the extent to which they are willing and able to dedicate time to professional education opportunities. Commercial activity typically takes precedence over professional development, and in cases where the latter is not made mandatory, training sometimes falls by the wayside. Moreover, employers often fail to give their employees enough time to go through a particular learning initiative, thus reducing the overall impact of the program on that individual. One respondent put it as follows: “The learning is a journey. You don’t hit the learning objective through a lunch-n-learn or a two-day session. It’s about how different content builds on each other. Learning is no longer just an event, it’s an experience.”<sup>36</sup> The fact that adults tend to learn more slowly than younger students and also require more time to absorb new knowledge compounds some of these challenges related to time constraints. Approaches to addressing these

---

<sup>35</sup> RAND interview with executive education administrator, November 2019.

<sup>36</sup> RAND interview with executive education administrator, October 2019.

issues can include building time for the practical application of skills when participants return to their jobs or creating opportunities for self-paced knowledge accumulation through online intersessions.

Finally, our interviews with expert-level education administrators highlighted challenges related to finding the right instructor to deliver courses. It is important to use instructors who have accumulated a certain level of trust among course participants and whose academic and practical expertise matches the professional expertise of their students. Respondents suggested that using a balance of in-house and external instructors has sometimes worked to mitigate some of these issues.

## **Case Studies Relevant to Security Cooperation Expert Education and Training**

To complement the information gathered from our interviews of adult professional education administrators from outside the SC enterprise, the RAND team conducted four in-depth case studies of expert- and executive-level education programs. The purpose of the case studies was to identify specific aspects of adult education programs that will help to inform the design of an expert-level SC course, which we outline in Chapter Five. Further, the deeper dive into four cases provided insights beyond the initial findings from the interviews. Table 4.2 provides an overview of these cases and their congruence with our aforementioned selection criteria. In this section, we provide lessons learned about best practices in professional adult education based on our analysis of the following programs:

- Pine Street Leadership Initiative at the Goldman Sachs Group, Inc.
- Executive Fellowship and Certificate in Policy Strategy offered by the WashU in St Louis and The Brookings Institute joint partnership (WashU at Brookings)
- EMPA offered by Syracuse University's Maxwell School of Citizenship and Public Affairs
- Seminar XXI offered by Massachusetts Institute of Technology (MIT) and Tufts University Fletcher School.

**Table 4.2**  
**Non-Department of Defense Case Congruence with Selection Criteria**

| Case (sector)                                                                                                | Experience<br>or Education | Cross-Area<br>Training | Multitiered | Focus on<br>Organizational<br>Goals |
|--------------------------------------------------------------------------------------------------------------|----------------------------|------------------------|-------------|-------------------------------------|
| The Goldman Sachs<br>Group, Inc.<br>(corporate)                                                              | Yes                        | No                     | Yes         | Yes                                 |
| WashU at Brookings<br>Executive Fellowship<br>and Certificate in<br>Policy Strategy<br>(academic/think tank) | Yes                        | Yes                    | No          | Yes                                 |
| Syracuse University<br>Maxwell School EMPA<br>(academic)                                                     | Yes                        | Yes                    | No          | No                                  |
| MIT/Tufts Seminar XXI<br>(academic/think tank)                                                               | Yes                        | Yes                    | No          | No                                  |

**Case Study Methodology**

The RAND team drew on several sources to conduct our case studies. First and as detailed earlier in this chapter, we collected information on each case via semistructured interviews with administrators from each of the aforementioned programs. The results from these interviews are discussed holistically in a prior section of this chapter. Second, we drew on published research pertaining to each of the four cases, such as case studies and news articles announcing the launch of programs or discussing particular aspects of a program, as well as course catalogues.

To conduct our analysis, we performed an environmental scan of all of the information collected for each case and drew on our coded interview results. With this information, we developed an in-depth case study of each program that details its implementation and evolution, organization, participation, KSA focus, and timeline and delivery structure. Our case studies also discuss the extent to which each program aligns to the findings contained in extant research on executive and expert education and highlight the main barriers and facilitators to program implementation. See Appendix D for a more complete description of our case study findings. In what follows, we

outline best practices in expert-level education derived from these case studies. These findings ultimately inform the design of a course for SC experts.

### **Finding #1: Senior Professionals Benefit from Focus on Strong Strategic-Thinking and Problem-Solving Skills**

Our case studies of non-DoD expert-level education programs highlighted that strategic-thinking and problem-solving skills are important to the development of senior professionals. Goldman Sachs's Pine Street Initiative, for example, seeks to develop managing directors' and partners' ability to think holistically about problems and then communicate these issues to a broader audience. This particular skill is most relevant to individuals who will be going through DSCA's expert-level SC course, insofar as their roles will require the ability to take a view of the U.S. SC enterprise holistically. One method that Pine Street uses to create strategic thinkers among Goldman's cadre of leaders is having them focus on stretch goals—difficult goals that they do not yet know how to reach. In a stretch goal assignment, individuals take on significantly different responsibilities than they are used to in their current position.<sup>37</sup> For instance, a sales manager might be asked to lead a task force responsible for inventing a new process for product development. Stretch goals force managing directors and partners to move out of the comfort zone of their specialized roles and address challenges that are beyond the scope of their expertise. For a senior-level employee within DoD's SC workforce, a stretch goal might involve engaging in an area of SC outside the individual's expertise.

The ability to think strategically at the enterprise or ecosystem level is also a principal focus of executive education programs offered by the WashU at Brookings partnership. Strategic thinking is key to the development of senior leaders, who throughout their careers will regularly navigate complex, multifaceted issues. Indeed, enterprise leaders should be able to build and draw on a network of critical organizational

---

<sup>37</sup> Steven Kerr and Steffen Landauer. "Using Stretch Goals to Promote Organizational Effectiveness and Personal Growth: General Electric and Goldman Sachs," *The Academy of Management Executive* (1993–2005), Vol. 18, No. 4, November 2004.

and individual actors not only within their own agencies, but across agencies that together form an ecosystem. For a top-level employee within the federal government's executive branch, for instance, it is critical for that individual to understand not only how the White House functions, but also how Congress works—and both are explicitly explored in the WashU at Brookings programs. For an SC expert who has spent the majority of his or her time building foreign partner capacity, it will also be important for that person to understand the nuances of other SC competencies, such as POE, SC acquisition, and so on. Examples of coursework in this area include courses entitled “Networks and Partnerships,” which teaches participants how to build networks across their agencies and departments and how to address cross-boundary problems; “Organizational Alignment: Connecting Strategy and Values,” which focuses on the strategic alignment of an organization's mission, goals, and purpose and introduces several frameworks to help course participants understand how each part of their organization fits into the broader organizational strategy; and “Strategic Thinking: Driving Long-Term Success,” which provides students with frameworks to implement strategy and inform their agency's investments in people and processes in light of limited resources.<sup>38</sup>

Finally, problem-solving skills are also an important area of professional development at the expert and executive levels. Here, our research provided examples of how experts are taught to think critically. The WashU at Brookings offerings, for instance, seek to improve the ways that course participants “find, frame, and formulate challenges.”<sup>39</sup> When leaders are able to share a comprehensively formulated problem, assessing the value of specific solutions becomes more transparent.<sup>40</sup> Courses also teach participants to identify and eliminate biases that affect their own decisionmaking processes.

---

<sup>38</sup> WashU at Brookings Course Catalogue, 2019–2020.

<sup>39</sup> G. Edward DeSeve, *The Presidential Appointee's Handbook*, Washington, D.C.: Brookings Institution Press, 2017, p. 61

<sup>40</sup> DeSeve, 2017, p. 61

## **Finding #2: Robust Networks Help Senior Professionals Succeed in Their Roles**

Our case studies showed that senior-level professionals place high value on networking and the ability to draw on extensive professional networks to perform in their careers. Our cases all provided examples of how professional education programs targeting experts and executives integrate networking into the curricula. For example, the Pine Street Initiative at Goldman Sachs builds networking elements into its offerings in response to participant demand. Some courses are designed to begin or end with a social event that brings a cohort together in a less formal environment. “Offsites” are also a valuable teaching tool, as they remove employees from the Goldman context and introduce them to real-world situations that they might not otherwise encounter. Although offsites are more expensive to organize and run than internal events, and although they can at times induce anxiety in the office as senior-level employees go “off the desk,” there is value to integrating them alongside internal, classroom-based tools.<sup>41</sup> The WashU at Brookings offerings also pride themselves for encouraging participants in their Executive Fellowship program to build a strong rapport with others within their cohort and for providing participants with a “career-long professional network.”<sup>42</sup>

The Seminar XXI cohort model offers strong opportunities for networking over a prolonged (nine-month) period with participants from the U.S. armed forces, government agencies, and nongovernmental organizations. The program emphasizes social interactions and relationship building in a relaxed but stimulating environment, which helps participants form lasting bonds useful for future professional relationships. In addition to its extensive reading assignments, the program encourages fellows to think outside the usual boxes and debate, and recruits world class lecturers as guides. A point is made for assigning individuals to seats away from his or her usual cohort. Several times per year, Seminar XXI hosts weekend seminars at Arlie House in Warrenton, Virginia, which provide an opportunity for further learning

---

<sup>41</sup> Interview with Pine Street Initiative employee, October 28, 2019.

<sup>42</sup> WashU at Brookings Course Catalog, 2019–2020, p. 4.

and bonding in a relaxed setting. Moreover, Seminar XXI has a strong professional alumni network maintained through LinkedIn and the work of a full-time program director. At the start of each new class, alumni are invited to the annual dinner and lecture at the National Press Club in Washington, D.C.<sup>43</sup>

### **Finding #3: Collaboration and Communication Skills Strengthen the Management Capabilities of Senior Professionals**

A key component of many executive- or expert-level education programs focuses on the development of senior employees' management capabilities. As individuals progress upward within their organizations and more broadly within their career fields, they accumulate growing management responsibilities that require certain skills. Our case studies stressed the importance of collaboration and communication skills in this regard. The EMPA program at the Maxwell School, for instance, works to imbue its students with the understanding that they should work collaboratively with others to ensure that they are making the best decisions possible; one of the program's goals is to enable contemporary leaders to work toward collaborative wins rather than focusing solely on competition. To meet this objective, instruction draws on real-world case studies that highlight globalization-induced complexities. Students are trained to interact in cross-cultural environments and taught effective negotiation skills, which they have the opportunity to practice in the classroom with other EMPA participants. Critically, the EMPA program encourages students to reach beyond their own frames of reference: "A huge part of education and learning [at Syracuse] is hearing people articulate something very different from their own perspective."<sup>44</sup> WashU at Brookings programs also stress the importance of reaching beyond biases and accounting for diverse perspectives in decisionmaking, and the Pine Street offerings at Goldman Sachs deliberately build diversity into their cohorts to encourage cross-divisional communication at the senior leadership level.

---

<sup>43</sup> Interview with Seminar XXI program director and several alumni, November 2019.

<sup>44</sup> Interview with Syracuse University administrator, December 4, 2019.

Mentoring is another skill that our case studies identified as important to developing effective senior-level employees, although they placed less emphasis in this area relative to the development of other KSA. WashU at Brookings, for instance, fosters the mentoring skills of individuals who participate in its executive education programs. Leading is not just about influencing others to accomplish desired goals, but about developing others as you develop yourself. In this regard, programs stress the importance of “leading by coaching.”<sup>45</sup>

#### **Finding #4: A Strong Reputation Builds the Credibility of Professional Development Programs**

Finally, a number of our cases highlight the deliberate efforts of some organizations to build up the reputation of internal professional development programs. The Pine Street Initiative and Seminar XXI provide particularly useful lessons in this regard. In the former case, it is well known across Goldman Sachs that managing directors and partners selected to go through a Pine Street Initiative program have been carefully vetted by the firm and nominated by their supervisors on the basis of successful past performance. Moreover, Goldman Sachs has publicized the fact that the company’s most senior-level leaders and executives have all received coaching through Pine Street; while one-on-one coaching was originally stigmatized as an intervention required for “problem children” within the firm, its positive reputation has grown exponentially over time.<sup>46</sup> According to leaders within the Pine Street program, seeing high profile executives with coaches had a powerful impact on removing any stigma attached to the image of coaching.<sup>47</sup> The Pine Street reputation has also grown within the firm by word of mouth, as various programs make efforts to integrate participants’ supervisors into the learning process and also implement rigorous processes around follow-up and assessment.

---

<sup>45</sup> Interview with WashU at Brookings administrator, November 7, 2019.

<sup>46</sup> Interview with Pine Street Initiative employee, October 28, 2019.

<sup>47</sup> Boris Groysberg and Scott Snook, “The Pine Street Initiative at Goldman Sachs,” Boston: Harvard Business School Publishing, Harvard Business School Case No. 9-407-053, November 14, 2006.

Seminar XXI also has unique characteristics related to building up its reputation. Rather than formally advertising, the program relies on its alumni network to informally spread the word about the program's contribution to executive-level development. What's more, Seminar XXI is competitive; participants are nominated by their individual organizations and much care is taken to select fellows from many different organizations within and outside of the U.S. government. Seminar XXI awards an MIT certificate and a so-called black cube to fellows upon course completion. According to our research, the cube serves as a symbol and a conversation starter.<sup>48</sup>

## Conclusion

The four cases of executive education presented above—the Pine Street Initiative at Goldman Sachs, executive education programs offered by WashU at Brookings, the EMPA degree offered by Syracuse University's Maxwell School, and Seminar XXI offered by MIT and Tufts University's Fletcher School—provide useful examples for DSCA as it develops a curriculum for its expert-level course in SC. Cross-sector examples of executive education provides important lessons in the following areas: how to develop key skills and abilities across cadres of experts; helping experts acquire networks useful to their career development; and how to develop and build the reputation of expert-level courses.

In particular, a combination of strategic-thinking skills, communication and collaboration skills, and critical thinking skills are key to the development of senior-level professionals across the private and public sectors. Strategic thinking is about teaching leaders, executives, and other senior-level employees to think at the enterprise, or ecosystem, level within their particular industry (for example, SC) and gaining knowledge in a competency that is beyond their area of deep expertise. The range of course offerings in WashU at Brookings executive education programs that teach participants about policies and pro-

---

<sup>48</sup> Interview with Seminar XXI program director and several alumni, November 2019.

cedures across the various branches of government directly addresses this goal of helping experts in one area gain knowledge of other relevant areas within their career field. In the SC domain, broadening the knowledge of “experts” might thus imply training an SC official who is an expert in SC acquisitions in the basics of SC office operations and management, and/or building partner capacity/FMS execution. Strategic thinking also involves reaching beyond one’s organizational boundaries to understand alternative points of view and gain a better understanding of biases to generate more effective solutions to challenges. Given the dynamic and multidimensional environments in which U.S. SC personnel operate, strategic thinking that reaches beyond organizational boundaries is likely a key skill to imbue in individuals going through the expert-level course.

What is more, the complexity of SC also stresses the importance of critical thinking and communications skills, which serve as the focus of key components of the programs we highlight here. For example, the Syracuse EMPA program teaches participants to navigate the complex challenges that globalization has fostered through their thinking and communication with others. SC officials interact in cross-cultural environments with diverse actors over the course of their careers, which means that the ability to clearly communicate the intent and objectives of specific SC transactions is a key skill for experts in the field to develop. Moreover, the complexity of SC transactions, which often involve long timelines and numerous steps, in addition to interaction with diverse actors, requires that individuals who occupy expert-level SC positions possess refined analytical and explanation skills.

Finally, our research shows that action-based learning that uses real-world case studies and encourages the practical application of learned concepts is common across executive education programs. The programs we discuss in this section draw heavily on Knowles’s principles of adult learning, which highlight the important role of problem-centered, authentic learning experiences. Advanced professionals are most interested in learning about topics and issue areas that have immediate relevance to their work, and in building knowledge and skills that they need to solve problems. For DSCA, this means that instructional strategies should focus on real-world challenges faced by SC professionals

and integrate the case study method into learning. Moreover, instructors in DSCA's expert-level SC course should have extensive experience in areas related to SC, in SC officer positions, in positions directly connected to SC, or in academe, where they have expertise in relevant topics. Instructors' strong connections to the SC workforce will ensure that an important level of trust exists between them and course participants.

## **Security Cooperation Expert Course of Instruction and Ways to Implement It**

---

The previous two chapters have laid the groundwork for understanding the training and education requirements for SC experts from the perspective of SC and adult education SMEs. In particular, SC experts in their interviews and panel discussions have offered suggestions on where experts might be located, what they should know, and the kinds of training methods that might prove effective with this group of professionals based on their experience. The team's review of the adult education literature, interviews with adult education specialists, and case studies of expert-level educational programs have provided additional insights into the KSAs needed by senior leaders, as well as research findings and practical advice on the instructional strategies that seem to work best with experienced people in demanding jobs.

This chapter is intended to integrate the findings from our various sources in order to provide DSCA workforce developers with an outline of an SC expert COI and ways to implement it. The first section synthesizes potential objectives in SC expert training and education and suggests how they relate to one another. The second section recommends course design elements that pertain to the aforementioned objectives and discusses time and cost requirements. The third section describes what a holistic expert training and education program might look like. The fourth section addresses the most promising areas of focus for SC expert training, taking into account practical considerations such as time and cost as well as DSCA's potential outcome priorities. The fifth section briefly discusses how the COVID-19 pandemic might impact DSCA's plans to implement an expert-focused COI and

how the study team’s proposed instructional strategy may need to be modified in response. The final section summarizes the study team’s integrated findings and recommendations.

## **Potential Security Cooperation Expert Learning Objectives Distilled from Subject-Matter Expert Interviews, Case Studies, and Prior Research**

Figure 5.1 shows the SC expert learning objectives for a DSCU training and education program designed to grow and retain SC experts. Informed by our understanding of DSCU’s objectives for the expert-level course, the study team developed the framework in Figure 5.1 to communicate findings from the research. Figure 5.1 is somewhat idealized in that it does not consider the impact of time, cost, and other factors that might influence a decision to emphasize certain learning objectives over others. Such factors will be discussed later in this chapter.

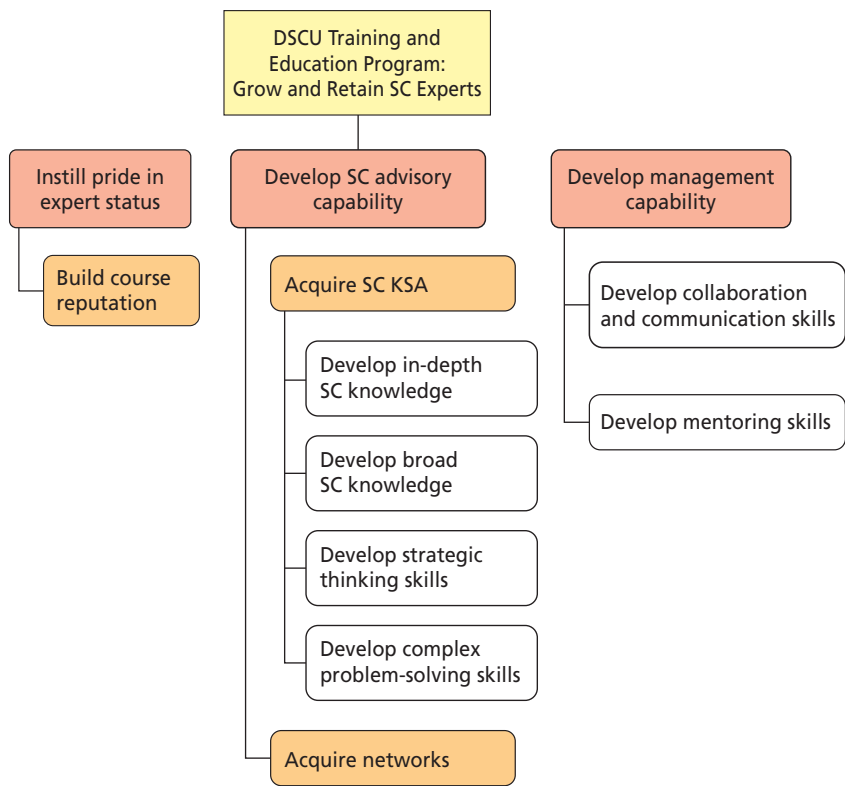
The central learning objective under growing and retaining SC experts—develop an SC advisory capability—emerged from discussions with DSCU officials, especially during an SC advanced course design workshop held in Arlington, Virginia, on January 22, 2019. In that workshop, DSCU organizers distinguished experts from lower level SC professionals by (1) their ability to apply competencies “in exceptionally difficult situations,” and (2) more to the point, their function as “a key resource who offers advice to others.”<sup>1</sup> RAND’s interviews with SC SMEs and adult education program leaders, as well as researcher reviews, reinforced advisory capability as a central learning objective and expanded on the learning objectives that are relevant to DSCA’s expert training enterprise.

To build an advisory capability, SC experts need both SC-related KSA (as described by SC interviewees) and professional networks that can provide additional information and assistance in developing and implanting SC plans and programs (as described by SC and non-SC

---

<sup>1</sup> Mark Ahles, “SC Competencies to Courseware Overview,” DSCU, briefing, January 22, 2020.

**Figure 5.1**  
**Security Cooperation Expert Learning Objectives**



NOTE: Does not reflect DSCU priorities or consider time, cost and other decisionmaking factors.

interviewees). As discussed earlier, SC interviews highlighted four objectives for acquiring KSAs: develop in-depth knowledge, develop broad knowledge, develop strategic-thinking skills, and develop complex problem-solving skills. Our research, particularly on expert-level training outside of SC, pointed to two additional high-level objectives on par with building advisory capability: develop a management capability and instill pride in expert status. As noted in a previous chapter, the management abilities to communicate and collaborate with colleagues, especially those with different areas of expertise and perspectives, is

necessary for SC experts to understand and address cross-enterprise problems. Instilling pride in the expert status—and thus building the course reputation—is unique among the highlighted objectives in that it focuses on DSCU's institutional goal more than learning objectives for participants. This objective, which emerged particularly from the Seminar XXI case but was echoed in the other non-SC cases, calls attention to DSCU's need to create a viable and valued course.

The recommended training course design elements associated with these objectives and subobjectives, along with their estimated duration and relative cost, are described in the following section.

## **Developing Course Design Recommendations and Considering Time and Cost**

As discussed in the previous chapter, our case study research and interviews with education administrators from outside the SC enterprise provided valuable insight into the KSA required for SMEs, as well as insight into how best to assess student needs in order to design the most effective course or program possible. Our research also provided insight into best practices for course timelines and delivery schedules. In this section, we discuss these lessons learned with a view toward providing DSCA with recommendations on course design in light of time and cost constraints. We begin by briefly describing our approach to evaluating the relative costs associated with various design elements and then provide recommendations on how to structure expert-level learning initiatives around four objectives: fostering necessary KSA among a cadre of experts; helping experts develop networks; developing the management capabilities of experts; and building course reputation. We focus our recommendations on particular instructional strategies, required levels of effort, and overall course length.

### **Criteria for Determining Relative Cost of Achieving Objectives Were Derived from Lessons Learned in Our Research**

Four factors are likely to be most influential in determining the relative cost of DSCU's expert-level course for SC professionals. First,

we assume the length of time over which a learning initiative extends impacts the overall cost of implementation, with shorter courses incurring lower management and instructor costs than longer courses. Second, the extent to which the course integrates F2F workshops, meetings, and mentoring versus asynchronous remote learning and one-on-one coaching will also inform relative cost. Whereas programs that require participants to travel for in-person meetings are likely to incur significant costs, asynchronous remote learning and mentoring alleviate expenses by limiting travel costs, room and board, meeting space, and similar expenses. Third, off-site learning experiences, such as visits to various government offices and agencies or military installations, are likely to raise the cost of a program. While offsites provide certain advantages in the way of practical and hands-on learning, they add travel and other costs to learning initiatives. Finally, social events such as dinners and happy hours organized to provide course participants with networking opportunities are also likely to increase the cost of a program. Note that the additional costs for longer courses, in-person classes, off-site experiences, and social events are balanced against their benefits. Below, we consider optimal instructional design and the cost implications for each of the objectives named above.

## **Acquire Security Cooperation Knowledge, Skills, and Abilities**

### ***Course Design Elements***

Our research provides several insights into best practices around designing courses geared toward acquiring KSA related to SC. Specifically, approaches to helping SC experts acquire relevant KSA should rely on a mix of lectures and interactive teaching methods, with emphasis on F2F learning. The relative balance of teaching approaches should match the extent to which a course focuses on deepening, as opposed to broadening, knowledge: while combinations of lecture, discussion, and some remote learning work well to deepen expertise in a particular competency, SC experts can broaden their knowledge of additional competencies through in-person interaction with other SC professionals in an environment that prioritizes interactive learning. Moreover, our research suggests that whereas classes to deepen knowledge in particular competencies should be organized into same-competency

cohorts, classes that focus on broadening expertise across different SC competencies would benefit more from mixed-competency cohorts in which experts with different areas of expertise can teach each other. Instruction in problem-solving and strategic thinking should also rely primarily on F2F interaction and create opportunities for students to learn from one another in a mixed-cohort setting. Finally, teaching focused on specific KSA might also consider leveraging opportunities for on-the-job application of material learned during class meetings. For example, remote intersessions can create time for participants to apply problem-solving and strategic-thinking skills to a contemporary SC issue.

### ***Time and Cost Considerations***

As we introduce above, the design and delivery structures of expert-level courses carry important cost implications and also place varying demands on the time of busy senior professionals. Curating in-depth knowledge is likely to demand the most time from SC experts and would likely occur over multiple years building on DSCU's existing and proposed intermediate and advanced level courses. If additional in-depth instruction is needed at the expert stage, we would recommend several in-person workshops spread out over the course of one year, with learning continuing asynchronously during remote intersessions.<sup>2</sup>

Coursework dedicated to broadening SC experts' knowledge of other SC competencies can occur concurrently, though learning in this area could stretch over a time period lasting between six to eight months. Efforts to broaden knowledge should also integrate off-site learning opportunities, for example by scheduling F2F workshops and meetings to take place at various SCOs. Learning problem-solving and strategic-thinking skills can be developed concurrently with deepening

---

<sup>2</sup> Our research on expert- and executive-level education from outside the SC domain shows that there is a strong consensus around the need for regular F2F interaction lasting more than one day. That said, our interviews also highlighted the additional cost and other burdens associated with bringing otherwise dispersed course participants together for longer periods of in-person learning. Hence, the recommendation of workshops and in-person meetings lasting one to three days reflects both research-supported and logistically feasible solutions and is meant to provide DSCA with flexible options.

and broadening knowledge of SC competencies. In short, the bulk of the learning KSA can be structured into a one-year time period during which course participants gather in-person for one to three days every two to three months.

## **Acquire Networks**

### ***Course Design Elements***

A holistic approach to developing SC experts also includes developing their professional networks both inside and outside the SC workforce. Expanded networks increase the ability of experts to tap others who work outside their primary competency. Essentially, developing a robust and diverse network through collaborative learning activities can to some degree supplant the need to develop deep expertise in areas in which SC professionals are not already well versed. As our case studies highlight, a program designed to build a senior professional's network should draw heavily on peer-led instruction and apply group problem-solving exercises to the classroom. With thoughtful facilitation, building networks is a natural result of collaborative learning. DSCA might thus set SC experts up to build robust networks by combining workshops focused on skills development with social gatherings such as dinners or happy hours. As mentioned above, some programs might also use off-sites not only to build knowledge, but also to increase levels of cohesion among a particular cohort of SC experts.

### ***Time and Cost Considerations***

We expect that experts will need between eight and twelve months to build effective networks, with in-person social events scheduled every two to three months during the evenings or weekends. Organizing social events of this nature increases the cost of a learning initiative. Thus, DSCA should also take advantage of opportunities to incorporate platforms for online interaction through which experts can maintain their networks during and after a program. Remote interaction during intersession periods can help control costs associated with network-building, but it does not fully replace the benefits of in-person interaction in loosely structured time together. Consider, too, front-loading the

in-person activities, as they can create the foundation for networking that can be expanded through remote activities.

## **Develop Management Capabilities**

### ***Course Design Elements***

Management skills such as collaboration and communication can be explicitly taught, as demonstrated in the discussion of interprofessional education, with specific focus on learning the discipline-specific approaches and language of others. Collaboration and communication can also be inculcated by designing activities that promote the use of these skills. To develop these skills, interviewees advocated having small, mixed-expertise groups work together on difficult and current SC problems for which there is no single correct solution. For example, a cross-competency cohort might work together on a complex SC case, engaging in debate and learning how to incorporate different points of view into one common solution. This type of learning occurs best in F2F settings.

One approach to building the mentoring skills of SC professionals is to integrate course modules in which participants can practice helping others learn while also developing their own knowledge. Our case studies suggest that useful instructional strategies might include small group discussion sessions in which participants take turns leading discussion about new topics relevant to SC. Classroom-based exercises of this nature can develop skills required to “lead by coaching.”

### ***Time and Cost Considerations***

We recommend that learning focused on the development of collaboration and communication skills be spread over six months, with cohorts gathering in-person for short one- to two-day workshops every two to three months. Although in-person learning is critical for developing these interpersonal management skills, remote learning can supplement the in-person experience. Asynchronous learning can occur remotely during programmed intersessions that follow F2F workshops. The condensed timeline and integration of asynchronous learning recommended for building up these skills helps to reduce costs, and requires less travel of participants. To facilitate effective asynchronous learning

of collaboration and communication, we recommend that DCSA consider investing in the development of an interactive online tool for use during intersessions, for example by establishing a partnership with an education technology company.<sup>3</sup> The development of such interactive online learning tools to foster communication and collaboration skills will increase costs for DSCA, but is likely a worthwhile investment.

The development of mentoring skills among a cadre of SC experts is likely to demand more time of busy professionals, although it should be noted that adult education programs emphasize the development of this skill less than other KSA. Developing mentoring skills can take eight to twelve months, during which participants gather for in-person small group discussion sessions every two to three months as they learn to “lead by coaching.” A strong emphasis on F2F interaction to build management capabilities would raise the cost of the program to DSCA. However, learning opportunities to build mentoring skills can be designed to fit during or after in-person workshops in which SC experts are developing other KSA. Moreover, DSCA might also consider integrating virtual small-group discussion sessions, which can occur more frequently (for example, once a month) and do not require participants to travel. Remote learning will help to lower the costs associated with the development of management capabilities but should be balanced with opportunities for in-person interaction.

## **Build Up Course Reputation**

### ***Course Design Elements***

There are a number of ways through which DSCA might build up the reputation of its expert-level course for SC professionals. First, we recommend that DSCA recruit influential SC professionals and experts from within and outside DoD who have diverse working experiences to serve as instructors. DSCA might also consider having leaders of the

---

<sup>3</sup> For example, Syracuse University has partnered with 2U, Inc., an educational technology company that contracts with colleges and universities to deliver online degree programs. The company has worked with Syracuse to create engaging virtual classroom experiences that draw on a suite of online interactive tools. See Mike Keat, “An Interdisciplinary Approach Is What You’ll Find in Syracuse U.’s EMPA Offering,” *American City & County*, April 10, 2017.

SC workforce, for example the director of DSCA, participate in the course as students. Recruiting influential professionals as both instructors and participants will increase the visibility of the course and also begin to build its word-of-mouth reputation.

Second, the incorporation of off-site social events such as dinners will also contribute to “spreading the word” about the value of the DSCU expert course. Social events are useful for showing off the talent of experts who are going through or have completed the course and can help to expand DSCU’s network.

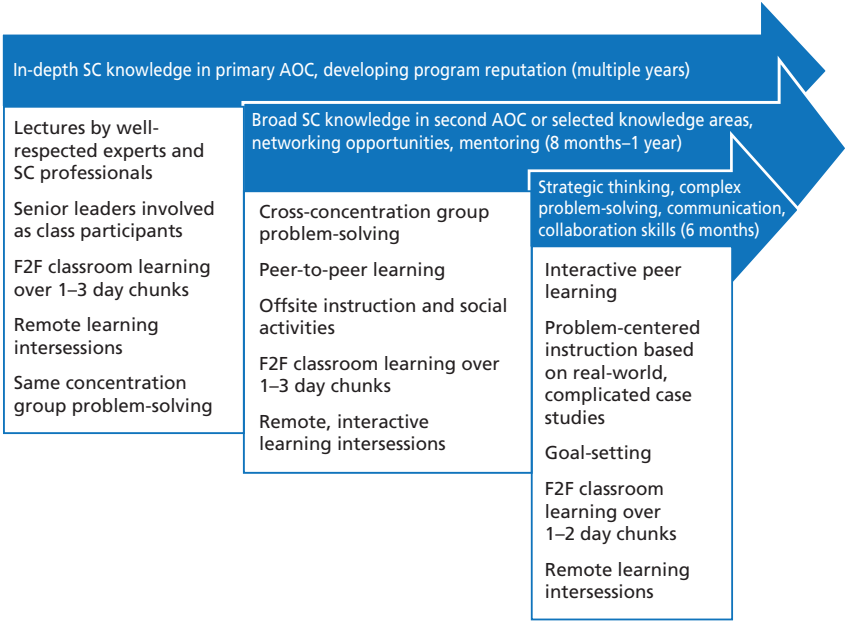
### ***Time and Cost Considerations***

We expect that it will take several years for DSCU to build up the reputation of its expert-level course. As such, it will be important to bring in reputable and influential SC professionals early on in the process and to continue holding social events such as the aforementioned dinners periodically over the first year and beyond. Efforts to build the program’s reputation will add substantial cost, given that any scheduled events will require participants and invited guests to travel for F2F interaction and that social gatherings are generally expensive to organize.

## **An Ideal Professionalization Program to Develop Experts Could Require Substantial Investment**

As Figure 5.2 shows, achieving the aforementioned SC learning objectives in full could require a substantial investment in time and resources. For example, developing in-depth knowledge in a primary AOC and developing program reputation could be a multiyear goal, involving lectures by well-respected experts and SC professionals, class participation by senior leaders, F2F classroom learning, remote learning intersessions, and same AOC group problem-solving activities. Although it could be accomplished concurrently with in-depth knowledge development, we estimate it could take from eight months to a year to develop broad SC knowledge in a second AOC or selected knowledge areas especially helpful to experts as well as provide net-

**Figure 5.2**  
**Proposed Organization and Flow of Security Cooperation**  
**Expert-Level Course**



NOTE: A more focused expert course could be accomplished in about a year and cost less.

working opportunities and some limited training in mentoring. Ideally, this area of instruction could include cross-concentration group problem-solving, peer-to-peer learning, and off-site instruction and social activities, in addition to F2F classroom learning and remote interactive learning intersessions. Also, potentially implemented concurrently with knowledge-acquisition, the development of skills in strategic thinking, complex problem-solving, communication, and collaboration could take six months and involve interactive peer learning, problem-centered instruction based on complicated real-world case studies, and goal-setting instruction, as well as F2F classroom learning and remote learning intersessions.

## Seven Strategic Choices to Ponder Related to Expert Education

The study team's research suggests that a holistic approach to developing SC experts—which includes several different objectives and mechanisms for achieving them—is ideal. However, it may be worthwhile for DSCA to focus on certain ends and means over others, given time and cost considerations, organizational priorities, and the challenges of aligning SC educational offerings with DoD civilian and military training cycles and job demands. With respect to the latter concern, there are at least three potential challenges to implementing the study team's proposed approach to SC expert education within a present-day DoD context. First, a year-long SC educational commitment could be difficult for mid- and senior-career professionals given other training and job-related requirements. Second, breaking a COI into several in-residence sessions interspersed with periods of work may be impractical for students living far from classroom locations. Third, military training and job requirements are generally more variable and less flexible than civilian requirements and thus make long-term, nonmandatory training commitments even more difficult for members of the military.

Table 5.1 shows seven different strategic choices related to expert education, along with the estimated length of time they would take to program and their primary delivery modes, which entail different levels of cost. The first four choices relate to the emphasis given to particular kinds of KSA; the last three relate to the duration and design of an SC expert course, as well as the targeted group of participants.

- The first choice is whether to continue to develop participants' primary area of knowledge beyond what they have acquired at the advanced and intermediate levels. If DSCA chooses to pursue this option, we estimate that providing an expert degree of in-depth education would take approximately 12 months and could be accomplished mainly via remote learning.
- The second choice is how to broaden participants' knowledge. Should it be accomplished by developing a secondary AOC, or a range of selected knowledge areas? In any event, we think this

**Table 5.1**  
**Security Cooperation Expert Strategic Choices and Associated Duration and Delivery Modes**

| Strategic Choices                                                                                                                                                              | Duration              | Delivery Modes (Cost Factor)                                                                                                                   |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Further develop primary AOC?<br>Yes/No                                                                                                                                      | 12 months             | Mainly remote learning                                                                                                                         |
| 2. How to broaden SC knowledge:<br>a. Develop secondary AOC?<br><b>b. Develop range of selected knowledge areas?</b>                                                           | 6 months concurrent   | In person workshops every 2–3 months                                                                                                           |
| 3. Which expert skills to focus on:<br><b>a. Strategic thinking and complex problem-solving?</b><br>b. Collaboration and mentoring?<br>c. Both sets of skills?                 | 6–8 months concurrent | In person workshops every 2–3 months                                                                                                           |
| 4. Assist in developing networks?<br>a. Limited<br><b>b. More significant</b>                                                                                                  | 10 months concurrent  | In person workshops every 2–3 months<br>Social events (on- or off-site)                                                                        |
| 5. Course duration:<br>a. Less than six months?<br><b>b. 6–12 months?</b><br>c. 1–5 years?                                                                                     | Varies                | Various delivery modes.<br>Inducements: civilian university or war college master's degree; degree required for SC expert position             |
| 6. Course model:<br>a. Entirely in-residence?<br>b. Short in-residence followed by remote learning?<br><b>c. Study-work model (with insurance measures)?</b>                   | Varies                | Various delivery modes.<br>Insurance measures: focus on D.C. area students; approval of students' supervisors                                  |
| 7. Course participants:<br>a. Primarily DoD civilians?<br><b>b. DoD civilians and selected military (with inducements)</b><br>c. All eligible civilians and military personnel | Not applicable        | Participant pool will not affect delivery modes.<br>Inducement: harmonize SC and other DoD higher education requirements (especially for FAOs) |

level of broadening could be achieved in about six months and could be done, if desired, concurrently with in-depth learning. Ideally, it would involve in-person workshops conducted every two to three months.

- The third choice relates to the question of which of the expert skills that DSCA prioritizes should be emphasized: strategic thinking and complex problem-solving skills, or management

skills such as collaboration and mentoring, or both sets of skills? Although some or all of these skills could be developed concurrently, the duration of this component of the course would likely vary from six to eight months, depending on the size of the targeted skill set. Like knowledge broadening, they are best acquired through several in-person workshops.

- The fourth choice involves the degree to which the course would help participants develop their network of knowledgeable and influential SC contacts. We estimate that this network-building activity could be conducted over a ten-month period concurrently with other aspects of the COI via in-person workshops and social events conducted on- or off-site.
- The fifth choice concerns the length of a course that can ensure sufficient participation by civilian and military SC professionals. Should the course be significantly shortened by focusing on the highest priority SC objectives? Should the course be broken into self-contained modules that could be taken over the course of several years during periods convenient for students? Or should DSCA offer the year-long COI that we have proposed—but induce students to participate by conferring a degree equivalent to a DoD-approved master's at a civilian university or one of the war colleges and, possibly, making this degree a requirement for holding a position designated for an SC expert?
- The sixth choice is whether to break the course into noncontinuous blocks of classroom instruction that might promote study-work interaction or to employ a more traditional continuous model that might allow for more expert candidates to fully participate. For example, DSCA could reject the proposed mixed study-work model and make the expert course entirely in-residence. Or it could reduce the in-residence portion of the course to a single session and increase the online component of the course. Alternatively, DSCA could retain the proposed study-work model but increase the likelihood of participation by focusing on potential students who live and work in the Washington, D.C., area or other DSCU course location while also requiring the approval of work supervisors for students to attend the course.

- The seventh choice pertains to the balance of civilian and military SC professionals that DSCA expects within its expert course student body. Given DoD civilians' more flexible schedule and the fact that they make up a largest and most stable portion of the SC workforce, DSCA could focus its attention on educating DoD civilians for expert positions. Alternatively, they could focus on civilians and members of the military who are most directly associated with the SC workforce—namely, FAOs—and induce the latter's participation in the course by working with service FAO branches to create an SC degree that satisfies their civilian university master's degree requirement. Or should DSCA seek to involve students representing the full range of civilian and military members of the SC workforce in its expert course?

The items in bold font in Table 5.1 reflect the study team's recommendations after accounting for probable DSCA outcome priorities and estimated time and cost of the different strategic choices.

Regarding the first strategic choice, it may be possible for SC expert candidates to avoid having to further develop competencies in their primary area of concentration through an additional COI. Assuming that the advanced and expert levels of certification continue to be separated, achieving mastery in a primary AOC could be the goal of the intermediate and advanced stages of the SC training process. It need not be the focus of the final expert stage, where the emphasis should probably be on broadening the prospective expert's areas of SC knowledge beyond his or her original AOC.

With respect to strategic choice two, developing a secondary AOC at the intermediate level of proficiency is DSCA's current requirement for experts. The study team's research indicates that this requirement may not be the optimum solution for individual experts to broaden their understanding of SC or for experts as a whole to achieve the kind of knowledge needed at their level. This is because not all AOCs appear to be equally important for experts. Senior SC interviewees concurred on the importance of SC POE, but did not agree on any other AOC. Thus, rather than having expert candidates pursue training in a secondary AOC that may or may not provide the

additional knowledge needed at the highest professional level, a better broadening approach would be for them to develop an understanding of areas of knowledge important to most experts. The study team has identified a provisional list of such knowledge areas from its interviews with SC SMEs (e.g., regional expertise, SC authorities and programs, SC strategy and planning, and interagency stakeholders), but that list would need to be refined and prioritized through additional research and analysis, possibly involving a structured survey of major SC stakeholders.

The team's SC interviews and adult education research suggest that developing an ability to think strategically and solve complex problems is essential for experts. The team's non-DoD case studies also highlight the importance of managerial skills and abilities, such as collaboration and communication, although SC experts did not focus on these skills, and they have not traditionally been part of the SC training and education curriculum. It may be that military training consistently develops management skills (e.g., in officer advanced and command and general staff courses), and so that is not needed in specialized COI. Even expert-level civilians—the majority of the SC workforce is civilian—tend to be former or retired military. Consequently, the study team does not consider developing a management capability as high a priority as developing the KSA needed to become an SC adviser. But that conclusion could change if the number of civilian personnel without military experience progressing through the ranks of the SC enterprise were to substantially increase.

The emphasis on networking among expert-level students, instructors, and senior mentors is a constant refrain in the study team's case studies and interviews with SC and adult education SMEs. No one person can know everything in the complex field of SC, with its myriad and changing technical details and country-specific nuances. Furthermore, SC is an inherently collaborative activity, requiring agreement and coordination across many functions and organizational levels. Thus, the team recommends that networking training and opportunities be incorporated into an expert training and education program. They could be facilitated in different ways, such as initial F2F interactions and, to manage costs, later online sessions.

There is an inherent tension between the need to provide a comprehensive, high-quality education to those seeking expert-level SC positions and other DoD training and job requirements, which will make it challenging to implement the study team's recommended approach to expert education in the near future. Thus, DSCA should consider taking a phased approach to course implementation. Our research has shown that an approximately year-long COI based on a study-work model, employing both classroom and remote learning methods, and focused on an integrated cohort of selected civilian and military students would be ideal. But there are alternatives to our proposed course duration, design, and student pool that might be more practical initially. For example, it may make sense to shorten the course by focusing on the highest priority objectives in the beginning while taking steps to enable DSCU to increase the course's duration and expand its content over time, such as making it equivalent to a DoD-approved master's degree as well as a requirement for an expert position. One way to maintain the study-work model that avoids the problem posed by the dispersal of SC personnel in far-flung locations would be to focus initially on prospective students working near DSCU locations. But an entirely in-residence model could be an alternative if DSCA decides it needs to incorporate students who do not have an SC-related job that allows them periodic travel to DSCU. Finally, while focusing on civilian students may be easier initially, DSCA should attempt to increase military participation, especially by FAOs, by harmonizing SC and other DoD higher education requirements.

## **Additional Challenges Posed by COVID-19**

The study team's expert education strategy will be even more challenging to implement in the near term because of the impact of COVID-19 on DoD's ability to provide schoolhouse instruction to individuals coming from multiple locations within and outside the continental United States. While not definitive, the adult education research suggests that physical F2F interactions are very useful for KSA development and cannot be entirely replaced by online instruction. In

the case of SC expert training, however, most instructional meetings could be held in small groups with appropriate physical distancing procedures. Indeed, small group activities are probably more effective from a pedagogical and networking perspective. Plus, the number of expert candidates in a given period is likely to be limited.

Still, the global training and education establishment will have to address the fact that it must forego traditional classroom education for the time being and may have to curtail F2F interactions among students and teachers for some time to come. Thus, it would be worthwhile to consider how DSCA could modify the SC expert COI to address the effects of the pandemic without unduly sacrificing instructional quality.

Although our research indicates knowledge-broadening activities are best implemented through repeated in-person workshops, DSCA could rely more on online knowledge acquisition for SC experts as organizations inside and outside DoD are currently doing in other contexts. However, with respect to skills-development and networking, the team would recommend additional research on developing an effective means of online interaction among students, instructors, and others, such as current and former SC officials. If necessary, DSCA could postpone the implementation of the expert component of the SC certification program until the COVID crisis subsides. While the study team is not advocating this course of action, extending the course design phase might not have serious consequences, given the many details that still need to be worked before the full rollout of an SC expert COI.

## **Conclusion**

This chapter has outlined a potential SC expert COI and discussed ways in which it might be implemented. In so doing, the study team has distilled expert learning objectives from DoD and non-DoD SMEs, case studies on relevant training courses and educational programs, and previous academic research on best practices in adult education. To grow and retain SC experts, we recommend developing (1) an SC

advisory capability based on in-depth and broad SC KSA such as strategic thinking and complex problem-solving as well as a diverse network of SC contacts, (2) an SC management capability that includes experts skilled in collaboration, communication, and to a lesser extent mentoring, and (3) a cadre of senior professionals who are proud of the status acquired by participating in a rigorous and well-regarded COI.

To achieve these objectives, we recommended particular course strategies, characterized their levels of effort, and estimated their duration and relative cost. Integrating these strategies, the team produced an idealized, three-layered SC professionalization program that includes (1) the development of in-depth knowledge in a primary AOC, (2) the development of broad knowledge in a second AOC or selected knowledge areas as well as networking and the ability to mentor others, and (3) interactive instruction related to strategic thinking, problem-solving, and collaboration. Understanding that such a COI could be time-consuming and expensive, we discussed four strategic choices for DSCA and the SC community that took time and cost considerations and organizational priorities into account. These choices include whether to use the expert stage of training to further develop a primary AOC, alternative ways to broaden SC knowledge, which expert-related skills to focus on, and how much emphasis to place on networking. Finally, we briefly discussed how to deal with the challenge of implementing our proposed COI during the COVID-19 pandemic.

As noted in Chapter One of this report, developing an effective and implementable COI for SC experts depends on balancing requirements for deep and broad knowledge, on the one hand, and desired course content and practical considerations, on the other hand. The ultimate goal of the professionalization process should be a “T-shaped” leader with both depth and breadth in terms of training and experience. But there is not a consensus within the SC community on who should have “expert” knowledge, what it should consist of, or when it should be acquired. Indeed, some question whether a separate expert-level of certification is needed or whether “expert” KSA should be relegated to SC executives and/or advanced level professionals. Another issue with which DSCA must grapple is finding the balance between designing the course to optimize the learning objectives and designing

the course with practical time and cost considerations in mind. This is particularly challenging as the potential participant group is relatively small, widely dispersed, and limited in its availability for training. Although achieving a balance in these two issue areas will be difficult, we believe it is worth the effort given that the outcome of reforms in various aspects of SC will depend on having a continuous supply of well-qualified and strategically-minded senior SC professionals.

## Interview Protocols

---

This appendix contains the interview/panel discussion protocols used to conduct semistructured interviews with SC and adult education SMEs.

### Security Cooperation Subject Matter Expert Interview Protocol

#### 1. INTRODUCTION

Thank you for taking the time to participate in this interview [or panel discussion]. We're from the RAND Corporation, a nonprofit, nonpartisan institution that conducts research on behalf of the U.S. government, private institutions, and foreign governments.

Our team is conducting a study on behalf of the DoD's DSCA. The purpose of the study is to help DSCA develop training course requirements for expert-level DoD civilian and military SC professionals that capture what they need to know regarding the integration of SC into the national security framework. Some of these course requirements may also be useful for informing executive-level (GO/FO and senior executive service) security cooperation officials.

As many of you know, DSCA is developing a four-tier SC certification program. Although requirements for the first two tiers—the basic and intermediate—have been relatively well defined, requirements for the third and fourth tiers—advanced and expert—are still in the process of being defined for certification purposes. That said, as currently envisioned by DSCA, someone with an advanced level of certification

should demonstrate technical mastery in at least one SC AOC, such as SC planning, oversight and execution. By contrast, an expert should not only have an advanced level of technical expertise in one AOC, but should also exhibit a broad understanding of SC as an instrument of national security and be cross-trained in one or more AOCs.

We selected you [this group] in consultation with our sponsor because of your experience in the SC field and your role in overseeing/managing SC planning, programming and/or implementation. Although we believe your insights on SC expert training requirements should be valuable to our study, you are of course free to decline to be involved in this interview [working group discussion].

We will be taking notes during the course of this expert panel discussion to ensure we accurately record your responses. We will be presenting themes and variation in responses in our study report for DSCA. We may include some direct quotes, but will not be attributing them to anyone by name or position in a way that would directly identify you. You are free to decline to answer any question and to provide the level of detail you feel is appropriate.

Do you have any questions at this time? Would you like to continue with this interview [discussion]?

## **2. BACKGROUND**

We would like to begin by asking some questions about your SC background(s).

- a. How many years have you been involved in the SC field and in what capacity? (e.g., in uniform, government civilian, contractor)
- b. In what kinds of organizations have you served in a SC capacity?
- c. In what area(s) of SC have you primarily focused? (e.g., SC Planning and Oversight, FMS Case Execution, SC Program Development and Management, SC Office Operations and Management)
- d. Have you received formal SC training or education?
  - i. If so, which organization(s) provided the training/education?
  - ii. What type and level of training/education did you receive?
  - iii. Was the training/education provided in a classroom setting or online?

- e. To what extent have you been exposed to the SCWCP prior to this meeting?

In the following questions we will transition to your perspective on the training and education requirements of the SC Workforce at the senior level (e.g., SDOs/DATTs, SC Division chiefs, etc.)

### 3. SC EXPERT POSITIONS

[Briefly review certification hierarchy as currently defined, see last page]

- a. Are there particular positions that should be filled by expert-level SC professionals [*as opposed to advanced SC professionals*]? If so, could you provide examples of such positions?
- b. What distinguishes these positions from those that could be held by less qualified [*advanced*] SC professionals?

### 4. SC EXPERT KNOWLEDGE, SKILLS AND ABILITIES

- a. Are there certain KSA that should be possessed by all expert-level SC professionals? If so, what are they? [*How do they differ from advanced-level KSA?*]
- b. Are there KSA that might differ depending on the kind of SC position and/or the expert's area of SC concentration? If so, could you describe how these KSA might differ?

### 5. SC EXPERT TRAINING

- a. With respect to the KSA you have identified for *all* expert-level SC professionals, could you describe the training and education that should be required [*above and beyond what the SCWCP would require of advanced level SC professionals*]?
  - i. Is this training and education currently offered within the DoD? If so, where?
  - ii. If not, should it be offered inside or outside DoD? Or both inside and outside DoD?
  - iii. If inside DoD, which institutions should offer this training and education?

- b. With respect to the KSA you have identified for *some but not all* expert-level SC professionals, could you describe the training and education that should be required [*above and beyond what the SCWCP would require of advanced SC professionals*]?
  - i. Is this training and education currently offered within the DoD? If so, where?
  - ii. If not, should it be offered inside or outside DoD? Or both inside and outside DoD?
  - iii. If inside DoD, which institutions should offer this training and education?
- c. Are there particular methods that you think would be particularly useful for the delivery of this training?
  - i. [Prompt if necessary: for example, lectures, case studies, workshops, TTXs; in-person vs. online; length of time, etc.]
- d. What challenges does DoD face in identifying SC expert training requirements and/or providing them with needed training and education?

## 6. ADDITIONAL INFORMATION

- a. Are there any key documents that would provide additional insight into developing SC expert positions, KSAs, and training requirements?
- b. Any people you would recommend we speak to about this topic?
- c. Any other DoD, USG, or private sector organizations that present admirable models for “expert” certification/training?
- d. Any additional comments you would like to make at this time?

Thank you for participating in this interview [or panel discussion].

## 7. FACT SHEET

**Section 384 of the FY17 NDAA** directed the DSCA to establish a **SCWDP**. “The purpose of the Program is to improve the quality and professionalism of the SC workforce in order to ensure that workforce has the capacity . . . to properly perform its mission, provide appropriate support to the assessment, planning, monitoring, execution, evaluation, and administration of SC programs and activities . . . and ensure that the Department receives the best value for the expenditure

of public resources.”<sup>1</sup> Additionally, it aspires to improve assignment of the SC workforce.

The SCWDP consists of five areas of concentration:

- **SC POE:** Broad planning, policy development, oversight, and execution of SC activities and programs. Also includes management of SC programs, intel cooperation, mil-to-mil engagements and defense institution building.
- **SC Case Execution Management:** BPC/FMS case execution, including case development, management, and execution (financial, logistics, and training management).
- **SCO Operations and Management:** SC activities conducted by a SCO. This would typically include most GS and military SCO staff and some CCMD staff.
- **SC Execution Support Management:** SC execution not in another AOC, including SC support staff, International Military Student Offices, State Partnership Program, etc.
- **SC Acquisition Management:** Acquiring defense articles and services using the DoD acquisition process for our international partners. Typically these individuals/positions are part of the Defense Acquisition Workforce.

The program possesses four certification levels:

- **Basic:** General knowledge and understanding of SC.
- **Intermediate:** Builds on Basic level. Focus is on developing technical knowledge and understanding of one AOC in the context of broader SC.
- **Advanced:** Builds on Intermediate level. Focus is on increased technical mastery of one AOC in the context of broader SC.
- **Expert:** Builds on Advanced level. Focus is on developing a broader understanding of SC as an instrument of U.S. national security. Requires cross-training in a second AOC at the Intermediate level.

---

<sup>1</sup> Public Law 114-328, National Defense Authorization Act for Fiscal Year 2017, December 23, 2016.

Requirements for the first two tiers—the basic and intermediate—have been relatively well defined; requirements for the third and fourth tiers—advanced and expert—are still in the process of being defined for certification purposes.

## **Adult Education Subject Matter Expert Interview Protocol**

### **1. INTRODUCTION AND ORAL CONSENT**

Thank you for taking the time to speak with us today. We're from the RAND Corporation, a nonprofit, nonpartisan institution that conducts research on behalf of the U.S. government, private institutions, and foreign governments.

Our team is conducting a study on behalf of the DoD's DSCA. The purpose of the study is to help DSCA develop training course requirements for expert and executive-level DoD civilian and military professionals working in the field of SC. SC is defined as "those activities conducted with allies and friendly nations to build relationships that promote specified U.S. interests, build allied and friendly nation capabilities for self-defense and coalition operations and supporting institutional capacity, [and] provide U.S. forces with peacetime and contingency access." Examples of SC activities include: foreign military equipment sales and training, multinational exercises and conferences, personnel exchanges, and senior leader engagements. SC professionals work across the DoD, including in the DSCA, the Office of the SECDEF, the GCCs, the Military Services, and U.S. embassies. Numbering approximately 22,000, their ranks include national security strategists and planners, program developers and managers, acquisition and training experts, financial analysts, and regional specialists, among others. Twenty percent of this group are estimated to be in expert and executive-level positions. Although not fully identified at this point, SC experts are described as having a broad "understanding of SC as an instrument of U.S. national security," who must be cross-trained in more than one area of SC concentration, such as strategy and planning as well as defense acquisi-

tion. Executives are general/flag officers and members of the civilian senior executive service who manage SC offices or large components of such organizations.

We selected you because of your background in professional education. We believe your expertise and experience in designing and implementing courses for people in, or aspiring to, positions as senior experts and managers in business, government and nongovernmental organizations could be very helpful to our study for DSCA. However, you are, of course, free to decline to be interviewed and no one outside the project will know this.

If you decide to proceed with the interview, you should know that we will be taking notes to ensure that we accurately record your responses. We will be presenting themes and variation in responses across interviews in our study report for DSCA. We may include some direct quotes, but will not be attributing them to anyone by name or position in a way that would directly identify you. You are free to decline to answer any question and to provide the level of detail you feel is appropriate.

Do you have any questions at this time? Would you like to continue with the interview?

## **2. BACKGROUND QUESTIONS**

We would like to begin by asking some general questions about your professional education background.

- a. Could you please describe the amount and kind of experience you have had in professional education instruction, administration, and/or curriculum development?
- b. To what extent has this experience pertained to the training and education of senior managers/executives?
- c. In business, governmental, or nongovernmental organizations?
- d. In the national or international security field?

For the remaining questions, we will be focusing on training to develop “senior experts.” For this project, “senior experts” are defined as being at the top of their field in at least one functional area with

significant expertise in other areas; able to integrate and apply a range of knowledge and expertise to solve enterprise-level problems; and having leadership qualities such as forward thinking and the ability to navigate complex relationships. “Senior experts” tend not to be topmost senior executives, although they often are advisors to senior executives.

### **3. NEEDS ASSESSMENT**

- a. How do you assess the learning needs of professionals in your organization?
- b. In your experience, what are best practices in understanding these needs?
- c. Are these practices the same or different depending on where students are in their career trajectory? If different for senior managers/executive, please explain.
- d. How do your needs assessments affect the delivery of training, beyond shaping which courses you offer?

### **4. COURSE DESIGN AND CURRICULUM DEVELOPMENT**

- a. What is an example of the type of KSA that a senior expert/leader would need to be successful at [program name]?
  - i. How would you design a training course to develop such a KSA? For example, should courses:
    - Be conducted by an employer’s in-house providers, a university, or other outside providers? Why?
    - Be self-directed or have an instructor? Why?
    - Feature classroom or online instruction? Why?
    - Contain lectures, seminars, or practical exercises? Why? [Probe: What type of practical exercises? Simulations? Real world written problems? On-the-job experiences?]
    - Be seamless or divided into multiple segments? Why?
    - Involve student testing and course evaluations? Why?
- b. We approached you because we have heard good things about the [program name]. Could you please describe the program?
- c. Specifically, could you please tell us:
  - i. What are the goals for the program? What content or skills are the focus for the program? How do you expect an organization that is sending their employees to your pro-

- gram to benefit? How do you expect the individual participants to benefit?
- ii. What types/levels of individuals do you aim to include? How are they selected for the program? About how many students/fellows are in a cohort?
  - iii. How long does the program run, start to end?
  - iv. Is the program offered online, F2F, in a different mode, or in a mix of modes?
  - v. Do individuals participate on their own timeline, or do they meet as a group? If as a group, how frequently do participants meet? For how long?
  - vi. Are instructors in-house or external? Please describe their experience and training, if you know.
  - vii. Does the course individualize to the needs of participants? If so, how?
  - viii. After the instruction ends, are there any follow-up activities? Please describe those. [Probe: Is a participant's supervisor involved in any follow-up when they return to their job? Is there coaching? Have participants' job descriptions or evaluations changed in any way?]
  - ix. Have you or others evaluated the impact of the program? If so, how did you conduct the evaluation [Probe: What are some of the performance metrics you applied to the evaluation?] Would you be willing to share results?
  - x. Would you be willing to share the curriculum or a sample curriculum from the program with us?
  - xi. What challenges has leadership faced in designing and executing this program? Were [program name] leaders successful in overcoming these challenges? If so, how?
  - xii. What do you feel are the greatest strengths of the program? What makes it unique?
  - xiii. What else do we need to know to best understand [program name]?
- d. Are there any other course curricula—either yours or others—you would recommend we review that might be relevant for training senior DoD SC experts and executives? What are the most salient features of the curricula you are recommending?

## **5. ADDITIONAL INFORMATION**

- a. Is there literature that you recommend we review that would be especially relevant to our study? Any literature that informed your own training programs?
- b. Any people you would recommend we speak to, either from your organization or from outside?
- c. Any additional comments you would like to make at this time?

Thank you for participating in this interview.

# Case Study Recommendations for Security Cooperation Expert Course

---

Table B.1 below presents case study topics for a potential SC expert course recommended by SC SMEs interviewed for this report and with whom the study team consulted at RAND. Fifty suggested case study topics were received from 14 SMEs, including current and former civilian and military officials in OSD policy, the Joint Staff, DSCA, Navy headquarters, Marine Corps headquarters, USINDOPACOM, USEUCOM, and DoS.

These case recommendations were solicited by email, and respondents either answered via email or over the phone. It was suggested that respondents provide complex, real-world examples of country-level SC initiatives with a variety of outcomes and possible paths to success and featuring a diverse blend of SC tools and stakeholders, U.S. and foreign. Respondents were also requested to choose examples that could be primarily researched and analyzed using unclassified source materials.

Grouped by geographic CCMD, Table B.1 entries include the country or countries associated with each recommended case, along with a brief description of the case study topic and a comment regarding the significance of the topic when provided. Similar case study recommendations have been consolidated to avoid unnecessary duplication. No other filtering was employed. Sources of case study information mentioned by SMEs can be found in the table notes.

**Table B.1**  
**Recommended Case Studies for Security Cooperation Experts**

| Country/<br>Countries       | Case Description                                                        | SME Comment                                                                                                                                                                                                                                                                                                                                           |
|-----------------------------|-------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| U.S. Central Command Cases  |                                                                         |                                                                                                                                                                                                                                                                                                                                                       |
| Afghanistan                 | U.S. security sector assistance to Afghanistan (2001–2019) <sup>a</sup> | While representing SC in a wartime environment, this case differs radically from average programs by virtue of the size and presence of implementation teams, the degree of interagency coordination, the amount of resources expended, and so on.                                                                                                    |
| Arab Gulf States            | Integrated air and missile defense in the Gulf                          | This case would be difficult to do unclassified, but the idea of a coalition Integrated Air and Missile Defense system has been written about openly. The learning point here is that nations trust the United States bilaterally, but multilateral cooperation is extremely difficult. The highly technical nature of the work is another challenge. |
| Central Asia                | Sale of tactical radios to Central Asian customer                       | Small U.S. investment caused Russians to counter by significantly increasing their level of security assistance and diverted their attention from the Baltics.                                                                                                                                                                                        |
| Egypt                       | U.S. security assistance to Egypt (1979–2018) <sup>b</sup>              |                                                                                                                                                                                                                                                                                                                                                       |
| Jordan                      | F-16 sales case                                                         | Funding is the most salient aspect of the case.                                                                                                                                                                                                                                                                                                       |
| Lebanon                     | Security cooperation initiatives in Lebanon (post-2005) <sup>c</sup>    | Whole-of-government effort focused on building partner capacity. Variety of “what went wrong, what went right, and how could we have done it better” situations.                                                                                                                                                                                      |
| United Arab Emirates        | CH-47 sales case                                                        | Production line issue is the most salient aspect of the case.                                                                                                                                                                                                                                                                                         |
| Yemen                       | Counterterrorism-related security assistance to Yemen (2007–2011)       |                                                                                                                                                                                                                                                                                                                                                       |
| U.S. European Command Cases |                                                                         |                                                                                                                                                                                                                                                                                                                                                       |
| Baltic states               | Baltic missile defense program                                          | Intended to counter a direct threat to NATO, this program is too narrowly defined and difficult for a GCC to implement.                                                                                                                                                                                                                               |
| Belgium                     | F-35 sales case                                                         | Offset issue is most salient aspect of the case.                                                                                                                                                                                                                                                                                                      |

**Table B.1—Continued**

| Country/<br>Countries           | Case Description                                                                              | SME Comment                                                                                                                                                                                                                                                                |
|---------------------------------|-----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Finland                         | EA-18G sales case                                                                             | This is a case study in integrating Cat 8 and other intelligence data into the FMS process. It also showcases how data rather than hardware is becoming the determinant of partner capability.                                                                             |
| Georgia                         | Georgia Deployment Program—International Security Assistance Force (Afghanistan)              | To gain warfighting experience, Georgians wanted to be full battlespace owners; imposed heavy tax on U.S. logistics support and liaisons. Program took place over a long period in Germany and Afghanistan and included various stakeholders, authorities, and challenges. |
| Greece                          | U.S. security assistance to Greece <sup>d</sup>                                               |                                                                                                                                                                                                                                                                            |
| NATO allies                     | Marine Forces Europe amphibious initiative with high end NATO allies (2016–2019) <sup>e</sup> | An example of great power competition, this initiative successfully rallied a group of European nations to collaborate to support NATO plans.                                                                                                                              |
| Turkey                          | Patriot missile sales case                                                                    | Political aspects of the case are most salient.                                                                                                                                                                                                                            |
| U.S. Indo-Pacific Command Cases |                                                                                               |                                                                                                                                                                                                                                                                            |
| Australia                       | P-8 sales case                                                                                | This hybrid case showcases the complexity of combining FMS and International Cooperative Programs.                                                                                                                                                                         |
| India                           | U.S. security assistance to India                                                             | “PhD case” in geopolitics and integration of SC with U.S. foreign policy goals. Massive technology transfer issues over the years.                                                                                                                                         |
| India                           | P-81 sales case                                                                               | This hybrid case showcases the complexity of combining FMS and direct commercial sales.                                                                                                                                                                                    |
| Indonesia                       | Train and equip and defense institution building programs in Indonesia                        | This is an interesting case study at the strategic level—how it figures into great-power competition, how to overcome strategic mismatches, how to work in an environment where partners’ trust is limited.                                                                |
| Philippines                     | Japanese donation of TC90 aircraft to the Philippines                                         | Multinational (U.S.-Japanese) effort that challenges standard security assistance practices.                                                                                                                                                                               |

Table B.1—Continued

| Country/<br>Countries                        | Case Description                                                                                       | SME Comment                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|----------------------------------------------|--------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| South<br>Vietnam                             | Security force<br>assistance to South<br>Vietnam in the 1960s <sup>f</sup>                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Sri Lanka                                    | Excess defense article<br>donation of U.S. Coast<br>Guard cutter to Sri<br>Lankan Navy in 2004         | Decisionmakers in Washington across<br>the various organizations that weigh in<br>on the process (DSCA, State Department,<br>U.S. Navy, the U.S. Coast Guard, the<br>intelligence community, and others) had<br>to wrestle with the difficult choice to<br>provide the cutter to a nation that would<br>be supportive of U.S. national security<br>interests and had verifiable need, as well as<br>the ability to maintain and use it properly,<br>the manpower and skills of officers and<br>crew, and facilities in-country that could<br>support the vessel over time. |
| Taiwan                                       | Fighter aircraft sales<br>case                                                                         | Political aspects of case are most salient.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| U.S. Africa Command Cases                    |                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| AMISOM<br>Troop<br>Contributing<br>Countries | U.S. SC with countries<br>contributing to the<br>African Union Mission<br>in Somalia                   | Case benefits from having multiple players.<br>Generally considered a success, but some<br>research points out ways in which it was a<br>failure. <sup>9</sup>                                                                                                                                                                                                                                                                                                                                                                                                             |
| Botswana,<br>Namibia                         | OSD biodiversity<br>programs in the<br>mid-late 1990s                                                  | Some of the purposes to which the money<br>was put were successful (i.e., support to<br>the Botswana military antipoaching teams);<br>others provided very little if any return<br>on investment (i.e., provision of EDA O-2<br>aircraft to Namibia).                                                                                                                                                                                                                                                                                                                      |
| Djibouti                                     | Rapid Integration<br>Battalion training<br>program                                                     | Intended to reinforce access to a major<br>line of communication and counter<br>Chinese and Russian influence, this tactical<br>program has strategic impact across three<br>combatant commands (USAFRICOM,<br>USCENTCOM, USEUCOM).                                                                                                                                                                                                                                                                                                                                        |
| Ghana                                        | Armored Personnel<br>Carrier sales to<br>support Ghanaian<br>troops deployed to<br>Rwanda in mid-1990s | Directed by the White House, this program<br>was extremely painful to execute and ended<br>up being a spectacular failure.                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

Table B.1—Continued

| Country/<br>Countries              | Case Description                                                                                            | SME Comment                                                                                                                                                                                                                                                                                                                    |
|------------------------------------|-------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Mali                               | Counterterrorism related security assistance to Mali (2011–2013)                                            | Mali lacked the institutional capacity to support and maintain counterterrorism units. There was also interagency miscoordination regarding the Trans-Sahara Counterterrorism Partnership program. While Mali is generally considered a failure, one author's thesis points out ways in which it was a success. <sup>h</sup>   |
| Nigeria                            | A-29 sales case                                                                                             | Civilian casualty issue is the most salient aspect of the case.                                                                                                                                                                                                                                                                |
| Nigeria                            | Program to train and equip five Nigerian battalions for peacekeeping mission in Sierra Leone in early 2000s | This program was very complicated to execute, but ultimately successful.                                                                                                                                                                                                                                                       |
| Nigeria                            | Ministry of Defense-level advisory assistance to the Nigerians                                              | This military reform effort turned out to be a failure for the most part. One of its unique aspects was a cost-share arrangement with the Nigerians.                                                                                                                                                                           |
| <b>U.S. Southern Command Cases</b> |                                                                                                             |                                                                                                                                                                                                                                                                                                                                |
| Colombia                           | U.S. security force assistance to Colombia (1999–2015)                                                      | Although complex, this case also represents a level of investment that is not going to be often replicated in the SC world.                                                                                                                                                                                                    |
| El Salvador                        | Security force assistance to El Salvador in the 1980s                                                       |                                                                                                                                                                                                                                                                                                                                |
| <b>Cross-Regional Cases</b>        |                                                                                                             |                                                                                                                                                                                                                                                                                                                                |
| Combined case                      | International Acquisition and Exportability (IA&E) <sup>i</sup>                                             | Based on real-world cases, this case combines the complexity of an "India-like" nation, a missile technology control regime, Qualitative Military Edge, "tail swaps," and other issues.                                                                                                                                        |
| Iraq, Turkey, Russia               | U.S. SC in the context of the anti-ISIS campaign in Iraq and Syria (2016–2017)                              | Case study would examine the international team that diminished ISIS in Iraq and Syria. U.S. actions were coordinated across two CCMD theaters, which offered mutual support at critical "geo/political seams." Participants would include DSCA leadership, Joint Staff, CCMD staffs, international partners, and competitors. |

Table B.1—Continued

| Country/<br>Countries | Case Description                                       | SME Comment                                                                                                                                                                                             |
|-----------------------|--------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Multiple countries    | U.S. Navy Cooperative Development Program <sup>d</sup> | This is a good example of how a service headquarters can be intimately involved in a SC program that benefits multiple theaters.                                                                        |
| Multiple countries    | DAU's ACQ-380 case studies                             | These cases involve role-playing by key security assistance stakeholders, including project management offices, service implementing agencies, DSCA, service acquisition executives, OSD, and Congress. |

NOTE: Case study information comes from the following sources:

<sup>a</sup>Special Inspector General for Afghanistan Reconstruction, *Divided Responsibility: Lessons from U.S. Security Sector Assistance Efforts in Afghanistan*, June 2019.

<sup>b</sup>U.S. Department of State, *Egypt Security Assistance Review*, Washington, D.C.: October 29, 2018.

<sup>c</sup>Suggested sources of information on U.S.-Lebanon SC include Joint Knowledge Online (JKO) and Center for Army Lessons Learned (CALL) database. See also Karlin, 2019.

<sup>d</sup>Mara E. Karlin, *Building Militaries in Fragile States: Challenges for the United States*, Philadelphia: University of Pennsylvania Press, 2019.

<sup>e</sup>Gene Germanovich, J. D. Williams, Stacie L. Pettyjohn, David A. Shlapak, Anthony Adler, and Bradley Martin, *NATO's Amphibious Forces: Command and Control of a Multibrigade Alliance Task Force*, Santa Monica, Calif.: RAND Corporation, RR-2928-USMC, 2019, chap. 2.

<sup>f</sup>Bronwyn E. Bruton and Paul D. Williams, *Counterinsurgency in Somalia: Lessons Learned from the African Union Mission in Somalia, 2007–2013*, Joint Special Operations University Report 14-5, September 2014.

<sup>g</sup>Simon J. Powelson, "Enduring Engagement Yes, Episodic Engagement No: Lessons for SOF in Mali," thesis, Monterey, Calif.: Naval Postgraduate School, December 2013.

<sup>h</sup>Drafted by staff at Navy International Program Office, Office of the Deputy Under Secretary of the Air Force/International Affairs and DSCU West, this case study has been proposed for inclusion in the DSCU course curriculum.

<sup>i</sup>Combined Joint Operations from the Sea Centre of Excellence, *Allied Interoperability and Coordination Guide*, November 2018.

## **Methodology for Cross-Sector Literature Review and Department of Defense and Non-Department of Defense Subject-Matter Expert Interviews**

---

### **Cross-Sector Literature Review Standards of Evidence**

Table C.1 shows the standards of evidence the study team used to conduct our review of the literature on best practices in adult education that might prove useful to the design and implementation of a COI for SC experts.

### **Interview and Case Study Methodology**

#### **Interview Protocol and Coding: Senior Security Cooperation Officials and Experts**

The protocol used by the study team for interviews and panel discussions with senior SC officials and experts contains six sections and a fact sheet (see Appendix A). To facilitate comparative analysis, the SC expert protocol is similar to the protocol used to elicit information from non-DoD adult education SMEs in areas where the two sets of experts could be expected to comment on similar topics. The first section identifies the study team's organization and client, explains the purpose of the study, provides information on DSCA's certification program (including the official definition of SC expert), and states the team's rationale for selecting interviewees and procedures for collecting and

**Table C.1**  
**Cross-Sector Literature Review Standards of Evidence**

| Type of Evidence                   | Definition and Uses                                                                                                                                                                                                                                   | Include? | Level of Impact and Implementation Evidence |
|------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|---------------------------------------------|
| <i>Empirical Research</i>          | <i>Collects original data for purpose of examining a question</i>                                                                                                                                                                                     |          |                                             |
| Intervention Study                 | Examines impact/implementation of specific program, policy, product<br>Used to identify best practices                                                                                                                                                |          |                                             |
| Randomized controlled trial        | Randomly assigns participants to conditions                                                                                                                                                                                                           | Y        | Strong                                      |
| Quantitative evaluation and design | Uses matched comparison groups<br>Includes regression discontinuity                                                                                                                                                                                   | Y        | Moderate                                    |
| Correlational Study                | Uses statistical controls in the analysis to minimize bias                                                                                                                                                                                            | Y        | Limited                                     |
| Observational Study                | Observes natural situation without intervention; must involve systematic collection of data; used to develop theory and/or to study implementation                                                                                                    |          |                                             |
| Case Study (multiple cases)        | Includes more than one group (e.g., multiple programs or cohorts)<br>May involve comparison across cases                                                                                                                                              | Y        | Limited                                     |
| Case Study (single case)           | Focuses on one group                                                                                                                                                                                                                                  | Y        | Limited                                     |
| <i>Literature Review</i>           | <i>Does not collect original data but can use data from existing research; literature review is the primary purpose of the evidence; empirical and theoretical work may include literature reviews as background; used to identify best practices</i> |          |                                             |
| Meta-Analysis                      | Quantitative approach to assessing quality of literature and synthesizing findings; may include low-quality literature; uses sensitivity analysis to determine influence of various aspects of the literature                                         | Y        | Strong                                      |
| Systematic Review                  | Systematic, rules-based approach to assessing the quality of the literature and synthesizing findings<br>Excludes low-quality literature                                                                                                              | Y        | Moderate                                    |
| Narrative Review                   | No systematic approach to assessing the quality of the literature or synthesizing findings; does not present balanced evidence to support the case; may come across as promotional                                                                    | N        | Very weak                                   |

Table C.1—Continued

| Type of Evidence     | Definition and Uses                                                                                                                                                                                                                                                                                                             | Include? | Level of Impact and Implementation Evidence |
|----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|---------------------------------------------|
| Background Review    | Same as narrative review but folded as secondary source into larger study<br>Literature presented mainly to build a case                                                                                                                                                                                                        | N        | Very weak                                   |
| <i>Theory</i>        | <i>Model or construct; does not involve original data collection or systematic analysis but must reference prior research findings; used to provide ways of thinking about the subject to frame sections; may be vetted with experts to further validate</i>                                                                    |          |                                             |
| Theory of Action     | Poses a process by which some intervention should achieve desired results; includes theory of change connecting an intervention and desired outcome through intermediate step(s), with either a visual model or a text description; need to identify whether the theory is the “primary” or “secondary” purpose of the evidence | Y        | Limited                                     |
| Conceptual Framework | Provides a way of categorizing or organizing information to guide future action (implementation of an intervention or research); does not draw on prior research; may include generalized approach drawing from author’s experience                                                                                             | N        | Very weak                                   |
| <i>Opinion</i>       | <i>Recommendation or preference<br/>Does not involve original data collection or theory</i>                                                                                                                                                                                                                                     |          |                                             |
| Expert Consensus     | Summarizes the areas of agreement (and disagreement) among experts on the topic<br><br>If there is only one expert, and meets other criteria, consider this “theory”                                                                                                                                                            | Y        | Limited                                     |
| Opinion              | One or several people stating their recommendations or perspectives; does not present balanced evidence to support the case; may come across as promotional; may be produced by intervention developers or others who have a stake in the outcome                                                                               | N        | Very weak                                   |
| News Items           | Not evidence but might provide ideas of additional research to review or programs to consider for interviews or cases                                                                                                                                                                                                           | N        | Very weak                                   |

using interview data. Section two asks for information on interviewees' SC background, including any previous SC education and training. Sections three through five focus on interviewees' views regarding the types of positions in DoD organizations that should be filled by military and civilian SC experts, the kinds of KSA that SC experts should possess, and the type of training and education they should receive, along with the challenges of providing it. Section six asks for additional information that might be relevant to the study. The fact sheet, which was provided to all interviewees in advance of the team's meeting with them, contains basic information on DSCA's SCWDP, including the five AOCs and four certification levels.

For purposes of data collection and analysis, verbatim notes taken by a dedicated notetaker and reviewed by team members participating in interviews and panel discussions were coded using an a priori coding structure aligned to research questions and protocols. Working collaboratively, two team members developed a thematic synthesis within major codes and identified detailed codes. Interview materials were then recoded using detailed codes and a synthesis was developed within detailed codes. Data pertaining to each interviewee and panel discussion member were then organized by major and detailed codes in an Excel workbook to provide counts of responses on various topics along with illustrative quotations.

### **Criteria for Selecting Outside Organizations and Interviewees**

In shaping its certification process, DSCA has already explored and integrated models for executive-level training used within the military. We therefore looked to models from other sectors that we believe provide lessons that are useful and relevant to DSCA's course for SC experts. After a careful review of the DSCU Certification Program Guidelines (version of September 27, 2019),<sup>1</sup> we set out of the following parameters to shape our selection of cases and associated interviewees.

---

<sup>1</sup> DSCA, Memorandum to the Department of Defense Components, "Implementation of the Department of Defense Security Cooperation Workforce Certification Program," September 27, 2019.

First, participants joining the selected programs should have *levels of education and experience* similar to those who will enter the DSCA expert-level course. The cases that we selected explicitly require that participants enter their programs with significant professional experience or experience in leadership positions at their organizations.

Second, the *goals* of the training should be similar to those of the DSCA expert-level course. Specifically, they should prepare leaders within an organization who have specialized expertise to think strategically at the enterprise level and help them develop the knowledge required to do so.

Third, we provide at least one example of a *multitiered approach* to employee development that reflects the DSCU's goal of training SC personnel at the basic, intermediate, advanced, and expert levels. The training program should be constructed in such a way that each level builds off the previous level in the same way that DSCU will structure its program.

We attempted to select programs geared specifically toward improving organizational effectiveness, as judged by the organizations' descriptions of the purpose of their training programs or evidence of impact in program evaluations. We took into consideration a number of factors that our literature review highlights as important to the construct of expert-level training courses; we excluded self-administered training programs and looked for cases that offered both online and F2F delivery of course material<sup>2</sup>

Lastly, the availability of sufficiently in-depth information on expert-level training courses and curricula placed important limitations on our case selection. While a large number of organizations in the corporate sector and beyond maintains in-house employee development and talent management programs, detailed information on programs beyond what is available on company websites is often considered proprietary. This obstacle reduced the number of cases and

---

<sup>2</sup> Lacerenza et al., 2017; Henderson, Dalton, and Cartmel, 2016; Lockhart, McKee, and Donnelly, 2017; Jonathan Bergmann and Aaron Sams, *Flip Your Classroom: Reach Every Student in Every Class Every Day*, Washington, D.C.: International Society for Technology in Education, 2012.

interviewees from which we could draw. Nevertheless, we are confident that the examples we have selected provide the most relevant and up-to-date lessons on expert-level training based on the information currently available. We summarize our main case and interviewee selection criteria in Table C.2.

**Interview Protocol and Coding: Non–Department of Defense Adult Education Subject-Matter Experts**

The structure of the protocol used by interviews with non-DoD adult education SMEs aimed to prompt discussion on important topics while not overly confining interviewee responses. RAND researchers asked interview respondents from outside organizations about the skills and abilities that SMEs and senior executives need to perform well in their roles, and also gathered information about the specifics of training design to include the timing and nature of instruction. For example, questions centered on the length of training programs and the pace at which training should be executed, as well as eliciting information

**Table C.2**  
**Non–Department of Defense Case and Interview Selection Criteria**

| Program (sector)                                                                                   | Experience<br>or Education | Cross-Area<br>Training | Multi-<br>tiered | Focus on<br>Organizational<br>Goals |
|----------------------------------------------------------------------------------------------------|----------------------------|------------------------|------------------|-------------------------------------|
| The Goldman Sachs Group, Inc. (corporate)                                                          | Yes                        | Yes                    | Yes              | Yes                                 |
| WashU at Brookings Executive Fellowship and Certificate in Policy Strategy (university/think tank) | Yes                        | Yes                    | No               | Yes                                 |
| Syracuse University Maxwell School EMPA (university)                                               | Yes                        | Yes                    | No               | No                                  |
| University of Maryland, School of Public Policy (university)                                       | Yes                        | Yes                    | No               | Yes                                 |
| National Defense University (government/university)                                                | Yes                        | Yes                    | No               | Yes                                 |
| RAND Corporation (university)                                                                      | Yes                        | Yes                    | No               | No                                  |

on specific instructional strategies and modes of delivering training, including follow-up after the completion of a program. One interview was conducted in person, and the rest over the phone. Conversations lasted between one and one-and-a-half hours. Appendix A includes the full interview protocol used to guide conversations with interviewees from outside the SC enterprise.

After completing telephone and in-person interviews with non-DoD SMEs in professional education, RAND researchers applied a similar methodology to code responses as was used to code interviews conducted with SC SMEs (see Chapter Three). Researchers coded each interview using an a priori coding structure aligned to the specific research questions and broader protocols. The team then developed a synthesis of major themes identified across interviews and created disaggregated, detailed codes within each of these major themes. The information from each interview was then recoded according to the detailed codes and entered into a spreadsheet to allow for easier comparison across interviews. The coding structure ultimately allowed researchers to develop syntheses of the interviews according to relevant themes and derive best practices around the topic of expert- and executive-level adult education.



## Case Study Summaries

---

This appendix contains summaries of the study team’s findings with respect to USMC’s SCPC and the following non-DoD adult education programs/courses: the Goldman Sachs Group Pine Street Initiative, the WashU at Brookings Institution Executive Fellowship and Certification in Policy Strategy, the Syracuse University Maxwell School’s Executive Master of Public Administration, and MIT/Tufts University’s Seminar XX1. Each summary contains information on program participation, the KSA fostered by the program, course timeline and delivery mechanisms, alignment to research on executive education, and barriers and facilitators to implementing program learning initiatives.

### **United States Marine Corps: Security Cooperation Planners Course**

SCPC is one of several SC courses offered by MCSCG. MCSCG’s mission is to “execute and enable SC programs, training, planning, and activities in order to ensure unity of effort in support of USMC and [Regional Marine Corps Component Command] objectives and in coordination with the operating forces and [Marine Air-Ground Task Forces (MAGTFs)].”<sup>1</sup> SCPC is distinct from MCSCG’s other offerings

---

<sup>1</sup> USMC Security Forces Command, *Marine Corps Security Cooperation Group*, Norfolk, Va., undated.

in that it is focused on planning at the operational (component) level, whereas the others tend to focus on training tactical level advisors.

### **Selection**

We selected SCPC after it was identified in interviews. Interviewees highlighted the course's focus on planning, rather than making the assumption that students already possess sufficient planning skills and just need to learn about SC. The USMC course, unlike the Army's equivalent, is accredited by DISCS because it was developed with DISCS input and takes the aforementioned approach. Additionally, RAND felt that it would be useful to get a sense of what type of SC training already exists in DoD, but outside of DSCA, so an examination of how a service trains its personnel to do SC seemed to be an appropriate choice.

### **Background**

The USMC has a long history of involvement in IW, small wars, or MOOTW. As Operation IRAQI FREEDOM and Operation ENDURING FREEDOM were concluding, the service recognized a need to preserve lessons learned in those campaigns, with a particular focus on advising and partnership. As result, in 2011, it reorganized its IW and SC organizations, combining SCETC, focused primarily on security assistance, with MCTAG, focused primarily on advisor training and employment, to create MCSCG. The merger resulted, in part, from a need for a greater service focus on SC.<sup>2</sup> SCPC was developed, with DISCS input, to help satisfy this need.

### **Purpose**

SCPC is designed to “provide Joint Force, Interagency, Theater Security Cooperation Officers, MARFOR SC Planners, Regional Planners, FAO, RAO, FAS, and RAS with the ability to analyze national, regional, interagency, joint, maritime, and USMC policy and guidance to identify common objectives and apply planning considerations to the development and execution of engagement plans that achieve

---

<sup>2</sup> USMC, 2011.

U.S. stated objectives and end states.”<sup>3</sup> To achieve this end they explore “SC-related policy, doctrine, and guidance documents; engagement planning best practices; funding authorities; and foreign disclosure” as well as the relationship between DoD and DoS.<sup>4</sup>

### Participation

Course attendance is noncompetitive, other than demand typically exceeding supply for available seats. The course is open to other services, and each session typically includes a few officers from other services as well as occasional government civilians. As highlighted above, SCPC is designed to focus at the operational level, in particular on the USMC component commands under GCCs. However, those headquarters account for a very small portion of the USMC, and their role is often not widely understood, even within the service. As a result, it is not uncommon for marines assigned as tactical advisors to enroll in the course when what they really need training on is tactical advising, rather than operational-level SC planning.<sup>5</sup> Class size is limited to 32, and composition varies widely from noncommissioned officers up through field grade officers. A security clearance is required to attend, because the course makes extensive use of “real-world” guidance and planning documents. Additionally, students are required to complete the DISCS online modules for IPSR and FMS Process. The course meets for a full workweek, only five days, so it does not present much of an opportunity to build a cohort. However, individual relationships are initiated, and it is typical for the course managers to receive questions from a few students in each class following the conclusion of the course. MCSCG puts on six courses per year, usually half at its home station in Virginia Beach, Virginia, and the others as a mobile training team, depending on the needs of the USMC.

---

<sup>3</sup> MCSCG, 2019.

<sup>4</sup> MCSCG, 2019.

<sup>5</sup> Interview with MCSCG Staff.

## Construct

“The course is built around lectures, panel discussions, and a series of practical exercises which guide students’ creation of key parts of a SCEP.”<sup>6</sup> PEs are a critical hands-on part of the curriculum. PEs and their debriefs account for over 25 percent of the instructional hours and require students to analyze SC documents, from the national level on down, classified and unclassified, to progressively build toward a tailored SCEP. They are conducted in groups of about eight, each with an MCSCG staff member facilitating.<sup>7</sup> Instructors and facilitators are primarily permanent staff members at MCSCG, both uniformed and civilians. Instructors have at a minimum attended the course previously, but typically have additional expertise relevant to their area of instruction. This obviously varies based on their career path, how far along they are into their assignment at MCSCG, and so on.<sup>8</sup> The lectures and exercises are complemented by a panel discussion, which provides additional expert insight and real-world examples, but varies based on instructor and lecturer availability. Students are not formally evaluated by a written or oral exam. They provide course feedback on the final day of the course, as well as follow-on feedback upon returning to their parent commands or assumption of their subsequent assignment

## Lessons for Defense Security Cooperation University

The level of this course is not of direct relevance to DSCU, but its methods and content could be useful. First, the method of lecture, followed by practical exercise, repeated throughout the course, gives students a chance to receive information and then immediately apply it. This approach might appeal to various learning styles. Additionally, it gives students a chance to delve into real-world documents, which they may not have seen before, with assistance and facilitation by the

---

<sup>6</sup> MCSCG, 2019.

<sup>7</sup> Interview and SCPC 20-2 Schedule of Events.

<sup>8</sup> It is important to note that it is comparatively rare for marine officers to spend time assigned to Offices of Defense Cooperation or anywhere in embassies for that matter. They are most commonly assigned as naval/marine attachés, in particular to countries with a robust naval and or naval infantry/marine force.

staff. The course is not regionally focused, but the students can shape their learning experience that way based on the documents they select to review, at the GCC level and below. Second, the content is very much planning focused. The purpose of the course is for students to learn a method, SCEP development. SCEPs are country-specific and comprehensive. Given USMC's role in SC, which is much more focused on BPC than security assistance, SCEPs tend to reflect that approach—but they do not have to. One of the most common frustrations expressed by interviewees was over a deficiency in planning knowledge—not just SC planning, but incorporating SC into planning in general. This course is both lauded and certified by DISCS for its approach to incorporating SC in operational-level planning, with a focus on the service components, which is really the critical node for that function.<sup>9</sup>

## Goldman Sachs Group Pine Street Initiative

The Pine Street Initiative is Goldman Sachs's innovative leadership development program. It focuses primarily on developing the company's most senior employees—managing directors (MDs) and partners—as well as select external clients.<sup>10</sup> Through the program, Goldman provides systematic training to its managers on leadership skills framed by the idea that the company's success depends on “the three sacred pillars of helping clients, developing people, and strengthening the firm's collaborative culture.”<sup>11</sup> Pine Street is responsible for the education of approximately 2,500 individuals within the firm, out of 20,000 global and domestic employees.<sup>12</sup>

---

<sup>9</sup> DISCS interview.

<sup>10</sup> Yale School of Management, “How Goldman Sachs Thinks about Leadership,” November 25, 2013.

<sup>11</sup> Shoma Chatterjee, Americas Region Lead, Pine Street Initiative, as quoted in Yale School of Management, 2013.

<sup>12</sup> Kellye Whitney, “Steve Kerr: Managing the Business of Learning,” Chief Learning Officer, July 30, 2004.

Goldman Sachs originally launched the program in 1999 in response to the growing difficulty of cultivating enough leaders as the firm became increasingly large and complex. Corporate leadership selected a group of managers from across Goldman to form the Leadership Development Advisory Committee, whose official charter was to “assess the future training and development needs of Goldman Sachs, with particular focus on the need for a more systematic and effective approach to developing managing directors.”<sup>13</sup> For a period of six months, the leadership committee used internal surveys and interviews of Goldman employees to elicit a broad range of opinions about professional development. The committee also drew on outside expertise on the topic and gathered information on what it considered “best-of-class” firms around the world to understand how they developed their leaders. Through its research, the committee identified two broad themes that it would eventually apply to the development of the Pine Street Initiative. First, leadership development among the most successful firms focused on boosting high-potential groups, rather than bringing slower learners at lower levels up to speed to meet minimum standards. Second, only a small percentage of leadership development occurred through classroom instruction; best-in-class companies trended instead toward having teams work on real projects and multiple developmental experiences as the primary vehicle for their professional development.<sup>14</sup>

When it first started, the Pine Street Initiative included four components: an initial two-day seminar for all MDs; action-based learning projects; executive coaching; and master classes. Since then, the program has evolved to build and execute a number of different offerings, and by 2005 it included a suite of five different leadership programs integrated across Goldman offices in New York, London, Hong Kong, and Tokyo (see Table D.1).<sup>15</sup> Through the years, Pine Street has moved

---

<sup>13</sup> Boris Groysberg and Scott Snook, “Leadership Development at Goldman Sachs,” Boston: Harvard Business School Publishing, Harvard Business School Case No. 406-002, March 22, 2007.

<sup>14</sup> Groysberg and Snook, 2007.

<sup>15</sup> Groysberg and Snook, 2007.

**Table D.1**  
**Pine Street Practice Areas and Sample Programs**

| Practice Areas               | Sample Programs                                                                                                                                                                                                                                       |
|------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Leadership Acceleration      | <ul style="list-style-type: none"> <li>• Leadership Acceleration Initiatives</li> <li>• Pine Street Coaching Program</li> </ul>                                                                                                                       |
| Leadership Programs          | <ul style="list-style-type: none"> <li>• Leadership Excellence</li> <li>• Master Classes</li> </ul>                                                                                                                                                   |
| Leadership Advisory          | <ul style="list-style-type: none"> <li>• Individual Level: Transitions</li> <li>• Team Level: Team Effectiveness</li> <li>• Organization Level: Business Strategy</li> </ul>                                                                          |
| Culture and Networks         | <ul style="list-style-type: none"> <li>• MD Orientation</li> <li>• Partner Orientation</li> <li>• Assimilation Coaching</li> </ul>                                                                                                                    |
| Client Services <sup>a</sup> | <ul style="list-style-type: none"> <li>• Senior Leadership Program</li> <li>• Business Leadership Program</li> <li>• Nonprofit Leadership Program</li> <li>• Ascend Women Client Initiative</li> <li>• Customized Client Programs/Meetings</li> </ul> |

SOURCE: Paul Choi, "Managing Talent at Goldman Sachs," Goldman Sachs, June 2012.

<sup>a</sup>CUSTOMIZED Pine Street programs designed for external clients.

toward offering fewer but more experiential programs that target critical points in the careers of Goldman MDs and partners, with a heightened focus on executive coaching and assessments.<sup>16</sup>

As of late 2019, the Pine Street Initiative has combined forces with Goldman Sachs University, which originally provided training to lower-level Goldman employees, beginning with new recruits and moving up to analysts and vice presidents (VPs). Today, all of Goldman's learning initiatives fall under Pine Street, creating a more integrated "developmental journey" across all levels of employment.<sup>17</sup> In addition to the suite of programs for MDs and partners identified in Table D.1, the employee development curriculum also provides training for new hires and courses on basic financial advisory and analytical skills that all

<sup>16</sup> "Pine Street Created to Foster Development of Exceptional Leaders," Goldman Sachs, undated.

<sup>17</sup> Interview with Pine Street Initiative employee, October 28, 2019.

Goldman employees depend on throughout their careers. For example, sample programs that fit into the Orientation and Culture curriculum include “New Campus Hire Orientation,” “Experienced Hire Integration,” “Associate Orientation,” and “VP Orientation.” Programs that fit under the rubric of Professional Skills include “Sales/Client Relationship Skills,” “Business Writing,” “Presentation Skills,” and “Negotiation Skills,” among others. When Goldman employees reach the level of VP, they go through transition programs on leadership and management, such as “Self Leader,” “New Leader,” and “Strategic Influencer.” All Goldman employees participate in these programs as they progress in their careers with the firm. While the Pine Street “brand” is still distinct in its focus on senior-level employees (MDs and partners), it is now more synergistic with lower level trainings that focus on the non-MD Goldman population.

### **Program Participation**

MDs and partners who go through the Pine Street Initiative’s programs are the closest equivalent to industry “experts”: They are managing directors who have spent at least ten years at Goldman Sachs, rising through the ranks of analyst, associate, and then VP prior to becoming an MD. Select MDs are then tapped to become partners, based on their performance and the impact that they have made at the firm. The partner selection process occurs every two years, with anywhere between 65 to 110 individuals being selected into a particular cohort.<sup>18</sup>

Goldman describes Pine Street as an opportunity for “high-potential leaders.” MDs who go through the program are referred to as “pipeline MDs”—that is, those that Goldman leadership anticipates will become partners.<sup>19</sup> Only a small number of Goldman employees makes it to the partner level; those who have been selected to become partners have generated significant business for the firm, either through trades or their own business platform. In addition to targeting MDs

---

<sup>18</sup> “Goldman Prepares to Cut Its Partners Down to Size,” *Financial Times*, September 6, 2019.

<sup>19</sup> The Goldman Sachs Group, “Careers,” webpage, undated; interview with Pine Street Initiative employee, October 28, 2019.

and partners who have progressed through Goldman's ranks, Pine Street also provides a separate training track for MDs hired laterally to Goldman from other firms. Executives within Goldman Sachs who want to benefit from Pine Street offerings require the approval of their global division head and must also elaborate specific developmental objectives that have been approved by their direct manager.

According to a Goldman Sachs Pine Street representative, the various programs housed within Pine Street provide a mix of cohort-based and individual, one-on-one training in the form of executive coaching. For example, new partner orientations organized and implemented by Pine Street typically occur once every two years when the firm names a new class of partners. Each partner class, or cohort, consists of approximately 60 individuals who go through various Pine Street touch points together.<sup>20</sup> Separately, Pine Street annually accepts a group of approximately 40–50 promising MDs into a four- to nine-month learning initiative designed to accelerate their professional development.<sup>21</sup> While founders of the Pine Street Initiative had the early goal of exposing everyone to the program as quickly as possible, they also wanted to ensure that MDs and partners were also being exposed “in groups small enough so everyone who attended would feel that it was intimate enough that they could participate fully.”<sup>22</sup> To reduce isolation and increase the cross-fertilization of expertise, which is common within Goldman at the senior leadership level, Pine Street attempts to include individuals from different divisions into one cohort or group going through a particular program together.<sup>23</sup>

### **Knowledge, Skills, and Abilities Fostered by the Program**

**Leadership Skills.** When the Pine Street Initiative was originally founded in 1999, senior leaders sought to incorporate training in general leadership skills such as succession planning, evaluation, and

---

<sup>20</sup> Interview with Pine Street Initiative employee, October 28, 2019.

<sup>21</sup> Groysberg and Snook, 2007.

<sup>22</sup> Mark Schwartz, head of Goldman Sachs Asia (2000), as quoted in Groysberg and Snook, 2006, p. 7.

<sup>23</sup> Interview with Pine Street Initiative employee, October 28, 2019.

giving feedback, while also ingraining in those who would go through the various offerings the common language of leadership that was uniquely “Goldman” and emphasized teamwork and collaboration.<sup>24</sup> Indeed, instilling a sense of the “Goldman culture” in which teamwork is valued over individual accomplishments continues to be a prime focus of the various Pine Street offerings today.<sup>25</sup> Pine Street programs focus on collaboration skills by teaching senior leaders how to interact and engage with other senior leaders more regularly and effectively, as well as by stressing the importance of routine communication across different levels of leadership.<sup>26</sup> Upon course completion, participants are expected to apply these skills to their jobs.

Another example of a Pine Street course focused on building leadership skills among Goldman executives is the Experienced Leader program. Enrollment in the program is open to any “manager of managers” who is seeking to increase his or her managerial and leadership effectiveness and emphasizes that leaders should practice noncoercive and ethical behavior as part of “the art of influencing people.” MDs who go through this particular training are introduced to applied emotional intelligence concepts using exercises that help to build self-awareness through reflection and self-assessments. The goal is to help Goldman’s most senior employees identify ways that they behave that may not be optimal given a particular set of staff or a specific business challenges.<sup>27</sup> The final section of the program, called “Motivating your People,” provides MDs with a number of tools to better understand and lead their staff through motivation. The ability to continue getting leverage from Goldman teams and to inspire lower-level staff is a key role that leaders play at the firm.<sup>28</sup>

---

<sup>24</sup> Groysberg and Snook, 2007.

<sup>25</sup> Groysberg and Snook, 2007.

<sup>26</sup> Interview with Pine Street Initiative employee, October 28, 2019.

<sup>27</sup> Carol Pledger, “Building Managers Effectiveness by Combining Leadership Training and Organization Development,” *Organization Development Journal*, Vol. 25, No. 1, Spring 2007.

<sup>28</sup> Interview with Pine Street Initiative employee, October 28, 2019.

**Strategic-Thinking Skills.** The Pine Street Initiative also focuses heavily on turning Goldman’s senior leaders into strategic thinkers who are able to think holistically and communicate to a broader audience. This particular skill is most relevant to individuals who will be going through DSCA’s expert-level SC course, insofar as their roles will require the ability to take a view of the U.S. SC enterprise holistically. One method that Pine Street uses to create strategic thinkers among Goldman’s cadre of leaders is having them focus on stretch goals—difficult goals that they do not yet know how to reach. In a stretch goal assignment, individuals take on significantly different responsibilities than they are used to their current position.<sup>29</sup> For instance, a sales manager might be asked to lead a task force responsible for inventing a new process for product development. Stretch goals force managing directors and partners to move out of the comfort zone of their specialized roles and address challenges that are beyond the scope of their expertise. For a senior-level employee within DoD’s SC workforce, a stretch goal might involve engaging in an area of SC outside the individual’s expertise.

### **Program Components: Course Timeline**

Identifying the appropriate timeline of Pine Street programs targeting Goldman’s most senior-level leaders is a key challenge. Because those selected to go through various touch points are among the organization’s best performers, senior leaders are “quick to calculate the opportunity cost of taking such valuable people away from their normal responsibilities.”<sup>30</sup> Many of these individuals are also already more than fully committed by their day-to-day duties, so the value of stretching them further by imposing additional requirements in the form of learning initiatives becomes questionable. For these reasons, Pine Street courses and programs are typically short, lasting, for example, for just 1.5 days plus follow-up through one-on-one coaching and advising. Coaching typically takes place on an hourly basis about once per month for MDs and partners, though the extent

---

<sup>29</sup> Kerr and Landauer, 2004.

<sup>30</sup> Kerr and Landauer, 2004, p. 137.

to which coaching lasts depends on individual needs. For example, supervisors may recommend that coaching last longer for an individual who is going through a significant job transition.

For a newly named partner, the relationship with Pine Street begins with the Partner Orientation course and may extend throughout that person's career at Goldman Sachs.<sup>31</sup> The Partner Orientation lasts 1.5 days with an optional additional day of training scheduled for later that same year. Partners may then go through subsequent programs targeting their further development every two years, with each program building upon the previous one. Other programs, such as the Managing Director Leadership Acceleration Initiative (targeting MDs), run over a longer period of time and are more intensive. This particular example brings together high-potential MDs in cross-disciplinary groups to collaborate on strategic assignments and can last as long as six months.

The varied timelines of Pine Street offerings suggest that DSCU courses for "experts" and executive should be organized into short stints of classroom-based instruction while also integrating an element of flexibility that will allow senior members of the SC workforce to address the demands of their current position. When longer, more intensive interventions are required to accompany senior-level employees through important job transitions, course design may require additional creativity so that critical in-person working sessions can be built into busy schedules.

### **Program Components: Course Delivery**

**Online Learning.** The Pine Street Initiative uses a variety of instructional models to provide practical training to program participants, including classroom sessions, executive coaching, and experience-based learning. Originally, e-learning, alternatively referred to as "online," "virtual," or "distance" learning, played a smaller role in Goldman's learning strategy. Over time, however, program graduates have been granted access to online materials on regulatory compliance and ethics issues, and follow-up materials are now sometimes offered

---

<sup>31</sup> Interview with Pine Street Initiative employee, October 28, 2019.

online.<sup>32</sup> Steve Kerr, Goldman's chief learning officer from 2001 to 2007, explained that Pine Street is a strong believer in blended teaching approaches that mix effective tools such as role-playing, case studies, mock debates, and other methods.<sup>33</sup>

**Individualized Learning.** Goldman places significant value on one-on-one learning methods, specifically mentoring and coaching. Whether drawn from within Goldman Sachs or from an external organization, the firm's leadership believes that coaches can be useful to helping participants address development needs ranging from time management to influence skills to leading change.<sup>34</sup> Although most coaching takes place in person, it can also be delivered virtually. Coaching and mentoring are especially important insofar as they allow Goldman to tailor learning programs to meet the needs of individual leaders as they go through a particular Pine Street intervention. Although coaching is not mandatory at the partner level, supervisors sometimes recommend it for particular individuals—for instance, when they undergo significant job transitions.<sup>35</sup>

Early on in Pine Street's existence, executive coaches were recruited from outside Goldman Sachs. As a previous manager of the coaching program attested, "Exposing the right inside senior people to individual one-on-one work with the right outsiders is an important leverage point in developing their leadership skills."<sup>36</sup> The purpose of having external, as opposed to internal, coaches was also to avoid potentially sensitive political obstacles. As the coaching program has evolved, its positive reputation has grown exponentially, and Pine Street now also employs internal leaders as coaches.<sup>37</sup> According to the manager, seeing high-profile executives with coaches had a powerful impact on removing any stigma attached to the image of coaching, which had originally

---

<sup>32</sup> Interview with Pine Street Initiative employee, October 28, 2019; Whitney, 2004.

<sup>33</sup> Whitney, 2004.

<sup>34</sup> Kerr and Landauer, 2004.

<sup>35</sup> Interview with Pine Street Initiative employee, October 28, 2019.

<sup>36</sup> Cary Friedman, as quoted in Groysberg and Snook, 2006, p. 11.

<sup>37</sup> Interview with Pine Street Initiative employee, October 28, 2019.

been perceived as a last-ditch effort to save so-called “problem children” within the firm.<sup>38</sup>

**Action Learning.** In the classroom, programs implemented through the Pine Street Initiative rely heavily on action learning. As Pine Street has evolved, it has placed increased focus on integrating content that is actionable and business-relevant into its offerings. When the program first started, it emulated what other firms in the industry were doing: implementing traditional classroom training programs. However, the firm quickly adopted a different approach when it became apparent that training programs were not very effective at developing leaders, largely because participants had difficulty in relating materials covered in class to their actual jobs. Pine Street adjusted and began branching more broadly into other types of learning initiatives so that by 2003, none of its new initiatives was a training program. Rather than risk removing participants from their day-to-day responsibilities through irrelevant training initiatives, Pine Street’s approach to leadership development now prioritizes on-the-job learning and also brings participants’ supervisors or managers into the learning process.<sup>39</sup> This model is likely an important example for an expert-level DSCU course, given that it works to keep senior-level employees going through a learning initiative while engaged in current work and also integrates the individual’s chain of command (supervisor) in the learning process. In this regard a course is less likely to be construed as a distraction by the employee as well as the individuals to whom they report.

The MD Leadership Acceleration Initiative, mentioned earlier, is a good example of Pine Street’s move away from traditional training to integrated, action-based learning platforms. The initiative’s core objective is to “prepare [MDs] for broader leadership responsibility at the firm through one-on-one executive coaching, individual action plans, participation in Executive Office taskforces, and small-group sessions with senior leaders.”<sup>40</sup> This program has been particularly successful because it benefits from a supportive infrastructure of developmental

---

<sup>38</sup> Groysberg and Snook, 2006.

<sup>39</sup> Groysberg and Snook, 2006.

<sup>40</sup> Groysberg and Snook, 2006., p. 15.

assignments within the Goldman community. Participants and their managers work together to define “stretch” goals, such that the program is essentially dyadic: the program “is for the joint benefit of both participants and the executives to whom they report.”<sup>41</sup> Participants and managers jointly discuss and identify participants’ action plans, and the managers play a significant role in assessing participants’ progress and providing feedback. Moreover, selection into the program conveys the message that the firm regards the employees highly, and Goldman’s dedication of significant resources to the program signals the firm’s commitment to the initiative itself.

**Collaborative Learning and Networking.** Pine Street also encourages and draws on peer-to-peer sharing and exchange to improve the value of its various offerings. Many programs deliberately build a networking element into their curricula, largely in response to participant demand for such activities. Some courses, for example, might begin or end with a social event that brings a cohort together in a less formal environment. “Offsites” are also a valuable teaching tool, as they remove employees from the Goldman context and introduce them to real-world situations that they might not otherwise encounter. Although offsites are more expensive to organize and run than internal events and can at times induce anxiety in the office as senior level employees go “off the desk,” there is value to integrating them alongside internal, classroom-based tools.<sup>42</sup> Offsites are particularly useful as a component of the case-study method of teaching, which Pine Street applies in many of its offerings. It also emphasizes to participants the value of approaching problems from an outside, or non-Goldman, lens.<sup>43</sup>

**Follow-Up.** At the end of select Pine Street programs, participants are encouraged to apply what they have learned in a course to their work. Some offerings incorporate action planning into the closing sections of a course, and participants walk away with very specific goals, actions, and time frames for how they are going to perform

---

<sup>41</sup> Kerr and Landauer, 2004, p. 137.

<sup>42</sup> Interview with Pine Street Initiative employee, October 28, 2019.

<sup>43</sup> Interview with Pine Street Initiative employee, October 28, 2019.

specific tasks.<sup>44</sup> Three types of follow-up occur after the conclusion of a program: a 180-degree feedback<sup>45</sup> on leadership styles; an in-person group coaching session usually two months after the conclusion of a program; and continuous learning opportunities in the areas of accelerating critical leadership transitions, team effectiveness, and business/strategic planning.

Nearly all participants elect to complete the 180-degree feedback after the conclusion of a course. According to Pine Street staff, the results of this anonymous survey have been helpful in raising Pine Street program graduates' understanding about how their direct reports experience their leadership style. The group coaching session is then held specifically to review the results of that 180-degree feedback. The purpose of the group coaching is to embed and sustain learning, encourage participants to apply their newly acquired knowledge, and provide a forum for participants to share their experiences and best practices. The coaching session also helps Pine Street staff and Goldman more generally better understand the impact that programs are having.<sup>46</sup>

Pine Street evaluates programs through four additional methods. First, as part of the quantitative feedback requested at the completion of each course, surveys ask participants whether they would recommend the program to others. An article from 2007 reports that 95 percent of past participants indicated they would recommend leadership programs to their colleagues as valuable to individual and organizational success. Second, Pine Street has participants complete self-evaluations before and after attending a program to assess learning gains. Third, Pine Street collects qualitative feedback from participants both immediately after a program and during the aforementioned group coaching sessions. The program also asks participants' supervisors to follow up to discuss key learning points and provide feedback on the gains

---

<sup>44</sup> Pledger, 2007.

<sup>45</sup> 180 degree feedback is when an individual invites feedback from one particular area of their working lives, most commonly this being manager's direct reports. This feedback is usually based on a set of competencies or behavioral statements and requires the individual to also complete a self-assessment.

<sup>46</sup> Pledger, 2007.

that participants have made. Finally, Goldman incorporates evaluations of its training programs as part of its annual 360 Performance Review process. The 2007 article shows that senior employees who participated in Pine Street leadership programs performed significantly better in leadership competency categories, relative to those who did not participate.<sup>47</sup>

### **Alignment with Research on Executive Education**

The suite of executive-level programs offered through Goldman Sachs's Pine Street Initiative aligns well with best practices identified in the literature on executive education. First, the Goldman approach to professional education, which is based primarily on action learning, is closely aligned with Knowles's principles of adult learning, which indicate that learning should be problem-centered rather than content-oriented; that adults should be involved in the planning of their education; and that adults are most interested in learning subjects that have immediate relevance to their work.<sup>48</sup> Indeed, programs such as the Accelerated Learning Initiative for MDs integrate all of these components. Moreover, using stretch goals in the programs provides Goldman MDs with the opportunity to integrate coursework with on-the-job training, which is effective in the development of technical as well as soft skills.<sup>49</sup>

Second, Goldman's preference for F2F learning, as opposed to online delivery of material, is also in line with the literature that shows that in-person programs have a stronger impact than online programs on transferring skills from the classroom to the workplace.<sup>50</sup> However, Goldman's move to integrate more e-learning where possible also reflects recent trends in adult learning, whereby technological improvements have increased the availability of virtual classes and online self-study.<sup>51</sup> Finally, Pine Street's decision to spread out learning for MDs

---

<sup>47</sup> Pledger, 2007.

<sup>48</sup> Knowles, 1975, 1984, 1988; Knowles, Holton, and Swanson, 2005.

<sup>49</sup> Gonzalez et al., 2014.

<sup>50</sup> Lacerenza et al., 2017.

<sup>51</sup> O'Leonard, 2013.

and partners over extended periods of time and across multiple sessions is also in line with studies showing that these models are a more effective way of transferring KSA to the workplace.<sup>52</sup>

### **Barriers to and Facilitators of Implementing Expert-Level Courses**

As alluded to earlier, many of the most pressing challenges that Goldman Sachs faces in implementing learning initiatives relate to the significant time constraints under which senior-level employees already operate. At the end of the day, commercial activity and meeting the bottom line are often viewed as taking precedence over other types of activities, and there appears to be a mentality among employees that if development is not mandatory, then it should be secondary to the rest of their work.<sup>53</sup> Participants and their supervisors often have serious reservations about the time required to complete a particular program.<sup>54</sup> As a result, Pine Street programs face constant pressure to demonstrate their lasting impact. Quantifying the gains generated by professional education programs is challenging. These are challenges that DSCA is likely to face as it educates the SC and broader DoD workforce about its new learning initiatives.

Goldman has been able to address some of these hurdles over time as Pine Street programs, and the brand more generally, has gradually earned a positive reputation among firm leaders and employees. According to a Pine Street employee, Goldman is fortunate that “the program is perceived positively, and [that] participants feel fortunate to be involved. [The] high touch experience in the program is very motivating [to employees].”<sup>55</sup> As the preceding section on follow-up suggests, employee feedback surveys and qualitative data from course participants show that Pine Street is in fact having an important impact on leader performance.<sup>56</sup> Moreover, many employees no longer view specific initiatives

---

<sup>52</sup> O’Leonard, 2013.

<sup>53</sup> Interview with Pine Street Initiative employee, October 28, 2019.

<sup>54</sup> Kerr and Landauer, 2004.

<sup>55</sup> Interview with Pine Street Initiative employee, October 28, 2019.

<sup>56</sup> Pledger, 2007.

such as executive coaching negatively. Instead, Goldman employees recognize it as an opportunity that even the firm's most senior leaders take advantage of. By 2000, Pine Street had already put over a third of the firm's management committee through coaching and publicized statistics about who was receiving coaching. Were DSCA to adopt a similar coaching model as part of its expert-level course, it might anticipate the need to work around issues of stigmatization. One way to avoid this obstacle would be to implement coaching widely among the SC community, including requiring that senior-level SC personnel receive it.

### **Washington University at Brookings Institution Executive Fellowship and Certificate in Policy Strategy**

The Brookings Institution, a Washington, D.C.-based think tank, partnered with WashU's Olin School of Business in 2009 to create Brookings Executive Education, now commonly known as WashU at Brookings. The overarching purpose of the program, which grew out of the Brookings Center for Advanced Study, is to prepare organizations and individuals to “streamline [an] agency; tackle large, complex challenges; and solve problems for the American people.”<sup>57</sup> Serving as “the government’s business school,” WashU at Brookings prepares its students to excel in an environment of “volatility, uncertainty, complexity, and ambiguity—what the military refers to as ‘VUCA.’”<sup>58</sup> WashU at Brookings hosts five different programs as well as customizable solutions in which individual organizations can work with WashU at Brookings to design and implement comprehensive leadership development programs that fit specific organizational needs and cultures. The case study that we develop here draws on WashU at Brookings’s custom solutions as well as two specific programs housed at the Brookings Institute Washington, D.C., campus: the Certificate in Policy Strategy and the Executive Fellowship. The information below applies to these three initiatives, unless stated otherwise.

---

<sup>57</sup> WashU at Brookings Course Catalog, 2019–2020.

<sup>58</sup> WashU at Brookings Course Catalog, 2019–2020, p. 1.

The Certificate in Policy Strategy focuses on policy formulation and implementation and targets individuals from both the private and public sectors. The program includes a series of policy courses that provides behind-the-scenes knowledge of various government processes across the three branches of government, with an eye toward improving participants' understanding of policymaking and implementation within the U.S. government. Electives also focus on critical world regions and issues. The program comprises six required courses, and each course runs two to three days. Over the course of the program, participants spend time with a Brookings Institute scholar with relevant experience, visit relevant government offices to observe hearings or processes in action, and then take time to reflect on how what they have learned affects the role that they play within their specific agency.<sup>59</sup>

The Executive Fellowship focuses on enterprise leadership—"serving the best interests of an entire organization rather than the needs of a single business unit or functional area."<sup>60</sup> The courses included for the fellowship develop individuals for senior-level positions by preparing them to meet U.S. Office of Personnel Management Executive Core Qualifications (ECQ) for SES. Upon completion of a mandatory 20 days in the classroom over the nine-month program, executive fellows are awarded the WashU at Brookings's Certificate in Public Leadership. Custom programs work with each client agency to assess organizational needs and objectives, primarily by conducting interviews with senior- and lower-level employees and human resources representatives, and reviewing organizational documentation such as 360-degree evaluation data. These assessments then inform curriculum design. Each organization that hires WashU at Brookings to design and implement an executive education program is deeply involved in the planning of its instruction.

### **Program Participation**

The majority of programs offered by WashU at Brookings Executive Education target experienced professionals from government agen-

---

<sup>59</sup> WashU at Brookings Course Catalog, 2019–2020, p. 19; interview with WashU at Brookings administrator, November 7, 2019.

<sup>60</sup> WashU at Brookings Course Catalog, 2019–2020, p. 4.

cies, the private sector, and nonprofit organizations. These individuals are also deemed to demonstrate potential for upward movement in their careers by their supervisors. Thus, the Executive Fellowship program is described itself as being “designed for professionals with demonstrated leadership ability who already have mastered fundamental competencies.”<sup>61</sup>

When reviewing applications to programs such as the Executive Fellowship, WashU at Brookings administrators seek out individuals who demonstrate an interest and desire to learn, and are eager to do so. The program “looks for people who want to move into the SES, or get themselves really solid in widening [their] skill sets.”<sup>62</sup> Individual applicants to the Executive Fellowship must be at the GS-14 grade level or agency equivalent and also come recommended by their supervisor, who must also grant them enough time to complete the program. Each individual who is recommended by his or her organization must complete a formal application, and the final acceptance decision is made by a WashU at Brookings admissions committee. When a preexisting relationship exists between the sending agency and WashU at Brookings, program administrators can provide input on which employees are likely to be the right set to put through a particular program.

The Executive Fellowship and Certificate in Policy Strategy programs are organized into cohort-based curricula.<sup>63</sup> Each Executive Fellows program is composed of approximately ten individuals from different sending agencies. According to the administrator, they eventually establish a strong rapport through continuous interaction and benefit from a “career-long professional network” after having completed the program.<sup>64</sup> The program deliberately builds cohorts with cross-agency experience and prefers to avoid including a large group of

---

<sup>61</sup> WashU at Brookings Course Catalog, 2019–2020, p. 4.

<sup>62</sup> Interview with WashU at Brookings administrator, November 7, 2019.

<sup>63</sup> Interview with WashU at Brookings administrator, November 7, 2019; Federal News Network, “Cohort-Based Women’s Leadership Program Fosters Inclusive Networks Along with Executive Training,” *Federal Insights*, December 4, 2019.

<sup>64</sup> WashU at Brookings Course Catalog, 2019–2020, p. 4.

individuals from one particular organization into one cohort. In the case of custom programs, where agencies hire WashU at Brookings to develop a curriculum for their employees, cohorts comprise individuals from across the organization's units with a range of substantive or geographical expertise. WashU at Brookings also states that it strives to create executive education cohorts that are diverse and inclusive.<sup>65</sup> Cohort diversity will likely be an important element of a DSCA SCU expert-level course: Diversity helps program participants integrate a variety of perspectives into their decisionmaking processes, and contributes to building knowledge at the enterprise level, as we discuss below.

### **Knowledge, Skills, and Abilities Fostered by the Program**

The crux of WashU at Brookings's executive education programs is to develop what a former associate dean of Brookings's Executive Education calls "enterprise leaders: those able to solve problems by tapping the resources of multiple organizations with an overlapping or common goal to solve the issue at hand."<sup>66</sup> WashU at Brookings also refers to these enterprise leaders as "T-shaped leaders," or individuals who have a broad view of the entire ecosystem or enterprise in which they work. One administrator explains the concept as follows: "The top part of the T is the broad knowledge at the enterprise level. The vertical part of the T is having a deep expertise in your area. At the top of the T you think more strategically about the enterprise."<sup>67</sup> This conceptualization of leadership is close to what DSCA seeks in the development of an SC "expert."

Ultimately, the WashU at Brookings curriculum of executive education is based on the premise that developing the top part of the "T" requires integrating the various ECQ required for SES: Leading Change; Leading People; Results Driven; Business Acumen, Building

---

<sup>65</sup> WashU at Brookings Course Catalog, 2019–2020, p. 4.

<sup>66</sup> Neil Schoenherr, "The Government Must Develop Collaborative Enterprise Leaders to Solve Its 'Wicked Problems,' New Book Suggests," *State News Service*, August 6, 2013.

<sup>67</sup> Interview with WashU at Brookings administrator, November 7, 2019.

Coalitions; and Fundamental Competencies.<sup>68</sup> This line of thinking informs the KSAs that WashU at Brookings executive education programs seek to instill in course participants. Our research identified five KSAs as most prominent in WashU at Brookings executive education curricula: the ability to act with self-awareness and metacognition; the ability to think at a strategic, enterprise level; the ability to think critically; mentoring skills; and communication skills. Many, if not all, of these skills are also likely important to the development of SC experts.

**Strategic-Thinking Skills.** The ability to think strategically at the enterprise or ecosystem level is a principal focus of executive education programs at WashU at Brookings. This type of thinking is key to the development of senior leaders, who throughout their careers will regularly navigate complex, multifaceted issues. Indeed, enterprise leaders should be able to build and draw on a network of critical organizational and individual actors not only within their own agencies, but across agencies that together form an ecosystem. For a top-level employee within the federal government’s executive branch, for instance, it is critical for that individual to understand not only how the White House functions, but also how Congress works—and both are explicitly explored in the WashU and Brookings programs. For an SC expert who has spent the majority of his or her time building foreign partner capacity, it will also be important for that person to understand the nuances of other SC competencies, such as POE, SC acquisition, and so on.

A large number of courses offered as part of WashU at Brookings’s executive education curriculum focuses on the development and support of strategic thinking. Examples include courses entitled “Networks and Partnerships,” which teaches participants how to build networks across their agencies and departments and how to address cross-boundary problems; “Organizational Alignment: Connecting Strategy

---

<sup>68</sup> WashU at Brookings Course Catalog, 2019–2020, p. 11. For more information on the Executive Core Qualifications as defined by the Office of Personnel Management, see Office of Personnel Management, “Policy, Data, Oversight: Senior Executive Service,” Washington, D.C., undated.

and Values,” which focuses on the strategic alignment of an organization’s mission, goals, and purpose and introduces several frameworks to help course participants understand how each part of their organization fits into the broader organizational strategy; and “Strategic Thinking: Driving Long-Term Success,” which provides students with frameworks to implement strategy and inform their agency’s investments in people and processes in light of limited resources.

WashU at Brookings executive education programs also emphasize the importance of critical thinking skills when it comes to developing leaders. While the phrase “critical thinking” has many definitions, the Brookings programs focus on developing processes through which individuals formulate challenges.<sup>69</sup> One approach to leadership learning taught in a course called “Problem Solving Through Critical Thinking” improves the ways that leaders “find, frame, and formulate challenges.”<sup>70</sup> When leaders are able to share a comprehensively formulated problem, assessing the value of specific solutions becomes more transparent.<sup>71</sup> The course also teaches participants to identify and eliminate biases that affect their own decisionmaking processes. These skills are a focus of both the Certificate in Policy Strategy and the Executive Fellowship, and they are generally stressed in the custom programs.

**Communication Skills and Self-Awareness.** The ability to think critically is tied to increased awareness and understanding of one’s own thought processes. Metacognition is another skill that WashU at Brookings executive education programs seek to develop among course participants. Metacognitive abilities help leaders overcome individual biases and leverage the shared values and interests that exist within a team.<sup>72</sup> Together with strong communication skills that allow leaders to pose questions strategically to data analysts and other employees,

---

<sup>69</sup> Jackson Nickerson, “How to Win Over the Idea Killers,” *Government Executive*, July/August 2014.

<sup>70</sup> WashU at Brookings Course Catalog, 2019–2020, p. 16.

<sup>71</sup> DeSeve, 2017, p. 61.

<sup>72</sup> Interview with WashU at Brookings administrator, November 7, 2019; Schoenherr, 2013.

critical thinking and self-awareness can help achieve resolution that is greater than the sum of individual actions. Participants in the Executive Fellowship and Certificate in Policy Strategy can enroll in courses that focus on communication skills and build self-awareness, such as “Communicating for Success” and “Interpersonal Savvy for Leaders.” Both address ECQ Fundamental Competencies. These skills, in addition to the ability to think critically, will be especially important to SC experts who operate in dynamic, cross-cultural contexts and are also expected to foster these abilities among their subordinates.

**Mentoring Skills.** Finally, WashU at Brookings fosters mentoring skills of individuals participating in its executive education programs. Leading is not just about influencing others to accomplish desired goals, but about developing others as you develop yourself. Leaders must be adept at managing the behavior of employees and their responses to specific challenges and at reducing bias in their agency’s decisionmaking process. While an important element of leadership is the ability to lead teams or groups or people, executive education programs at WashU at Brookings also stress the importance of “leading by coaching.”<sup>73</sup> Courses offered as part of the Executive Fellowship and Certificate in Policy Strategy, such as “Developing Others: Leader as Coach” and “Conflict Resolution,” emphasize the development of mentoring skills among agency leaders.

### **Program Components: Course Timeline**

Much like courses offered by Goldman Sachs’ Pine Street Initiative, the executive education courses offered by WashU at Brookings vary in length in important ways. Most programs offer participants a certain level of flexibility in terms of the time required to complete each program. The Executive Fellowship, which targets professionals entering senior-level positions in their organizations, runs over nine months and requires that fellows complete 20 days of classroom learning during that time. Ten of the classroom days must be leadership courses, and participants are encouraged to select their remaining courses based on their career interests and objectives. Participants are not required to

---

<sup>73</sup> Interview with WashU at Brookings administrator, November 7, 2019.

take the classes in any specific order, other than beginning with a two-hour online orientation. Each subsequent class (taken in any order) is organized into five four-day classroom sessions that cover the following topics: Values-Based Leadership; Leading Thinking; Leading Change; Leading the Organization; and Enterprise Leadership.<sup>74</sup> Participants in the Certificate in Policy Strategy program must take six required courses (Inside Congress; Inside the White House; Insider's Legs and Regs; Insider's Budget Process; Politics and Policymaking; U.S. National Security). All courses last two days, with the exception of Inside Congress, which is a four-day course. Participants also take two to three policy electives totaling four class days.<sup>75</sup>

Custom-designed executive education curricula developed by WashU at Brookings for individual client organizations are ideally organized into four sessions lasting three days each, spanning eight or so months. According to an administrator at WashU at Brookings, the “elongated learning journey is where you see the most movement at the top of the T[-shaped leader].”<sup>76</sup> Executive education programs that bring together participants for just one five-day session are sometimes successful in building awareness and understanding of key concepts, but are ineffective when it comes to building the confidence that leads to behavioral changes in the workplace. WashU at Brookings programs tailor their timelines according to the belief that bringing a cohort together repeatedly is the most effective way of learning. This is true for regularly offered programs as well as custom programs; in the case of the Executive Fellowship, a spread-out meeting pace allows participants to come together for discussion, learn on their own during an eight-week intersession, and come together again as a cohort to apply what they have learned. The process repeats over the course of the nine months that fellows have to complete the program. The time scheduled in between in-person program meetings offers participants both the opportunity to apply what they have learned to the workplace and the flexibility to accumulate new knowledge at their own pace.

---

<sup>74</sup> WashU at Brookings Course Catalog, 2019–2020, p. 4.

<sup>75</sup> WashU at Brookings Course Catalog, 2019–2020, p. 3.

<sup>76</sup> Interview with WashU at Brookings administrator, November 7, 2019.

Intersessions are also important to ensuring that program participants are able to address the demands of their careers while going through the learning experience. This model is likely to be highly relevant to DSCA, which will need to cater its DSCU curricula to the busy schedules of SC personnel going through expert-level and other courses.

### **Program Components: Course Delivery**

**Blended Delivery.** Executive education programs run by WashU at Brookings, such as the Executive Fellowship and the Certificate in Policy Strategy, include a mix of remote online and classroom-based in-person learning, with an emphasis on the latter.<sup>77</sup> Online learning is especially valuable insofar as it brings everyone in a cohort to a similar base level of knowledge or up to date on a core topic. The blended approach ultimately leads to more productive discussions during in-class sessions. As described above, intersessions, or periods when learning takes place outside of the cohort environment, provide flexibility to participants as they continue to address the demands of their careers, as well as time for reflection and the practical application of learned material in the workplace. Programs that are designed and implemented for individual organizations also take a blended approach to delivering courses, mixing intersessions that have participants engage in virtual learning with in-person meetings that bring employees together over the span of a three- or four-day meeting. According to one administrator, a unique value of WashU at Brookings programs is ensuring participants have time to process information.<sup>78</sup> In the case of custom solutions developed for individual agencies, WashU at Brookings sometimes organizes webinars that bring employees together when travel to the Washington, D.C., area is not feasible. WashU at Brookings's model of customizing learning is likely highly relevant to DSCA as it designs its DSCU curriculum.

**Instructors.** Instructors in WashU at Brookings's executive education program are generally individuals who have built up trust within a particular cohort of career professionals going through a program.

---

<sup>77</sup> WashU at Brookings Course Catalog, 2019–2020.

<sup>78</sup> Interview with WashU at Brookings administrator, November 7, 2019.

This could be a member of the WashU in St. Louis faculty who has engaged in conversations about and applied his or her research to questions of strategic thinking and decisionmaking. In the case of the Executive Fellowship, the cadre of instructors is composed mainly of tenured or tenure-track faculty from WashU's Olin School of Business or adjunct faculty who are considered leaders on specific leadership topics relevant to the program. Policy programs, such as the Certificate in Policy Strategy, typically draw on a combination of fellows in residence at the Brookings Institute, as well as individuals employed by relevant branches of government, such as those who work on Capitol Hill. Ultimately, WashU at Brookings makes an effort to bring in the best instructors available on a particular topic to meet the needs of participants and the agencies and organizations that are sending their employees to an executive education program. When an expert is not available in-house, program organizers tap into networks outside of WashU and the Brookings Institution.<sup>79</sup> The Certificate in Policy Strategy program in particular is slightly more focused on drawing on a network of experienced practitioners from the Washington, D.C., area, given this program's reliance on guest speakers.

**Instructional Strategies.** Executive education programs offered by WashU at Brookings employ a variety of instructional strategies to maximize the value of participants' learning experiences. The fact that career professionals, particularly those moving into senior-level positions, have limited time to complete training and education requirements significantly influences the planning and implementation of programs and custom solutions. Participants are commonly assigned online and "pre-work" during intersessions to complete at their own pace. This might involve reading case studies, relevant scholarly and nonscholarly articles, or other types of material. One-on-one coaching might also take place during an intersession as a means of encouraging self-reflection. Intersessions at times also include "coaching clusters," or clusters of peer-group coaching around leadership issues.<sup>80</sup>

---

<sup>79</sup> Interview with WashU at Brookings administrator, November 7, 2019.

<sup>80</sup> Interview with WashU at Brookings administrator, November 7, 2019.

**Real-World Assignments.** Inside the classroom, cohorts engage in small group discussions around case studies or so-called challenge projects, which encourage participants to work collaboratively to solve relevant, real-world problems that they might encounter in their careers. When working with individual agencies, recent curricula have incorporated field trips to competitor organizations. During these off-site activities, employees identify how their organization compares with others in the same industry and how two competitors might work together to solve problems. Such hands-on, practical exercises based on real-world issues help participants look beyond the boundaries of their organization to identify solutions to those issues. In addition to incorporating meetings with Brookings scholars and visits to government offices into the Certificate in Policy Strategy program, a recent innovation by WashU at Brookings has also been the introduction of Leadership Labs into their suite of executive education programs. These day-long labs focus on competencies not reflected in the ECQ, particularly in the fields of leadership, technology, management, and strategy.<sup>81</sup> A focus on real-world problems and the practical application of knowledge are common themes across the learning initiatives at both Goldman Sachs and WashU at Brookings, highlighting the effectiveness of such models when it comes to adult education.

**Follow-Up.** Once participants have completed a WashU at Brookings executive education program, there is not much in the way of formal follow-up. Program participants retain access to the Olin Business School's online learning platform and can use it to engage with faculty as well as peers into the future. The Olin School in particular is currently working on the development of a lifelong learning platform, where current and past executive education students will be able to work together in small groups and have access to additional content and learning opportunities.

### **Alignment with Research on Executive Education**

The structure and delivery of executive education programs at WashU at Brookings are in line with several best practices identified in the literature

---

<sup>81</sup> WashU at Brookings Course Catalog, 2019–2020, p. 18.

on adult education. First, the timing and delivery of WashU at Brookings programs is well-aligned with the literature. According to a WashU at Brookings representative, the optimal breakdown of their courses includes several (four to five) three-day sessions spread out over an eight-month period, during which participants have time to reflect on concepts introduced in the classroom and also apply what they have learned to the workplace. There is consensus in the literature that multiple learning sessions spread out over an extended period of time improves knowledge transfer and organizational outcomes, although this mode of course organization does not significantly influence the learning of new KSA *per se*.<sup>82</sup> Time for reflection is especially important in helping adults absorb content presented over the course of professional education programs.<sup>83</sup>

Second, instructor-led learning matters. The literature shows that adult participants in professional education are more likely to learn new KSA when an instructor leads courses and presents content than they are when they engage in self-administered learning programs.<sup>84</sup> Using instructors employed by participants' agency or organization has an especially significant impact on learning of new KSA.<sup>85</sup> As discussed above, the WashU at Brookings team caters the selection of instructors to each cohort going through an executive education program, selecting individuals who have been employed by the client organization or who have practical experience in a field relevant to the cohort. Ideally, instructors in a WashU at Brookings executive education program are individuals who have built up trust within a particular cohort of executives going through that program.

Third, the structure of WashU at Brookings executive education programs aligns with research showing that F2F instruction has a stronger impact on the transfer of skills from the classroom to the workplace than online instruction.<sup>86</sup> However, there is no discernable impact on the initial acquisition of KSA when it comes to in-person

---

<sup>82</sup> Lacerenza et al., 2017.

<sup>83</sup> Hind and Holton, 2016.

<sup>84</sup> Lacerenza et al., 2017.

<sup>85</sup> Lacerenza et al., 2017.

<sup>86</sup> Lacerenza et al., 2017.

versus online instruction; this suggests that online learning platforms can also be appropriate for specific types of learning. Executive programs that mix in-person learning opportunities with periodic online learning completed during intersessions, such as those that WashU at Brookings implement, reflect general trends in professional education best practices and are likely to prove effective when it comes to achieving the effective transfer and practical application of KSA in a cohort of busy, senior-level professionals.<sup>87</sup> Blended platforms that integrate classroom experiences and virtual learning are especially important insofar as they introduce an element of much-needed flexibility into adult learning programs.

Finally, a number of instructional strategies that WashU at Brookings executive education programs employ are in line with Knowles's principles for adult learning,<sup>88</sup> which continue to have currency in the development of contemporary adult education courses. As noted above, the WashU at Brookings team engages client organizations well in advance of course implementation to conduct in-depth assessments of organizational objectives and needs. In line with Knowles's principles, client organizations and participants going through an executive education program at WashU at Brookings are deeply involved in the planning of their instruction. What's more, the heavy reliance on case studies and real-world challenge projects, and the incorporation of field trips into learning platforms respond well to adults' need to learn around topics that have immediate relevance to their work lives. "Action learning set meetings" such as visits to specific work sites, where course participants work together to solve actual work challenges, are a proven method of strengthening cohort cohesion and extend learning beyond the traditional classroom setting.<sup>89</sup>

### **Barriers to and Facilitators of Implementing Expert-Level Courses**

A WashU at Brookings program representative highlighted one barrier in particular when it comes to the implementation of executive

---

<sup>87</sup> O'Leonard, 2013.

<sup>88</sup> Knowles, 1975, 1984, 1988; Knowles, Holton, and Swanson, 2005.

<sup>89</sup> Lockhart, McKee, and Donnelly, 2017.

education programs: Adult professionals have only a limited amount of time to dedicate to training and education. And when a learning initiative targets senior-level leaders within an organization, the organization's leadership demands tangible results from the learning experience. According to executive education experts at WashU at Brookings, this imposes significant challenges to designing and implementing effective executive education programs. It is difficult to attain learning objectives in the course of a one-day meeting—a so-called lunch-n-learn—or when a course is scheduled to meet over the span of only two days. Such short timelines prevent the integration of sequential and complementary content, which transforms learning into a valuable experience: “To be able to have transformational experience, it’s going to be challenging. It’s going to take time.”<sup>90</sup>

## **Syracuse University Maxwell School Executive Master of Public Administration**

The EMPA program at Syracuse University’s Maxwell School of Citizenship and Public Affairs was founded in 1964 and is geared toward public service managers who seek to advance in their careers as leaders of organizations across the nonprofit, NGO, public, and private sectors. The program describes its mission as “prepar[ing] managers for the challenges of leading organizations in the public and private sectors in the midst of dynamic global change.” As of 2017, the Maxwell School also offers an online EMPA (ExecutiveMPA@Syracuse) in response to a growing demand for flexible professional degree programs.<sup>91</sup> Both EMPA programs (in-person and online) seek to develop the same set of KSA among their participants and differ only slightly in terms of requirements for admission and program timeline. Students are allowed to cross-register for courses offered in both programs (i.e., students can enroll for both online and on-campus courses in

---

<sup>90</sup> Interview with WashU at Brookings administrator, November 7, 2019.

<sup>91</sup> Keat, 2017.

their pursuit of the EMPA degree). The online and on-campus EMPA degrees are both designed and led by Maxwell School faculty.

Two differences exist between the online and on-campus versions of the EMPA. First, regular EMPA courses are offered on campus in Syracuse, New York, and the online EMPA courses are conducted virtually. Second, while the on-campus EMPA requires that participants have seven years of prior experience in management positions before entering the program, the online program requires that participants have five years of such experience. Unless otherwise noted, the information in this profile applies to both the online and on-campus EMPA.

In addition, the Maxwell School develops customized executive education programs that typically run from one to six weeks and are delivered to U.S.-based as well international clients. According to the Maxwell School website, customized programs can be delivered virtually or in person.<sup>92</sup> Like the EMPA programs, these programs focus on elements of leadership, policy analysis, governance, and public management for advanced professionals. Recent clients, as featured by the Maxwell School, include the government of India, the National Forum for Black Public Administrators, and the government of China.<sup>93</sup> Given a lack of publicly available information on custom executive education programs, this profile will make only limited references to this option.

### **Program Participation**

As stated earlier, the on-campus EMPA program at the Maxwell School caters to accomplished midcareer professionals who have at least seven years of experience in a position with significant organizational and managerial responsibility. Most of the individuals who enroll are seeking to fill gaps in particular skills or knowledge relevant to their careers and prepare for future management and policy work.<sup>94</sup> The online EMPA program requires that participants have five or more years of work experience in a position with significant organizational and

---

<sup>92</sup> Syracuse University Maxwell School Executive Education, "Executive Education Customized Training," undated.

<sup>93</sup> Syracuse University Maxwell School Executive Education, undated.

<sup>94</sup> Interview with Syracuse University administrator, December 4, 2019.

managerial experience.<sup>95</sup> The EMPA is a public program that accepts participants from the private sector as well as the nonprofit and NGO communities.

According to a senior administrator within the Maxwell School's Executive Education department, students in the on-campus EMPA program enter with an average of fourteen years of prior professional experience. Most individuals hold executive-level positions within their organizations, either as career civil servants within the U.S. government or as senior selective service officials serving in foreign governments. Program participants also include international students, as well as individuals from U.S. federal agencies and local government agencies.<sup>96</sup> Most participants hail from organizations that have established relationships with the Maxwell School, although a handful of participants in each class applies to the program individually.

The on-campus EMPA program accepts approximately 100 students annually out of its application pool, and around 70 students attend each year. Participants have the option to register for courses offered through the Maxwell School's regular Master of Public Administration (MPA) program and take courses alongside MPA students. EMPA students are also required to complete a capstone course with fellow executive-level students pursuing the same program. The curriculum, credit requirements, and admissions processes are distinct from the regular MPA program.<sup>97</sup>

### **Knowledge, Skills, and Abilities Fostered by the Program**

The Maxwell School's EMPA curriculum centers on policy analysis, policy implementation, managerial leadership, and ethical decision-making. Courses focus on three areas of mastery: formulating, implementing, and evaluating policy; leading and managing organizations with diverse stakeholders; and applying rigorous and evidence-based analysis to inform decisionmaking.<sup>98</sup> The goal is to curate knowledge

---

<sup>95</sup> Syracuse University, [ExecutiveMPA@Syracuse](mailto:ExecutiveMPA@Syracuse), Admissions Overview, undated.

<sup>96</sup> Interview with Syracuse University administrator, December 4, 2019.

<sup>97</sup> "What Puts the 'E' in EMPA?" [ExecutiveMPA@Syracuse](http://ExecutiveMPA@Syracuse) blog, March 9, 2018.

<sup>98</sup> "Syracuse University's Number One-Ranked Maxwell School Opens Applications for Online Executive Master of Public Administration Program," PR Newswire, February 16, 2017.

gained in the EMPA program so that it is applicable to participants working in organizations across the public and private sectors. This focus makes the EMPA program relevant to DSCA as it works to develop its own curriculum for SC experts.

**Management and Leadership Skills.** Executive education at the Maxwell School emphasizes management and leadership skills, based on the understanding that individuals going through the program will return to dynamic and multidimensional work environments that require leadership and collaboration across diverse teams. An executive education administrator at Syracuse University's Maxwell School explained that the EMPA curriculum conceptualizes leadership as the ability to understand power and politics and how issues are framed. Because globalization has infused complexity into contemporary issues, it is important that today's leaders consider globalization's impacts on public-sector life and think about how they might address problems that cross international borders and other jurisdictions. Members across DSCA's SC workforce are likely to encounter similar challenges.

**Collaboration Skills.** Moreover, the EMPA program at the Maxwell School works to imbue its students with the understanding that they should work collaboratively with others to ensure that they are making the best decisions possible. The goal of today's leaders should be to work toward collaborative wins rather than focusing solely on competition. To meet this objective, students are trained in effective negotiation skills and have the opportunity to practice them in the classroom with other EMPA participants. The EMPA program encourages them to reach beyond their own frames of reference: "A huge part of education and learning [at Syracuse] is hearing people articulate something very different from their own perspective."<sup>99</sup> Mentoring and communication constitute another set of important skills that the Syracuse EMPA program emphasizes. Participants are taught that "leadership is about how to lead an organization through the words you use" and taught to "[see] leadership in terms of motivating people."<sup>100</sup>

---

<sup>99</sup> Interview with Syracuse University administrator, December 4, 2019.

<sup>100</sup> Interview with Syracuse University administrator, December 4, 2019.

**Transferrable Skills.** Another critical element in the Maxwell School's approach to executive education is the notion that leadership skills should be generalizable across sectors, career fields, and so on. Participants in the EMPA program should be able to transfer the leadership skills they have acquired at Syracuse across different areas or specialties within their own careers and also to new fields if they change careers in the future. Consequently, courses within the curriculum adopt generalizable analytical frameworks that carry across different contexts. One administrator working in executive education at the Maxwell School emphasized the importance of skill carryover as follows: "Cross-sectoral leadership and management skills are unique, and this is what we focus on."<sup>101</sup>

**Basic Management and Analysis Skills.** Finally, the EMPA program focuses on the development of basic management and analysis skills required by contemporary leaders. Students are taught how to manage money, budgets, people, programs, time, writing, and how to frame problems. The management piece, according to one program representative, is "a critical focus of the curriculum."<sup>102</sup> Courses on analytical skills focus on what it takes to understand specific policy areas, such as national security policy, urban renewal, and the like. The analytical skills required to address problems in each field range from the mundane to the complex, and the Maxwell School's EMPA program strives to educate participants in a balance of both.

### **Program Components: Course Timeline**

According to the Maxwell School's degree comparison tool, the regular EMPA program lasts between 12 and 24 months, while the online EMPA lasts between 15 and 30 months. Each program is 30 credits. Although the regular on-campus EMPA program can be completed in one calendar year, the majority of participants take between 1.5 and two years to complete all requirements, and have a maximum timeline of seven years to complete the program and receive their degree.<sup>103</sup>

---

<sup>101</sup> Interview with Syracuse University administrator, December 4, 2019.

<sup>102</sup> Interview with Syracuse University administrator, December 4, 2019.

<sup>103</sup> Interview with Syracuse University administrator, December 4, 2019.

Students who complete the on-campus EMPA program and are in residence typically complete the program in one concerted effort over the course of one year, while those enrolled in the online program are more likely to finish the program over the course of two to three years. The workload is more intense for students who complete the on-campus program in one sitting and lighter and more dispersed for those who complete the more flexible online program. According to one program representative, the amount of time it takes participants to complete either EMPA program depends on their capacity to take courses in person versus online, or sometimes a combination of both. The program prides itself on the flexibility that its various platforms offers participants, who can tailor the way that they navigate through various delivery points based on the demands of their careers.<sup>104</sup>

### **Program Components: Course Delivery**

Syracuse University's EMPA programs rely primarily on in-house tenured or tenure-track faculty. Faculty are dedicated to both research and teaching, and have strengths in leadership and management development, as well as other core skills such as budgeting, finance, and policy implementation and analysis.<sup>105</sup> As noted above, Syracuse faculty teach both EMPA programs (online and on-campus).

**Online Options.** Courses offered as part of the on-campus EMPA program take place in a classroom setting on Syracuse University's main campus, and students who enroll in the online EMPA (ExecutiveMPA@Syracuse) take classes virtually. EMPA students also have the option to create their own hybrid version of the program that allows them to take both online and in-person courses.<sup>106</sup> The introduction of the online EMPA in 2017 came in direct response to heightened demand for flexible professional degree programs, and is tailored specifically to meet the learning needs of working adults, in particular those occupying senior-level positions. The Maxwell School's third option, a mix of online and in-person courses, is testament to the value

---

<sup>104</sup> Interview with Syracuse University administrator, December 4, 2019.

<sup>105</sup> Keat, 2017.

<sup>106</sup> Interview with Syracuse University administrator, December 4, 2019.

that the program places on flexibility: “Midcareer professionals no longer have to choose between continuing their job and pursuing a graduate education at a top-ranked institution. Nor do they have to relocate to become a part of the Maxwell community of public service-minded professionals.”<sup>107</sup>

**Course Selection.** The program is based on an interdisciplinary approach that applies concepts from across the social sciences to address contemporary issues in a variety of fields, from political science to history to economics to geography and more.<sup>108</sup> The Maxwell School grants students flexibility in selecting the courses that will best suit their practical experience and career needs. Students are even permitted to determine what will constitute their “core” courses, focusing on issues and topics that interest them most. According to one program representative, Maxwell School EMPA participants are given more selection options than the majority of executive level or regular MPA programs.<sup>109</sup>

In addition to flexible timelines and student-tailored curricula, the Maxwell School’s executive education program also grants pride of place to interactive teaching practices for courses held in the classroom as well as online. The curriculum places especially high value on student experiences, and as a result many courses rely on student-to-student interaction to convey critical KSA expected to make individuals successful in senior leadership positions. According to a program administrator, instructors try to promote this type of interaction by giving participants the opportunity to speak, paying attention to the dynamics of the classroom setting, and providing space to interact more generally.<sup>110</sup> The online EMPA program has partnered with 2U, an educational technology company that contracts with nonprofit colleges and universities to deliver online degree programs and to create

---

<sup>107</sup> Tina Nabatchi, professor, Public Administration and International Affairs, the Maxwell School, as quoted in Keat, 2017.

<sup>108</sup> Keat, 2017.

<sup>109</sup> Interview with Syracuse University administrator, December 4, 2019.

<sup>110</sup> Interview with Syracuse University administrator, December 4, 2019.

engaging virtual classroom experiences that draw on a suite of online interactive tools.<sup>111</sup>

Finally, courses included in both the in-classroom and online iterations of the Maxwell School's EMPA draw heavily on evidence-based instruction. Instructors give students a sense of the most current public policy issues, integrating case studies and real-life scenarios into core courses, electives, and the program capstone course. The questions that courses address and that guide instruction are rarely, if ever, purely theoretical academic pursuits; instructors couch topics in real-world problems to bring the focus back to "getting stuff done." An administrator put it this way: "Practical application is the tagline of the program."<sup>112</sup>

Although the EMPA programs do not offer formal continuing education options after degree completion, the Maxwell School prides itself on the alumni network that EMPA graduates can access. The executive education programs generally stay in touch with alumni, though it is difficult to engage in continuous education in any meaningful depth once students have graduated. Although the Maxwell School is at times successful at doing so with individual organizations that hire its executive education team to design a custom leadership programs for their employees,<sup>113</sup> it is difficult to accomplish once a cohort of students has dispersed back into their various places of work.

### **Alignment with Research on Executive Education**

The EMPA programs offered by Syracuse University's Maxwell School are structured to cater to the learning needs of working professionals and reflect a number of the best practices identified in the literature on adult education and reviewed in the context of the Goldman Sachs and WashU at Brookings cases above. Most notably, Syracuse University's EMPA programs integrate a high level of flexibility into their curricula, whether offered in-residence on the Syracuse campus

---

<sup>111</sup> Keat, 2017.

<sup>112</sup> Interview with Syracuse University administrator, December 4, 2019.

<sup>113</sup> The Maxwell School designs executive education contracts for approximately 10–15 client organizations annually; interview with Syracuse University administrator, December 4, 2019.

or online. Students are able to tailor their course selection according to their career interests and needs and to balance the number of classes that they take in-person and online with the continuing demands of their careers. Customizing course delivery modes has been shown to improve learner engagement and interaction and is an important component of programs that target busy senior-level professionals.<sup>114</sup>

Moreover, the Maxwell School's executive education programs prioritize student-to-student interaction as a method of active learning, whether virtually or online, which the literature identifies as an important means of building cohort cohesion and improving learning outcomes.<sup>115</sup> The EMPA curriculum also places significant emphasis on the practical application of concepts introduced during coursework. The literature suggests that professional adult learners benefit from project-based learning, particularly projects that are based on real-life problems.<sup>116</sup> Courses within the EMPA program regularly integrate case studies and real-world events into the classroom experience—whether virtually or in-person—emulating instructional strategies that have long been mainstays of graduate education broadly and executive training specifically.<sup>117</sup> These methods of instruction are also foundations of Knowles's principles of adult learning, which continue to significantly shape contemporary adult education.

### **Barriers to and Facilitators of Implementing Expert-Level Courses**

The challenges that the Maxwell School faces in the implementation of its executive education programs stem primarily from the different learning needs of advanced professionals, relative to younger adult learners. In particular, one administration official at the school explained that older adults who typically fill senior-level positions do not learn as quickly as younger adults; they require additional time

---

<sup>114</sup> Reeves et al., 2016.

<sup>115</sup> Henderson, Dalton, and Cartmel, 2016; Knowles, 1984.

<sup>116</sup> Dax Jacobson, Richard Chapman, Christine Ye, and Jerry Van Os, "A Project-Based Approach to Executive Education," *Decision Sciences Journal of Innovative Education*, Vol. 15, No. 1, 2017.

<sup>117</sup> Smith and Keaveney, 2017; Valle and O'Mara, 2012.

to absorb material introduced during coursework, and it takes them longer to internalize the material. This means that finding the appropriate amount of material to introduce to adults and giving them a suitable amount of time to digest the material is a delicate balancing act. Because of these unique challenges inherent to executive education, not all instructors at a given institution may be adept at teaching adults.<sup>118</sup>

## MIT/Tufts University Seminar XXI

The idea of creating a “cohort” for the expert-level SC came to light during the team’s interviews with current and prior senior defense officials and practitioners. One way to create such a cohort of SC professionals at the highest level would be to provide them with an experience over a longer period of time than a typical classroom-based course would offer. The experience would deliver something to the group that would be qualitatively different from the professional training offered at the lower levels (advanced, intermediate, and basic) of SC training. The team was intrigued by this idea and therefore set off to investigate other initiatives that are intended to create a cohort of professionals. One of the examples we identified was the Seminar XXI program.<sup>119</sup>

Seminar XXI has been administered by the Center for International Studies at MIT since 1986. Tuft University’s Fletcher School partners with MIT on Seminar XXI. Seminar XXI brings together program participants, called “fellows,” from a wide range of sponsoring organizations, including the U.S. armed forces, government agencies, and NGOs. Interagency participation allows for discussion among key players from all corners of the national security and foreign policy communities. The program adapts and extends material and educational approaches from several graduate-level courses in foreign policy and international studies, aiming to provide participants with “the broad perspectives and analytical skills required to evaluate and formulate effective policy options for the United States.” The idea is to engage a

---

<sup>118</sup> Interview with Syracuse University administrator, December 4, 2019.

<sup>119</sup> MIT, MIT Seminar XXI, undated.

broad range of creative approaches to encourage fellows to think outside the usual boxes to which their past training and professional experience have too often limited them.<sup>120</sup>

### **Administrative Details, Application, and Selection Process**

MIT does not advertise Seminar XXI—only through word of mouth. The application process is highly competitive. Participants are nominated and sponsored by their individual organizations, military branch, government agency, or NGO. About 100 fellows per year are selected at the O-5/O-6 or GS-14/15 levels or equivalents across military, government, nonprofit, and private sectors. Fellows earn a certificate from MIT/Fletcher School at the end of the year. The duration of the program is one academic year, and there is a total of eight sessions in the year. There is an opening reception for the year at the National Press Club followed by five monthly evening meetings held at the Cosmos Club in Washington, D.C. There are also three weekend meetings sessions held at Airlie House in Warrenton, Virginia. There is a fee for participation that is paid for by the fellow's home institution. MIT receives grants from the Carnegie Endowment and Smith-Richardson, among others.

### **Seminar XXI Design and Activities**

The focus of Seminar XXI is on preparing leaders in U.S. national security and foreign policy for the next stage of their careers. All discussions operate under Chatham House rules. Seminar XXI curriculum is very broad. Participants are introduced to the program's three-pronged structure, combining "paradigms" (the varying worldviews of governments, peoples, and cultures); social science theories; and empirical knowledge based on historical facts, research, and practical experience. Seminars focus on ethnic conflict, value of alliances, and adversaries, with a regional application.

Seminar XXI offers seminar-style sessions taught by practitioners and academics. Opposing arguments are presented by debating profes-

---

<sup>120</sup> Mark Wolverton, "Seminar XXI: Educating US National Security Leaders," *Spectrum*, Winter 2018.

sors, and students have ample opportunity to ask questions and inject their own thoughts and experiences. Following the professors' debate, students debate each other in small groups. For every meeting there is a syllabus, which requires about 300 pages of reading with a month to complete.

### **The Value of Membership in Seminar XXI**

Seminar XXI is a professional network comprised, according to one alumnus, as a global community of experts of the absolute highest caliber. One interviewee suggested that the best part of Seminar XXI is the high-level perspectives that are designed to push internal reflection. Everyone is encouraged to share ideas and disagree and directly challenge each other. Organizers deliberately separate the fellows from their natural cohort for sessions and meals (assigned seating) so that they get to know everyone in the group of roughly 100 fellows.

Repeated interaction over the course of an entire year and the informality of the program lead to the establishment of a cohort. Discussions with alumni suggest that the professional network is valuable, accessible, and utilized. According to one alumnus, the greatest value of Seminar XXI is the shaping of future senior leader thinking on complex issues and the exposure to broader security threats. "The information presented one evening was directly applicable to the work environment the next day. This was the best adult-learning experience ever. There is prestige attached to Seminar XXI through the MIT affiliation."<sup>121</sup> The first event of the year is open to alumni, so there is a strong push to bring them back to continue the networking experience.

At the end of nine months, Seminar XXI fellows receive a certificate and join a cohort of more than 2,100 military and civilian fellows who have gone on to hold high level positions across the U.S. government. Fellows also receive a "black cube" (which has the curriculum topics inscribed) once they complete Seminar XXI, which serves as a conversation starter and engenders a sense of belonging. According to one respondent, the Seminar XXI cube is similar to the West Point ring: It is a signal and it is important. This is an exclusive club.

---

<sup>121</sup> Interview with Seminar XXI Fellow, Class of 1994, December 9, 2019.

There is an active alumni network and a LinkedIn page set up for them. Alumni are invited to an annual dinner, and about a third in total generally attend. In the mid-1990s, there was an online portal that provided, according to one alumnus, some of the best and most relevant reading materials on international relations. Even from the early days, Seminar XXI created an environment for the fellows so that they look forward to each event. They can relax over dinner or at an offsite and have professional conversations and build valuable networking relationships.

### **Potential Application to Security Cooperation Expert Level Training**

Seminar XXI's format provides some useful food for thought as DSCA contemplates its options for building a cadre of expert-level SC professionals. If the desire is to create and then energize an expert-level SC network, this kind of format may be an appealing option. The nine-month (academic year) duration, evening dinner lectures, several weekend getaway meetings, strong intellectual stimulation, interesting and relevant reading assignments, and casual professional environment for networking and learning are some of the characteristics that make Seminar XXI unique and appealing. However, some of these attributes could be difficult to replicate for SC expert training; these include the rigorous selection process, the length of time (given prospective military post changes), added responsibilities on top of the day job, and so on. We have heard that one of the challenges of SC expert-level training will be getting the time off work to complete this training.

One model to consider could be to start the training with perhaps three to five days of classroom time at DSCU, and then to switch to a monthly lecture, discussion, and dinner, followed by one or two weekend offsites, perhaps hosted at places of significance for SC. There would be a cost associated with travel for the weekend offsites, but they would likely be essential for solidifying the network and the cohort. The monthly meetings could be administered online for those not living in Washington, D.C., and if there was an associated dinner, many would miss out on this if they are not in D.C. at the time (though it may be an incentive for those outside D.C. to arrange work travel to attend in person when possible).

Another possibility is to do a half-day seminar followed by a drinks social every Friday for six months (requiring that participants not miss more than one event). It was suggested that this training should bring in high-level participants not as speakers but as full participants; this would put everyone on the same level and show the value of the certification to the entire SC workforce. With this approach, one or two offsites should still be considered. One interviewee suggested specific seminars for SC expert training that focus on great-power competition (e.g., one seminar focused on Russia and one on China).

Some additional adaptations would need to be made. For example, there is no certification granted by Seminar XXI, only a certificate of participation. The SC expert course would require a certification (and possibly testing). This kind of cohort approach to training would indeed stand out in the SC enterprise as qualitatively different and unique from anything currently on offer at DSCU at the lower levels of training. After the training is completed—and taking a page from Seminar XXI—it would be important for the training manager to stay engaged with the graduates to field requests and questions from the cohort and be used as a resource to crowdsource real-time answers.



## References

---

- Ahles, Mark, "SC Competencies to Courseware Overview," Defense Security Cooperation University, briefing, January 22, 2020.
- Anderson, Lorin W., and David R. Krathwohl, eds., *A Taxonomy for Learning, Teaching, and Assessing: A Revision of Bloom's Taxonomy of Educational Objectives*, New York: Longman, 2001.
- Armstrong, Patricia, "Bloom's Taxonomy," Vanderbilt University Center for Teaching, webpage, undated. As of October 5, 2020:  
<https://cft.vanderbilt.edu/guides-sub-pages/blooms-taxonomy/>
- Baggett, Terry, "Security Cooperation and Professional Military Education: Developing Better Theater Campaign Planners," thesis, Norfolk, Va.: Joint Advanced Warfighting School, 2012. As of May 19, 2020:  
<https://apps.dtic.mil/dtic/tr/fulltext/u2/a561645.pdf>
- Bergmann, Jonathan, and Aaron Sams, *Flip Your Classroom: Reach Every Student in Every Class Every Day*, Washington, D.C.: International Society for Technology in Education, 2012.
- Botke, Jolanda A., Paul G. W. Jansen, Svetlana N. Khapova, and Maria Tims, "Work Factors Influencing the Transfer Stage of Soft Skills Training: A Literature Review," *Educational Research Review*, Vol. 24, June 2018, pp. 130–147.
- Bruton, Bronwyn E., and Paul D. Williams, *Counterinsurgency in Somalia: Lessons Learned from the African Union Mission in Somalia, 2007–2013*, Joint Special Operations University Report 14-5, September 2014.
- Chairman, Joint Chiefs of Staff, *Security Cooperation*, Washington, D.C., JP 3-20, May 23, 2017. As of October 10, 2020:  
[https://www.jcs.mil/Portals/36/Documents/Doctrine/pubs/jp3\\_20\\_20172305.pdf](https://www.jcs.mil/Portals/36/Documents/Doctrine/pubs/jp3_20_20172305.pdf)
- Chatterjee, Shoma, "Americas Region Lead," Pine Street Initiative, Yale School of Management, 2013.
- Choi, Paul, "Managing Talent at Goldman Sachs," June 2012. As of March 11, 2020:  
[https://nanopdf.com/download/paul-choi-goldman-sachs\\_pdf](https://nanopdf.com/download/paul-choi-goldman-sachs_pdf)

Cohen, Elaine V., Ruth Hagestuen, Gladys González-Ramos, Hillel W. Cohen, Celia Bassich, Elaine Book, Kathy P. Bradley, Julie H. Carter, Mariann Di Minno, Joan Gardner, Monique Giroux, Manny J. González, Sandra Holten, Ricky Joseph, Denise D. Kornegay, Patricia A. Simpson, Concetta M. Tomaino, Richard P. Vandendolder, Maria Walde-Douglas, Rosemary Wichmann, and John C. Morgan, “Interprofessional Education Increases Knowledge, Promotes Team Building, and Changes Practice in the Care of Parkinson’s Disease,” *Parkinsonism Related Disorder*, Vol. 22, January 2016, pp. 21–27.

Combined Joint Operations from the Sea Centre of Excellence, *Allied Interoperability and Coordination Guide*, November 2018. As of October 9, 2020: <http://www.cjoscoe.org/infosite/wp-content/uploads/2018/10/Allied-Interoperability-and-Coordination-Guide.pdf>

CRS, “DoD Security Cooperation: An Overview of Authorities and Issues,” Washington, D.C., August 2016, p. 19.

Dalton, Melissa D., “Reforming Security Cooperation,” Washington, D.C.: Center for Strategic and International Studies, 2016. As of December 1, 2020: [https://csis-website-prod.s3.amazonaws.com/s3fs-public/publication/160901\\_Security\\_Cooperation.pdf](https://csis-website-prod.s3.amazonaws.com/s3fs-public/publication/160901_Security_Cooperation.pdf)

Dalton, Melissa G., Hijab Shah, Tommy Ross, and Asya Akca, *Shifting the Burden Responsibly: Oversight and Accountability in U.S. Security Assistance*, Washington, D.C.: Center for Strategic and International Studies, April 2019. As of October 25, 2020: [https://csis-website-prod.s3.amazonaws.com/s3fs-public/publication/190424\\_Dalton%20et%20al\\_ShiftingBurdenResponsibly\\_WEB\\_v2\\_0.pdf](https://csis-website-prod.s3.amazonaws.com/s3fs-public/publication/190424_Dalton%20et%20al_ShiftingBurdenResponsibly_WEB_v2_0.pdf)

Defense Security Cooperation Agency, “Defense Institute of Security Cooperation Studies,” website, undated a. As of March 13, 2020: [https://www.discs.dscu.mil/\\_pages/courses/course.aspx?id=poe-201](https://www.discs.dscu.mil/_pages/courses/course.aspx?id=poe-201)

———, Defense Institute of Security Cooperation Studies, “Intermediate SC Planning, Oversight and Execution Course (POE 201) Participant Guide,” October 2019.

———, Memorandum to the Department of Defense Components, “Implementation of the Department of Defense Security Cooperation Workforce Certification Program,” September 27, 2019, unpublished draft.

———, *Security Assistance Management Manual*, undated b. As of June 11, 2020: <https://www.samm.dsca.mil/chapter/chapter-1#C1.1>

Department of Defense Directive 5105.65, *Defense Security Cooperation Agency (DSCA)*, October 26, 2012.

——— 5132.03, *DoD Policy and Responsibilities Relating to Security Cooperation*, December 29, 2016. As of August 21, 2019: [https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/513203\\_dodd\\_2016.pdf](https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/513203_dodd_2016.pdf)

Department of Defense Instruction 5000.66, *Defense Acquisition Workforce Education, Training, Education, Experience and Career Development*, July 27, 2017.

——— 5132.13, *Staffing of Security Cooperation Offices (SCOs) and the Selection and Training of Security Cooperation Personnel*, January 9, 2009.

——— 5132.14, *Assessment, Monitoring, and Evaluation Policy for the Security Cooperation Enterprise*, January 13, 2017. As of October 25, 2020:  
[https://open.defense.gov/portals/23/Documents/foreignasst/DoDI\\_513214\\_on\\_AM&E.pdf](https://open.defense.gov/portals/23/Documents/foreignasst/DoDI_513214_on_AM&E.pdf)

Department of Defense Inspector General, “(U) Audit of the Training of the Army’s Regionally Aligned Forces in the U.S. Africa Command,” Washington, D.C., DoDIG-2019-096, June 18, 2019. As of October 10, 2020:  
<https://media.defense.gov/2019/Jun/25/2002149508/-1/-1/1/DODIG-2019-096.pdf>

DeSeve, G. Edward, *The Presidential Appointee’s Handbook*, Washington, D.C.: Brookings Institution Press, 2017.

DoDD—See Department of Defense Directive.

DoDI—See Department of Defense Instruction.

DoDIG—See Department of Defense Inspector General.

DSCA—See Defense Security Cooperation Agency.

Dubas, Justin M., and Santiago A. Toledo, “Taking Higher Order Thinking Seriously: Using Marzano’s Taxonomy in the Economics Classroom,” *International Review of Economics Education*, Vol. 21, 2016, pp. 12–20.

Dunst, Carl J., Carol M. Trivette, and Deborah W. Hamby, “Meta-Analysis of the Effectiveness of Four Adult Learning Methods and Strategies,” *International Journal of Continuing Education and Lifelong Learning*, Vol. 3, No. 1, 2010, pp. 91–112.

Federal News Network, “Cohort-Based Women’s Leadership Program Fosters Inclusive Networks Along with Executive Training,” *Federal Insights*, December 4, 2019. As of March 5, 2020:  
<https://federalnewsnetwork.com/federal-insights/2019/12/cohort-based-womens-leadership-program-fosters-inclusive-network-along-with-executive-training/>

GAO—See U.S. Government Accountability Office.

Gates, Susan M., *Shining a Spotlight on the Defense Acquisition Workforce—Again*, Santa Monica, Calif.: RAND Corporation, OP-266-OSD, 2009. As of October 3, 2020:  
[https://www.rand.org/pubs/occasional\\_papers/OP266.html](https://www.rand.org/pubs/occasional_papers/OP266.html)

Germanovich, Gene, J. D. Williams, Stacie L. Pettyjohn, David A. Shlapak, Anthony Adler, and Bradley Martin, *NATO’s Amphibious Forces: Command and Control of a Multibrigade Alliance Task Force*, Santa Monica, Calif.: RAND Corporation, RR-2928-USMC, 2019. As of October 3, 2020:  
[https://www.rand.org/pubs/research\\_reports/RR2928.html](https://www.rand.org/pubs/research_reports/RR2928.html)

“Goldman Prepares to Cut Its Partners Down to Size,” *Financial Times*, September 6, 2019. As of March 16, 2020:  
<https://www.ft.com/content/68592ae2-d06b-11e9-b018-ca4456540ea6>

The Goldman Sachs Group, “Careers,” webpage, undated. As of October 26, 2020:  
<https://www.goldmansachs.com/careers/training.html>

Gonzalez, Gabriella C., Reema Singh, Rita Karam, and David S. Ortiz, *Energy-Sector Workforce Development in Southwestern Pennsylvania: Aligning Education and Training with Innovation and Needed Skills*, Santa Monica, Calif.: RAND Corporation, RR-807-NETL 2014. As of October 3, 2020:  
[https://www.rand.org/pubs/research\\_reports/RR807.html](https://www.rand.org/pubs/research_reports/RR807.html)

Groysberg, Boris, and Scott Snook, “Leadership Development at Goldman Sachs,” Boston: Harvard Business School Publishing, Harvard Business School Case No. 406-002, March 22, 2007.

———, “The Pine Street Initiative at Goldman Sachs,” Boston: Harvard Business School Publishing, Harvard Business School Case No. 9-407-053, November 14, 2006.

Guraya, S. Y., and H. Barr, “The Effectiveness of Interprofessional Education in Healthcare: A Systematic Review and Meta-Analysis,” *Kaohsiung Journal of Medical Sciences*, Vol. 34, No. 3, March 2018, pp. 160–165.

Henderson, Saras, Megan Dalton, and Jennifer Cartmel, “Using Interprofessional Learning for Continuing Education: Development and Evaluation of the Graduate Certificate Program in Health Professional Education for Clinicians,” *Journal of Continuing Education in the Health Professions*, Vol. 36, No. 3, July 2016, pp. 211–217.

Hind, Patricia, and Viki Holton, “Effective Executive Education: What Are the Key Components and Challenges?” *International Journal of Advanced Research in Business*, Vol. 1, No. 1, 2016.

Jacobson, Dax, Richard Chapman, Christine Ye, and Jerry Van Os, “A Project-Based Approach to Executive Education,” *Decision Sciences Journal of Innovative Education*, Vol. 15, No. 1, 2017, pp. 42–61.

Joint Chiefs of Staff, *Developing Today’s Joint Officers for Tomorrow’s Ways of War*, May 1, 2020. As of October 3, 2020:  
[https://www.jcs.mil/Portals/36/Documents/Doctrine/education/jcs\\_pme\\_tm\\_vision.pdf?ver=2020-05-15-102429-817](https://www.jcs.mil/Portals/36/Documents/Doctrine/education/jcs_pme_tm_vision.pdf?ver=2020-05-15-102429-817)

Joint Staff, *Summary of the 2018 National Defense Strategy of the United States of America*, 2018. As of May 19, 2020:  
<https://dod.defense.gov/Portals/1/Documents/pubs/2018-National-Defense-Strategy-Summary.pdf>

Karlin, Mara E., *Building Militaries in Fragile States: Challenges for the United States*, Philadelphia: University of Pennsylvania Press, 2019.

- Keat, Mike, "An Interdisciplinary Approach Is What You'll Find in Syracuse U.'s EMPA Offering," American City & County, April 10, 2017. As of March 9, 2020: <https://www.americancityandcounty.com/2017/04/10/an-interdisciplinary-approach-is-what-youll-find-in-syracuse-u-s-empa-offering-with-related-video/>
- Kerr, Steven, and Steffen Landauer, "Using Stretch Goals to Promote Organizational Effectiveness and Personal Growth: General Electric and Goldman Sachs," *The Academy of Management Executive* (1993–2005), Vol. 18, No. 4, November 2004, pp. 134–138.
- Knowles, Malcolm S., *Andragogy in Action: Applying Modern Principles of Adult Learning*, San Francisco: Jossey-Bass, 1984.
- , *The Modern Practice of Adult Education: From Pedagogy to Andragogy*, rev. ed., Chicago: Associated Press, 1988.
- , *Self-Directed Learning: A Guide for Learners and Teachers*, Chicago: Follett Publishers, 1975.
- Knowles, Malcolm S., Elwood F. Holton, and Richard A. Swanson, *The Adult Learner*, 6th ed., San Diego, Calif.: Elsevier, 2005.
- Krathwohl, D. R., B. S. Bloom, and B. B. Masia, *Taxonomy of Educational Objectives: The Classification of Educational Goals. Handbook II: The Affective Domain*, New York: David McKay Company, 1964.
- Lacerenza, Christina N., Denise L. Reyes, Shannon L. Marlow, Dana Joseph, and Eduardo Salas, "Leadership Training Design, Delivery, and Implementation: A Meta-Analysis," *Journal of Applied Psychology*, Vol. 102, No. 12, 2017, pp. 1686–1718. As of September 10, 2019: <https://dx.doi.org/10.1037/apl0000241>
- Lockhart, James C., "Executive Education: Can It Be Too Good?" *Journal of Executive Education*, Vol. 12, No. 1, 2013, pp. 18–29.
- Lockhart, James C., Dorothy M. McKee, and Deborah Donnelly, *Exploring the Synergy Offered by Blended Learning in Executive Education. Blended Learning: Principles, Challenges and Impact on Student Performance*, Hauppauge, N.Y.: Nova Science Publishers, Inc., 2017.
- Marine Corps Security Cooperation Group, "Security Cooperation Planner's Course Quicklook," September 23, 2019.
- Markel, M. Wade, Jefferson P. Marquis, Peter Schirmer, Sean Robson, Lisa Saum-Manning, Katherine C. Hastings, Katharina Ley Best, Christina Panis, Alyssa Ramos, and Barbara Bicksler, *Career Development for the Department of Defense Security Cooperation Workforce*, Santa Monica, Calif.: RAND Corporation, RR-1846-OSD, 2018. As of October 3, 2020: [https://www.rand.org/pubs/research\\_reports/RR1846.html](https://www.rand.org/pubs/research_reports/RR1846.html)

Marquis, Jefferson P., Michael J. McNerney, S. Rebecca Zimmerman, Merrie Archer, Jeremy Boback, and David Stebbins, *Developing an Assessment, Monitoring, and Evaluation Framework for U.S. Department of Defense Security Cooperation*, Santa Monica, Calif.: RAND Corporation, RR-1611-OSD, 2016. As of October 3, 2020: [https://www.rand.org/pubs/research\\_reports/RR1611.html](https://www.rand.org/pubs/research_reports/RR1611.html)

Massachusetts Institute of Technology, MIT Seminar XXI, undated. As of October 10, 2020: <https://semxxi.mit.edu/>

Mattis, Jim, “Summary of the 2018 National Defense Strategy of the United States of America: Sharpening the American Military’s Competitive Edge,” Washington, D.C.: Department of Defense, 2018.

MCSCG—*See* Marine Corps Security Cooperation Group.

MIT—*See* Massachusetts Institute of Technology.

Moroney, Jennifer D. P., Joe Hogler, Jefferson P. Marquis, Christopher Paul, John E. Peters, and Beth Grill, *Developing an Assessment Framework for U.S. Air Force Building Partnerships Programs*, Santa Monica, Calif.: RAND Corporation, MG-868-AF, 2010. As of October 3, 2020: <https://www.rand.org/pubs/monographs/MG868.html>

Moroney, Jennifer D. P., David E. Thaler, and Joe Hogler, *Review of Security Cooperation Mechanisms Combatant Commands Utilize to Build Partner Capacity*, Santa Monica, Calif.: RAND Corporation, RR-413-OSD, 2013. As of October 3, 2020: [https://www.rand.org/pubs/research\\_reports/RR413.html](https://www.rand.org/pubs/research_reports/RR413.html)

Nickerson, Jackson, “How to Win Over the Idea Killers,” *Government Executive*, July/August 2014. As of March 5, 2020: <https://www.govexec.com/magazine/briefing/2014/07/how-win-over-idea-killers/88216/>

Office of Personnel Management, “Policy, Data, Oversight: Senior Executive Service,” Washington, D.C., undated. As of October 10, 2020: <https://www.opm.gov/policy-data-oversight/senior-executive-service/executive-core-qualifications/>

O’Leonard, K., *The Corporate Learning Factbook 2013: Benchmarks, Trends, and Analysis of the U.S. Training Market*, Oakland, Calif.: Bersin by Deloitte, 2013.

O’Mahony, Angela, Ilana Blum, Gabriela Armenta, Nicholas Burger, Joshua Mendelsohn, Michael J. McNerney, Steven W. Popper, Jefferson P. Marquis, and Thomas S. Szayna, *Assessing, Monitoring, and Evaluating Army Security Cooperation: A Framework for Implementation*, Santa Monica, Calif.: RAND Corporation, RR-2165-A, 2018. As of October 3, 2020: [https://www.rand.org/pubs/research\\_reports/RR2165.html](https://www.rand.org/pubs/research_reports/RR2165.html)

"Pine Street Created to Foster Development of Exceptional Leaders," Goldman Sachs, undated. As of October 9, 2020:  
<https://www.goldmansachs.com/our-firm/history/moments/1999-pine-street.html>

Pledger, Carol, "Building Managers Effectiveness by Combining Leadership Training and Organization Development," *Organization Development Journal*, Vol. 25, No. 1, Spring 2007, p. 71–76.

Powelson, Simon J., "Enduring Engagement Yes, Episodic Engagement No: Lessons for SOF in Mali," thesis, Monterey, Calif.: Naval Postgraduate School, December 2013.

Public Law 114-328, National Defense Authorization Act for Fiscal Year 2017, December 23, 2016.

Reeves, Scott, Simon Fletcher, Hugh Barr, Ivan Birch, Sylvain Boet, Nigel Davies, Angus McFadyen, Josette Rivera, and Simon Kitto, "A BEME Systematic Review of the Effects of Interprofessional Education: BEME Guide No. 39," *Medical Teacher*, Vol. 38, No. 7, May 5, 2016, pp. 656–668.

Rosen, Liana, Kathleen J. McInnis, Bolko J. Skorupski, and Lauren Ploch Blanchard, *Security Cooperation: Comparison of Proposed Provisions for the FY2017 National Defense Authorization Act (NDAA)*, Washington, D.C.: Congressional Research Service, November 2016.

Schoenherr, Neil, "The Government Must Develop Collaborative Enterprise Leaders to Solve Its 'Wicked Problems,' New Book Suggests," *State News Service*, August 6, 2013.

Sergeant, J., T. MacLeod, and A. Murray, "An Interprofessional Approach to Teaching Communication Skills," *Journal of Continuing Education in the Health Professions*, Vol. 31, No. 4, 2011, pp. 265–267.

Smith, Marlene A., and Susan M. Keaveney, "A Technical/Strategic Paradigm for Online Executive Education," *Decision Sciences Journal of Innovative Education*, Vol. 15, No. 1, January 2017, pp. 82–100.

Special Inspector General for Afghanistan Reconstruction, *Divided Responsibility: Lessons from U.S. Security Sector Assistance Efforts in Afghanistan*, June 2019. As of October 9, 2020:  
<https://www.sigar.mil/pdf/lessonslearned/SIGAR-19-39-LL.pdf>

Syracuse University, ExecutiveMPA@Syracuse, Admissions Overview, undated. As of October 10, 2020:  
<https://onlinempa.syr.edu/admissions/admissions-requirements/>

Syracuse University Maxwell School Executive Education, "Executive Education Customized Training," undated.

"Syracuse University's Number One-Ranked Maxwell School Opens Applications for Online Executive Master of Public Administration Program," PR Newswire, February 16, 2017.

Thaler, David E., Michael J. McNerney, Beth Grill, Jefferson P. Marquis, and Amanda Kadlec, *From Patchwork to Framework: A Review of Title 10 Authorities for Security Cooperation*, Santa Monica, Calif.: RAND Corporation, RR-1438-OSD, 2016. As of October 3, 2020:  
[https://www.rand.org/pubs/research\\_reports/RR1438.html](https://www.rand.org/pubs/research_reports/RR1438.html)

Trump, Donald J., “National Security Strategy of the United States of America,” Washington, D.C.: The White House, December 2017. As of May 19, 2020:  
<https://www.whitehouse.gov/wp-content/uploads/2017/12/NSS-Final-12-18-2017-0905-2.pdf>

Under Secretary of Defense, Acquisition Technology and Logistics, Human Capital Initiatives, *Defense Acquisition Workforce Program Desk Guide*, July 20, 2017. As of August 11, 2020:  
[https://www.hci.mil/docs/Policy/Guidance%20Memoranda/DoDI\\_5000\\_66\\_Desk\\_Guide\\_Signed\\_20\\_July\\_2017.pdf](https://www.hci.mil/docs/Policy/Guidance%20Memoranda/DoDI_5000_66_Desk_Guide_Signed_20_July_2017.pdf)

U.S. Code, Title 10, Section 384, Department of Defense Security Cooperation Workforce Development, December 23, 2016.

U.S. Department of State, *Egypt Security Assistance Review*, Washington, D.C.: October 29, 2018.

U.S. Government Accountability Office, *Building Partner Capacity: Inventory of Department of Defense Security Cooperation and Department of State Security Assistance Efforts*, Washington, D.C., GAO-17-255R, March 24, 2017.

———, “DoD’s Ongoing Reforms Address Some Challenges, but Additional Information Is Needed to Further Enhance Program Management,” Washington, D.C., GAO-13-84, November 16, 2012. As of October 10, 2020:  
<https://www.gao.gov/products/GAO-13-84>

———, *Foreign Military Sales: DoD Needs to Improve Its Use of Performance Information to Manage the Program*, Washington, D.C., GAO-17-703, August 2017.

United States Marine Corps, “Institutionalization, Consolidation, and Strengthening of Marine Corps Irregular Warfare (IW) and Security Cooperation (SC) Organization,” MARADMIN No. 454-11, August 11, 2011. As of October 9, 2020:  
<https://www.marines.mil/News/Messages/Messages-Display/Article/888021/institutionalization-consolidation-and-strengthening-of-marine-corps-irregular/>

United States Marine Corps Security Forces Command, *Marine Corps Security Cooperation Group*, Norfolk, Va., undated. As of October 10, 2020:  
<https://www.mcscg.marines.mil/Resources/Command-Information/>

University of New Mexico Health Sciences Center Interprofessional Education, “What Is Interprofessional Education (IPE)?” undated. As of October 10, 2020:  
<https://hsc.unm.edu/ipe/about/what-is-ipe.html>

USMC—See United States Marine Corps.

Valle, Matthew, and Kevin J. O'Mara, "Targeted Instruction for Executive Education: Classifying Participants to Enhance Program Delivery," *Journal of Executive Education*, Vol. 11, No. 1, 2012, pp. 1–13.

WashU at Brookings Course Catalog, 2019–2020, webpage. As of June 9, 2020: <https://olin.wustl.edu/EN-US/partners-resources/Brookings-Executive-Education/Pages/default.aspx>

"What Puts the 'E' in EMPA?" ExecutiveMPA@Syracuse Blog, March 9, 2018. As of March 9, 2020: <https://onlinempa.syr.edu/blog/what-is-an-empa/>

Whitney, Kellye. "Steve Kerr: Managing the Business of Learning," Chief Learning Officer, July 30, 2004. As of March 11, 2020: <https://www.chieflearningofficer.com/2004/07/30/steve-kerr-managing-the-business-of-learning/>

Wolverton, Mark, "Seminar XXI: Educating US National Security Leaders," *Spectrum*, Winter 2018. As of October 10, 2020: <https://spectrum.mit.edu/winter-2018/seminar-xxi-educating-us-national-security-leaders/>

Yale School of Management, "How Goldman Sachs Thinks About Leadership," November 25, 2013. As of March 11, 2020: <https://som.yale.edu/news/2013/11/how-goldman-sachs-thinks-about-leadership>