

NATIONAL GUARD STATE PARTNERSHIP PROGRAM: MEASURING  
EFFECTIVENESS

A thesis presented to the Faculty of the U.S. Army  
Command and General Staff College in partial  
fulfillment of the requirements for the  
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MASTER OF MILITARY ART AND SCIENCE  
Homeland Security

by

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The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other governmental agency. (References to this study should include the foregoing statement.)

## ABSTRACT

NATIONAL GUARD STATE PARTNERSHIP PROGRAM: MEASURING EFFECTIVENESS, by MAJ Andrew Chandler, 81 pages.

The National Guard State Partnership Program provided Combatant Commanders a Security Cooperation program that built enduring partnerships and increased military capacity for more than twenty years. The State Partnership Program forges lasting relationships through the conduct of military to military exchanges and other capacity building events. The contributions of the State Partnership Program are highly praised throughout all levels of government. The program endured recent scrutiny for its inability to provide metrics demonstrating effectiveness required by Congress. This was due in part to the diversity associated with the authorities, funding and execution of State Partnership Program events. This thesis examines the potential methodologies available to measure the effectiveness of the State Partnership Program, determines if measures of effectiveness exist that can be applied to the State Partnership Program, and provides recommendations for the improvement of the program.

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## ACRONYMS

|              |                                                                                                 |
|--------------|-------------------------------------------------------------------------------------------------|
| AAR          | After Action Review                                                                             |
| ADP          | Army Doctrine Publication                                                                       |
| AR           | Army Regulation                                                                                 |
| ARGOS        | Army Global Outlook System                                                                      |
| ASD (SO/LIC) | Assistant Secretary of Defense for Special Operations/Low Intensity Conflict                    |
| BAO          | Bilateral Affairs Officer                                                                       |
| BPC          | Building Partner Capacity                                                                       |
| CDR          | Commander                                                                                       |
| COCOM        | Combatant Command                                                                               |
| CRS          | Congressional Research Service                                                                  |
| DA           | Department of the Army                                                                          |
| DA PAM       | Department of the Army Pamphlet                                                                 |
| DoD          | Department of Defense                                                                           |
| DoDI         | Department of Defense Instruction                                                               |
| DOS          | Department of State                                                                             |
| DOTMLPF      | Doctrine, Organization, Training, Material, Leadership and Education, Personnel, and Facilities |
| EUCOM        | European Command                                                                                |
| FAO          | Foreign Area Officer                                                                            |
| FID          | Foreign Internal Defense                                                                        |
| FM           | Field Manual                                                                                    |
| FY           | Fiscal Year                                                                                     |
| FYDP         | Future Years Defense Program                                                                    |

|         |                                                                   |
|---------|-------------------------------------------------------------------|
| GAO     | Government Accountability Office                                  |
| GCC     | Geographic Combatant Command                                      |
| GEF     | Guidance for Employment of the Force                              |
| GPOI    | Global Peace Operations Initiative                                |
| GTSCMIS | Global Theater Security Cooperation Management Information System |
| ISAF    | International Security Assistance Force                           |
| JCS     | Joint Chiefs of Staff                                             |
| JCTP    | Joint Contact Team Program                                        |
| JP      | Joint Publication                                                 |
| JSCP    | Joint Strategic Capabilities Plan                                 |
| M2M     | Military to Military                                              |
| MOE     | Measure of Effectiveness                                          |
| MOP     | Measure of Performance                                            |
| NATO    | North Atlantic Treaty Organization                                |
| NDAA    | National Defense Authorization Act                                |
| NGB     | National Guard Bureau                                             |
| OMLT    | Operational Mentor and Liaison Team                               |
| QDR     | Quadrennial Defense Review                                        |
| SA      | Security Assistance                                               |
| SC      | Security Cooperation                                              |
| SFA     | Security Force Assistance                                         |
| SOP     | Standard Operating Procedure                                      |
| SPP     | State Partnership Program                                         |
| TRADOC  | U.S. Army Training and Doctrine Command                           |

|         |                                                            |
|---------|------------------------------------------------------------|
| TSC     | Theater Security Cooperation                               |
| TSCMIS  | Theater Security Cooperation Management Information System |
| USAID   | United States Agency for International Development         |
| USAWC   | United States Army War College                             |
| USC     | United States Code                                         |
| USD (P) | Under Secretary of Defense for Policy                      |

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## CHAPTER 1

### INTRODUCTION

Many State Partnership Program stakeholders, including State Partnership Program Coordinators, Bilateral Affairs Officers, and combatant command officials, cited benefits to the program, but the program lacks a comprehensive oversight framework that includes clear program goals, objectives, and metrics to measure progress against those goals, which limits the DoD's and Congress' ability to assess whether the program is an effective and efficient use of resources.

— Government Accountability Office,  
*State Partnership Program Improved Oversight*

#### Introduction

The National Guard's State Partnership Program (SPP) grew significantly in both size and scope from its modest beginnings in Eastern Europe over two decades ago. Currently SPP participants conduct partnership-building events with 65 countries spread across all of the Combatant Commands (COCOMs) (National Guard SPP 2013). The SPP is recognized at the senior most levels within the U.S. Military, U.S. Government, and the respective partner nations. In those circles, the SPP receives positive feedback on its accomplishments in partnership and capacity building from various sources including Combatant Command (COCOM) Commanders (CDRs), senior governmental officials, foreign military commanders, National Guard leaders and Ambassadors. The SPP, as a concept, regionally aligns state National Guard forces with developing nations creating relationships that are forged through military to military (M2M) and civilian to military exchanges. For more than 20 years, these partnerships and exchanges, in conjunction with many other Security Cooperation (SC) activities, established enduring relationships and increased the capacity of the partner nations involved.

The capacity building, increased regional understanding, and relationships developed through the SPP are all outcomes COCOM CDRs and Department of Defense (DoD) leadership want to maintain (Orrell 2011). Given its perceived ability to achieve significant outcomes and the commitments from the highest levels of the government and the military it is understandable why the SPP is viewed as a positive program. However, much like all DoD programs and governmental programs in general, the continued funding, support, and execution of the SPP relies on important performance metrics. A recent United States Government Accountability Office (GAO) report on the SPP published in 2012 identified limitations hindering the ability to measure the effectiveness of the SPP (GAO 2012a). The GAO report followed a Congressional Research Service (CRS) report, published in 2011, which provided a similar finding while identifying the complexity in measuring the effectiveness of the SPP (Kapp 2011, 16). Additionally many other published reports documenting the SPP dating back over a decade also identified the need to and difficulty in measuring effectiveness for the SPP and SC efforts in general (Moroney 2009, xiii).

### Research Question

This scrutiny of the program leads to the primary research question for this thesis, “Are there Measures of Effectiveness (MOE) that can be applied to the SPP?” The ability to show the value and the effectiveness of DoD programs, the SPP in particular, will be increasingly vital to the continued support and ultimately the funding levels authorized by Congress in the current fiscally constrained environment. Two secondary research questions will frame the answer to the primary research question. The first question is specific to the SPP. “Does the SPP have an evaluation methodology?” The second

question concerns SC programs in general. “How do similar programs evaluate program effectiveness?” Further analysis stemming from these secondary research questions will determine if the SPP has systems in place to measure effectiveness, if there are programs similar in scope and mission to the SPP, and if MOE applied to similar programs can be applied to the SPP. Research for this thesis will focus on the process of measuring SC program effectiveness specifically related to the SPP. This includes SPP events designed for Building Partner Capacity (BPC), a primary objective of the SPP.

### Assumptions

This thesis makes several assumptions in order to begin research on MOE for the SPP. The first assumption is that a published evaluation methodology for the SPP does not exist. This assumption is based off the findings from GAO-12-548 and CRS R41957, the two most recent reports initiated by Congress to study the SPP. This assumption is important because it broadens the scope of the research to look outside of the SPP for methodologies to measure effectiveness. Additionally CRS R41957 stated that in 2011 the National Guard Bureau’s (NGB’s) International Affairs Division was working to develop methodologies to measure effectiveness for the SPP (Kapp 2011, 16). This thesis will only look for open source documents on SPP MOE, published documents, and will avoid internal or working documents to prevent a duplication of effort. This is done with the intention of providing an outside look into potential methodologies to measure effectiveness for the SPP.

The second assumption is that there are systems in place that record data on the SPP, such as financial records and After Action Reviews (AAR), and the information that is gathered during the collection process can be standardized to allow for performance

measurement or program evaluation. This assumption is necessary because if there is not a way to capture the data and standardize the evaluation methodology then the performance review will be more subjective in nature than is acceptable for government accounting purposes. The Theater Security Cooperation Management Information System (TSCMIS) is an example of a system capable of capturing data concerning SPP events.

The third assumption is qualitative data, although subjective, can be utilized as an indicator of Measures of Performance (MOP) or MOE. The degree to which the qualitative data can be attributed to the SPP or individual SPP events can also be accurately measured. This assumption is based on an accepted evaluation methodology providing a cause and effect or before and after analysis between SPP event inputs and outputs or outcomes.

The fourth assumption is the primary metrics for performance will be external, associated with metrics provided by the individual partner nations. This assumption is made because the primary focus of the SPP is to build partner capacity. The primary performance metrics demonstrated by an individual partner country are critical to measuring the effectiveness of the SPP. Secondary and tertiary performance metrics or those that can be attributed to the U.S. elements, may prove valuable to the overall program evaluation but are not the primary metrics used to demonstrate program effectiveness. The conduct of a mission in support of U.S. objectives, such as the Operational Mentor and Liaison Team (OMLT) mission, is an example of a mission forged from a SPP relationship with metrics that are assumed to provide both the U.S. and the partner nation an opportunity to evaluate the program in both effectiveness and

performance. The partner nation's participation in this type of mission is assumed to be a more significant metric than the U.S. involvement.

The final assumption is that an accurate evaluation will be hindered if the program lacks a defined goal or end state. This assumption is required to focus research on SPP goals and objectives to provide evidence of program performance towards those desired end states. It is possible to measure effectiveness without a defined end state, but for the purpose of governmental accountability, this assumption is required to measure progress towards a defined objective.

All five of the assumptions will be readdressed in chapter 4 with the presentation of the research findings. The next section defines the common and SPP specific terms utilized throughout this thesis. It provides a familiarization with some concepts and programs associated with the SPP.

### Definitions

Bilateral Affairs Officer (BAO): A position for a National Guard officer to serve in the embassy of a partner nation and perform duties associated with the coordination of SPP events and other SC activities. The BAO position does not exist in every partner nation and may be performed under different authorities or given a different name depending on the command he or she is assigned (Kapp 2011, 11).

Building Partner Capacity (BPC): "The outcome of comprehensive interorganizational activities, programs, and engagements that enhance the ability of partners for security, governance, economic development, essential services, rule of law, and other critical government functions" (DA 2011a, 3).

Government Accountability Office (GAO): “An independent, nonpartisan agency that works for Congress. Often called the “congressional watchdog,” GAO investigates how the federal government spends taxpayer dollars” (GAO 2012c).

Measures of Effectiveness (MOE): “A criterion used to assess changes in system behavior, capability, or operational environment that is tied to measuring the attainment of an end state, achievement of an objective, or creation of an effect (JCS 2011, GL-13).

Measures of Performance (MOP): “A criterion used to assess friendly actions that is tied to measuring task accomplishment” (JCS 2011, GL-13).

Operational Mentor and Liaison Team (OMLT): A team of 10 to 30 soldiers from multiple countries that “provide mentoring and training for the Afghan National Army and serve as liaisons between the Afghan National Army and the International Security Assistance Force (ISAF) in Afghanistan” (Kapp 2011, 5). For the purpose of this thesis, OMLTs are conducted by sending State National Guard forces and partner nation forces on combined deployments together. “National Guard personnel have embedded with their partner nation’s OMLTs and accompanied them throughout their deployments to Afghanistan (they have also conducted similar embedded operations with partner nation forces in Iraq and Kosovo)” (Kapp 2011, 5).

Security Assistance (SA): “Security assistance is a group of programs authorized by the Foreign Assistance Act of 1961, as amended, and the Arms Export Control Act of 1976, as amended, or other related statutes by which the United States provides defense articles, military training, and other defense-related services by grant, loan, credit, or cash sales in furtherance of national policies and objectives. Security assistance is an element

of SC funded and authorized by Department of State (DOS) to be administered by DoD/Defense Security Cooperation Agency” (JCS 2010, GL-11).

Security Cooperation (SC): “Security cooperation is all DoD interactions with foreign defense establishments to build defense relationships that promote specific U.S. security interests, develop allied and friendly military capabilities for self-defense and multinational operations, and provide U.S. forces with peacetime and contingency access to a host nation” (JCS 2010, GL-11).

State Partnership Program (SPP): “A DoD security cooperation program under which a M2M relationship is established between the National Guard of a U.S. State and a partner nation’s military forces for the complementary purposes of promoting mutual understanding; interoperability; furtherance of the Combatant Commander’s Theater Security Cooperation (TSC) program objectives by building enduring relationships with, and, to the extent authorized by law, the capacity of, partner nation military forces; and promoting the readiness of U.S. National Guard forces (Under Secretary of Defense for Policy” (USD(P)) 2012a, 13).

Theater Security Cooperation Management Information System (TSCMIS): An information management system used by several of the COCOMs to capture data on the execution of regional or TSC events. Data can include number of soldiers involved, costs, locations, duration, training objectives, AARs and numerous other data points (GAO 2012b, 15-16).

### Scope

The scope of this thesis is an analysis of the documents and reports presented on the SPP spanning its entire history. This includes a review of relevant doctrine

concerning SC and BPC. This is done to identify and analyze MOE utilized throughout the existence of the SPP. The program has operated for over two decades growing in scope, geographical orientation, and number of participants. This thesis will not conduct a detailed analysis of individual state partnerships. The lessons learned and performance metrics provided from individual reports will however, be analyzed in the broad context of how these metrics apply the overall assessment of SPP effectiveness. This allows for the analysis of similarities across all partnerships and the program as a whole to determine if there are appropriate MOE common to all. This research also focuses on identifying similar methodologies and benchmarks in the evaluation programs utilized by organizations and programs with similar characteristics, missions, and requirements to the SPP.

### Limitations

This thesis will only use open source information and data that is made available to the public. Detailed data analysis will not occur because a large amount of data concerning the SPP is stored in multiple domains across many non-public sources (GAO 2012a, 13). This limits the ability to conduct research focusing on specific program details that are not made public record. For this reason the specific inputs of any one SPP will not be reviewed for this thesis.

Compounding this limitation, data on the SPP is stored in systems that are not designed to share information and data entry into these systems is not always done in a uniform manner (GAO 2012a, 13). TSCMIS is an example of one of the data information systems used to track SPP events. Additionally attempts to access these systems or gather internal documentation on the SPP will be avoided to prevent a duplication of efforts with

the identification and creation of MOE occurring internally in the NGB and COCOMs in response to GAO-12-548 and CRS R41957.

This thesis is further limited by the required timeline for completion and the timeline for ongoing doctrinal updates. The Army is currently conducting a significant update to its doctrine. This limits the ability of this thesis to review and identify all of the most current doctrine regarding the SPP. Every effort will be made to include the most current doctrinal references into the body of research when possible.

### Significance

This thesis is significant because it helps to answer a question currently facing the COCOMs and the NGB as these organizations develop a process to demonstrate SPP effectiveness. In the coming years the DoD will face significant budgetary cuts. DoD programs will be required to demonstrate effectiveness, efficiency and limit unnecessary expenses when and wherever possible. With this in mind, it is paramount that the SPP demonstrate its effectiveness in order to retain Congressional support and funding. Measuring effectiveness will ensure resources are applied in accordance with the established priorities. The best way for the program to receive continued support and maintain relationships, some of which are 20 years in the making, is through the identification of established goals and by demonstrating the SPP's effectiveness in achieving those goals.

### Summary

This thesis focuses on answering the question, "Are there measures of effectiveness that can be applied to the SPP?" This research is in response to recent

reports presented to Congressional authorities validating the need for a study of this nature. The remaining four chapters are organized as follows. Chapter 2 is a review of literature pertaining to the SPP, SC and BPC. Chapter 3 is a review of the research methodologies utilized in this thesis. Chapter 4 is a presentation of the research findings along with analysis as to the meaning of the findings. Chapter 5 presents the conclusions, recommendations, and areas for further study and provides a summary for the thesis.

## CHAPTER 2

### LITERATURE REVIEW

U.S. Government resource constraints may reduce the amount of funding and forces available for SC. Even if the resource environment were less constrained, the Army needs to function as a good steward of U.S. taxpayer resources. These considerations may result in the cutoff of SC funding for certain activities, if their value cannot be clearly demonstrated. The Army can mitigate this risk through comprehensive SC planning that incorporates regular, objective evaluation of the progress of Army SC activities in achieving DoD objectives.

— Department of the Army, Pamphlet 11-31

#### Introduction

This chapter is a review of the pertinent literature and doctrine concerning the SPP and a review of literature describing methodologies utilized to measure effectiveness in programs similar to the SPP. The focus of the literature review is to describe literature that is relevant to the SPP, identify common themes in the literature, and identify how this thesis fits into the current body of literature on the SPP. Ultimately this review will describe the sources that will help answer the primary research question, “Are there measures of effectiveness that can be applied to the SPP?” The literature review is organized into the following sections: Understanding the Need, Origin of the SPP, Doctrine, Prior Research and Evaluation Methodologies.

The first section of this review, Understanding the Need, outlines literature that establishes and reports the current need to identify SPP MOE. The second section, Origin of the SPP, accounts for the creation of the SPP. This section also identifies the complexities associated with developing metrics to evaluate SC programs from a historical perspective. It presents evidence that government officials and planners have

recognized the need to measure effectiveness since the inception of the program. The Doctrine section focuses on SC and BPC, a primary activity of the SPP, to identify appropriate doctrine that applies to the SPP. This includes doctrine that identifies MOE in SC programs. The fourth section focuses on the review of prior research. This section illuminates the goals and objectives for the SPP from its creation to the present day. This section also further reinforces the need to measure SPP effectiveness. The final section reviews literature documenting evaluation methodologies utilized by programs conducting SC activities similar to the SPP. This provides potential benchmarks and methodologies to be used in lieu of a published SPP evaluation methodology. The reason to review other methodologies is based on the assumption a published SPP evaluation methodology does not exist.

The literature available to the public on the SPP program primarily exists in the form of press releases, articles written in professional journals, research studies, GAO reports and Rand studies. There are also a host of military manuals that define doctrine relating to common SC and SPP activities, including BPC. Three commonalities are noticed when comparing literature specifically related to the SPP. The first commonality, which relates to the central purpose for this thesis, is the recommendation or discussion on the need to identify MOE for the SPP. The second commonality is discussion outlining the success of the SPP. The third commonality is the explanation of the complexities related to the SPP including the funding sources, legal aspects and overall objectives for individual programs or events. The complexities and difficulties in measuring the effectiveness of the SPP are not considered unique to the SPP but systemic for all SC programs (Moroney 2009, xiii). In total, the literature presented on the SPP

helps to clarify the complexities and highlight the difficulties when attempting to identify MOE for the SPP.

### Understanding the Need

GAO-12-548

Report, GAO-12-548, *State Partnership Program Improved Oversight, Guidance, and Training Needed for National Guard's Efforts with Foreign Partners*, was a response to the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2012 directing the GAO to study the SPP (GAO 2012a, 3). The report attempts to determine if the SPP is achieving its intended goals as well as how the program is implemented (GAO 2012a, 3). The report is the primary document used by this thesis to identify the current importance and requirement to determine if MOE for the SPP exist. It is also the document upon which the first assumption is based. The first assumption is that a published methodology to measure SPP effectiveness does not exist.

The information in the report is gathered through emails, surveys, and interviews with the major stakeholders in the SPP. It provides anecdotal information on SPP performance. The report provides background information and feedback from key SPP stakeholders on some of the benefits of the SPP. The biggest finding from this report is that there is incomplete and inconsistent data on the SPP preventing the evaluation of its effectiveness by the DoD or Congress (GAO 2012a, 13).

The report identifies the lack of common reporting procedures and gaps in recorded data, from all parties involved, as an obstacle to allow for measurements of performance or efficiency related to the SPP (GAO 2012a, 13). The scope of the research, specifically the interview list, was too broad to narrow down the findings to

account for actual SPP dollars spent. The GAO officials reported that multiple fund sources were utilized to fund SPP events (GAO 2012a, 16). While this is true, the scope of the research did not specifically target the SPP funding lines and the specific program managers, management decision packages, or the individuals responsible for managing the funds.

There is a certain ambiguity when identifying multiple fund sources and objectives for SPP events conducted with various organizations. Specificity is required to determine the satisfactory completion of objectives for individual events. The GAO researchers should have followed the funding lines from the program managers through execution to each specific event to identify the performance of the specific funding lines. Overall this report highlights the need for a DoD led SPP evaluation methodology to ensure appropriate data is captured to measure effectiveness. An answer to this complexity can be seen with the publication of DoDI 5111.20, reviewed later in this section, and DA PAM 11-31, reviewed in the doctrine section of this chapter. The next report in this review provides insight into the complexity surrounding SPP performance metrics. Specifically it addresses the many funding sources and authorities utilized to execute SPP events.

#### CRS Report R41957

The CRS Report R41957, *The National Guard State Partnership Program: Background, Issues, and Options for Congress*, broadly outlines the activities of the SPP. The report, written by authors Lawrence Kapp and Nina M. Serafino, provides background information on the SPP and explains, in some degree of detail, the statutory authorities, funding mechanisms and institutional arrangements associated with the SPP.

Published in August 2011, a year prior to GAO-12-548, CRS R41957 describes the multiple laws, regulations and systems in place to execute SPP events. It also provides issues for Congressional oversight. One issue highlighted by the report, and central to this thesis, is to determine if the SPP is effective (Kapp 2011, 16).

These findings set the stage for research into MOE for the SPP. The report best illuminates the requirement to conduct research into the specifics of what constitutes a SPP event. Detailed focus is necessary to identify the specific events that are in fact SPP events and not events funded and executed under different authorities (Kapp 2011, 18). CRS R41957 provides information on the authorities behind how SPP events are executed and, while not written for this purpose, provides background information for the findings from GAO-12-548. It also further illuminates the difficulties associated with capturing data on individual SPP events verses the program as a whole. In particular, how to evaluate the overall effectiveness of the SPP when different objectives, authorities, funding sources and organizations are involved (Kapp 2011, 16).

The report allows the reader to question the process involved when evaluating one component of government during a Whole-of-Government approach. It even suggests that the SPP may be better organized and managed with a dedicated statutory authority (Kapp 2011, 18). This report fails to narrow the scope of its research in order to fully articulate and understand the process for conducting SPP events. This is understandable because the report directs its investigation towards the many different parties involved in the SPP without distinguishing those responsible for managing the funds from those responsible for the conduct and oversight of the program.

## The Quadrennial Defense Review Execution Roadmap Building Partnership Capacity

The *Quadrennial Defense Review (QDR) Execution Roadmap BPC*, published in May of 2006, is a strategic document that provides guidance from the Secretary of Defense on approaches to BPC. Of significance to this thesis is the guidance to focus on the improvement of SC effectiveness. To that end, the USD (P) is tasked to provide the Deputy Secretary of Defense “a plan of action for improving security cooperation process within DoD” (U.S. Secretary of Defense 2006, 14). As a strategic document it does not get into the specific details on the conduct of BPC events instead, it provides overarching guidance to ensure, “resources are being used as effectively and efficiently as possible” (U.S. Secretary of Defense 2006, 14). This strategic guidance can be utilized to build goals for the SPP. The document provides a slightly different definition for BPC than ADP 3-0. The *QDR Execution Roadmap BPC* defines BPC as, “Targeted efforts to improve the collective capabilities and performance of the Department of Defense and its partners” (U.S. Secretary of Defense 2006, 4).

### Department of Defense Instruction, Number 5111.20

DoDI 5111.20, “establishes policy, assigns responsibilities, and provides instructions for the use of funds appropriated to the DoD to pay the costs of authorized SPP activities” (USD(P) 2012a, 1). This instruction provides guidance on specific data that is required to be collected in order to allow for annual reporting on the SPP. The data is collected in order to allow a determination as to the effectiveness of the SPP. This document also provides basic definitions concerning the SPP and defines what an SPP event is.

DoDI 5111.20 does not provide a methodology as to how the information collected will be used to determine effectiveness of SPP events. It does however; require the Geographic Combatant Commanders (GCC CDRs) to “assess the effectiveness of SPP activities in achieving TSC objectives” (USD(P) 2012a, 10). DoDI 5111.20 provides directions to begin a more thorough accountability of the SPP. It also provides the oversight responsibilities within the DoD, COCOMs and NGB. Additionally DoDI 5111.20 states that, “In accordance with section 1085 of Public Law 112-81 up to \$3,000,000 may be used to pay for the travel and per diem costs associated with the participation of U.S. and foreign civilian and non-defense agency personnel in conducting SPP activities” (USD(P) 2012a, 12). This is significant because there was confusion prior as to what civilian participation in the SPP was allowed (GAO 2012a, 20).

### Origin of the SPP

#### The Joint Contact Team Program

The Joint Contact Team Program (JCTP), published by the Joint History Office in 1997 and written by Robert Cossaboom, provides an in depth look at the history of the JCTP. The JCTP is the program from which the SPP evolved (National Guard SPP 2013). Of most importance to this thesis is the conclusion where the author describes the need to measure the effectiveness of the JCTP and describes the difficulty in measuring the effectiveness of SC engagements (Cossaboom 1997, 54). This historical document demonstrates a requirement to develop MOE dating back to the creation of the SPP as it developed out of the JCTP. In capturing the history and creation of the SPP, this uniquely

historical document provides the beginning goals and objectives as well as potential metrics capable of demonstrating effectiveness for M2M events similar to the SPP.

### Doctrine

#### Field Manual 3-22

Army Field Manual (FM) 3-22, recently published in January 2013, provides current Army doctrine describing how Army forces support SC events. FM 3-22 also doctrinally codifies the NGB SPP as an example of a Title 10, United States Code (USC) SC program that builds partner capacity. It further describes the SPP as a program that, “links states with partner countries for supporting the objectives and goals of the geographic combatant command and the U.S. ambassador. The SPP actively participates in training events, emergency management, environmental remediation exercises, fellowship-style internships, educational exchanges, and civic leader visits” (DA 2013a, 2-5). With the SPP identified as a SC program, FM 3-22 provides definitions for MOE and MOP. More importantly for this thesis, FM 3-22 provides examples of MOE and MOP for SC focus areas. The examples of MOE and MOP listed by FM 3-22, in figure 1 and figure 2, provide potential measures that SC programs can use to develop an assessment plan or evaluation methodology.

The manual’s focus on assessments is the last major area of relevance to this thesis. FM 3-22 describes how the Guidance for Employment of the Force (GEF) provides the strategic guidance to the DoD so that theater campaign plans and ultimately country plans can be created (DA 2013a, 3-107). Figure 3 provides the format for a country plan. FM 3-22 outlines the process by which SC events accomplish intermediate

objectives in order to build towards the accomplishment of strategic objectives or directed end states.

| <b>Security cooperation focus areas</b>                                  | <b>Measure of effectiveness</b>                                                       |
|--------------------------------------------------------------------------|---------------------------------------------------------------------------------------|
| Operational capacity and capability building                             | Increased in units certified for a specific mission                                   |
| Human capacity and human capital development                             | Increased number of training opportunities for desired skills                         |
| Institutional capacity and security sector Reform                        | Decreased reports of corruption                                                       |
| Support to institutional capacity and civil-sector capacity building     | Increased ability of local agencies to prepare for and respond to local crises.       |
| Multinational operations capacity, interoperability, and standardization | Increased usage of multinational forces in operations, exercises, or other activities |
| Operational access and global freedom of action                          | Reduced restrictions for access as identified in the status of forces agreement       |
| Intelligence and information sharing                                     | Increased shared intelligence reports                                                 |
| Assurance and regional confidence building                               | Increased maneuver notifications                                                      |
| International armaments cooperation                                      | Increased acquisition of foreign technologies and cost-sharing                        |
| International suasion and collaboration                                  | Increased positive media reporting of security cooperation events                     |

Figure 1. SC MOE Examples

Source: Department of the Army, Field Manual 3-22, *Army Support to Security Cooperation* (Washington, DC: Government Printing Office, 2013), 4-13.

| <b>Security cooperation focus areas</b>                                  | <b>Measure of performance</b>                                         |
|--------------------------------------------------------------------------|-----------------------------------------------------------------------|
| Operational capacity and capability building                             | Training event conducted?                                             |
| Human capacity and human capital development                             | Education course conducted?                                           |
| Institutional capacity and security sector reform                        | Advisor embedded in partner country general staff?                    |
| Support to institutional capacity and civil-sector capacity building     | Crisis management tabletop exercise conducted?                        |
| Multinational operations capacity, interoperability, and standardization | North Atlantic Treaty Organization (NATO) standard agreement adopted? |
| Operational access and global freedom of action                          | Status-of-forces agreement (SOFA) signed?                             |
| Intelligence and information sharing                                     | Multinational network provided?                                       |
| Assurance and regional confidence building                               | Hot-line communications in service?                                   |
| International armaments cooperation                                      | Armaments coordination agreement conducted?                           |
| International suasion and collaboration                                  | Major annual regional security conference conducted?                  |

Figure 2. SC MOP Examples

Source: Department of the Army, Field Manual 3-22, *Army Support to Security Cooperation* (Washington, DC: Government Printing Office, 2013), 4-13.

| <i>Format</i>                                                                                                                                                                                                                                                                                                               | <i>Definitions</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <i>Examples</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. GCC task #1<br>a. Assessment<br>b. Objective #1.a.<br>1) Task #1.a.(1)<br>a. Activity #1.a.(1)(a)<br>b. Activity #1.a.(1)(b)<br>2) Task #1.a.(2)<br>a. Activity #1.a.(2)(a)<br>b. Activity #1.b.(2)(b)<br>c. Objective #1.b.<br>1) Task #1.b.(1)<br>a. Activity #1.b.(1)(a)<br>b. Activity #1.b.(1)(b)<br>2. GCC task #2 | GCC task: The security cooperation activity or task nested with line or lines of effort to achieve an objective or objectives and strategic effect or outcome.<br>Assessment: Determination of the progress toward accomplishing a task, creating a condition, or achieving an objective (JP 3-0).<br>Objective: The clearly defined, decisive, and attainable goal toward which every operation is directed (JP 5-0).<br>Task: A clearly defined and measurable activity accomplished by individuals and organizations.<br>Activity: A function, mission, action, or collection of actions (JP 3-0). | GCC task #1: Develop land forces NCO professional military education.<br>Assessment: Country X land forces lack a NCO professional military education system, management structures, and doctrine.<br>Objective #1.a.: Country X land forces establish a professional military education system for NCOs by 1 January 2015.<br>Task #1.a.(1): Familiarize country X land forces with the United States NCO professional military education system by January 2013.<br>Activity #1.a.(1)(a): <ul style="list-style-type: none"> <li>Who: United States Army Training and Doctrine Command.</li> <li>What: Five-day NCO professional military education military-to-military contact event.</li> <li>When: October 2013.</li> <li>Where: Country X land force headquarters.</li> </ul> |
| <b>LEGEND:</b><br>GCC – geographic combatant commander<br>JP – joint publication<br>NCO – noncommissioned officer                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

Figure 3. Country Plan Format Example

Source: Department of the Army, Field Manual 3-22, *Army Support to Security Cooperation* (Washington, DC: Government Printing Office, 2013), Table 3-1.

### Field Manual 3-07.1

FM 3-07.1 is the Army doctrinal publication that defines Security Force Assistance (SFA). The FM was published in May of 2009 and focuses primarily on the Brigade Combat Team's role in conducting SFA. FM 3-07.1 identifies SFA as an activity that takes place in all spectrums of war. While SFA is not a direct mission of the SPP, FM 3-07.1 identifies SC and SA as similar programs; therefore, SFA activities are relevant to this thesis. Furthermore, FM 3-07.1 documents the requirement to conduct

continuous assessments throughout the conduct of SFA. One of the recommendations is to utilize the Doctrine, Organization, Training, Material, Leadership, Personnel and Facilities (DOTMLPF) structure to do this (DA 2009, 3-61). Determining the effectiveness of programs working along the individual DOTMLPF outline is appropriate for SC events focused on BPC.

#### Joint Publication 3-22

JP 3-22, published in July 2010, provides the doctrinal framework for U.S. military forces conducting Foreign Internal Defense (FID). It also defines SC and SA. While FID is not a typical mission conducted by the SPP the partner building and capacity building aspects of FID, identified in JP 3-22, are related efforts for the SPP. Figure 4 identifies the relationship between FID, SC and SA.

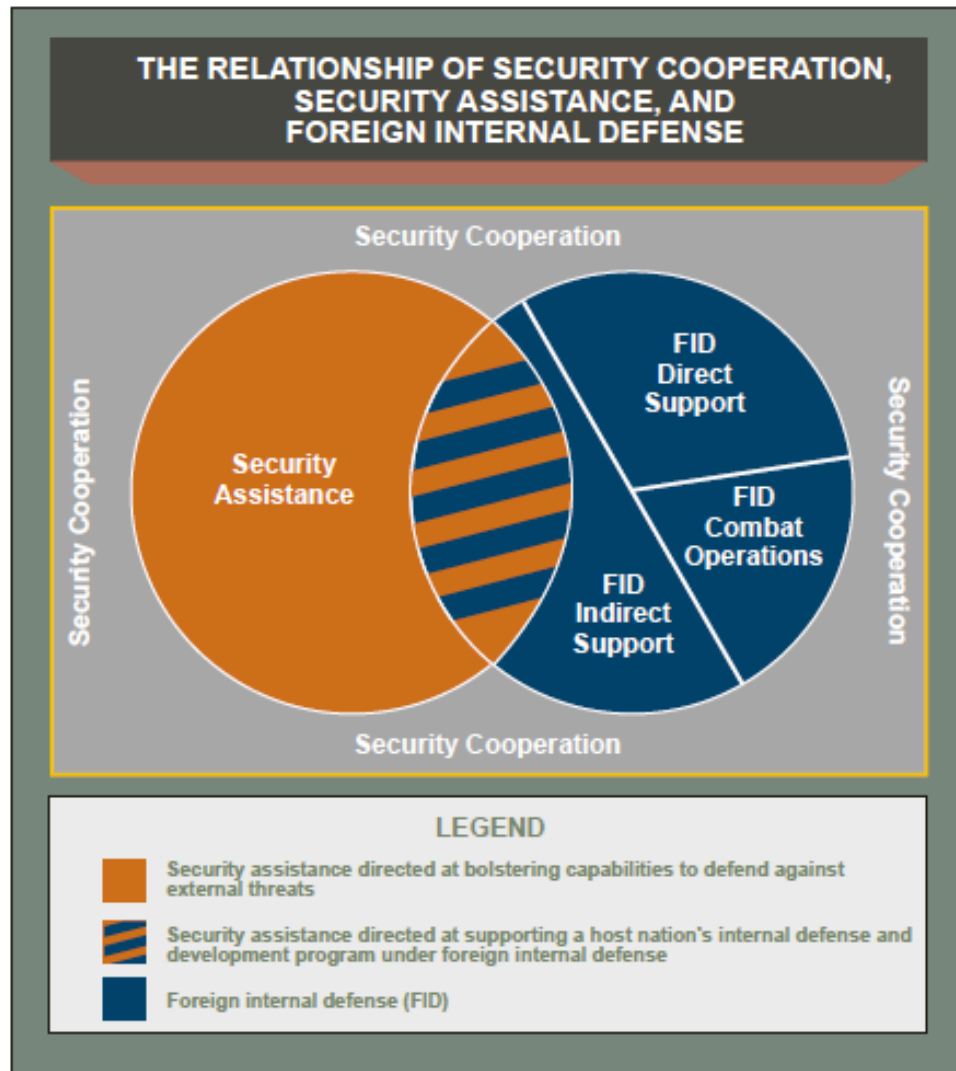


Figure 4. Relationship of SC, SA and FID

Source: Joint Chiefs of Staff, Joint Publication 3-22, *Foreign Internal Defense* (Washington, DC: Government Printing Office, 2010), I-12.

U.S. Army Training and Doctrine Command Pamphlet 525-8-4

Training and Doctrine Command (TRADOC) Pamphlet (PAM) 525-8-4, *The U.S. Army Concept for Building Partner Capacity 2016-2028*, provides the Army's framework for BPC. The document, published in November 2011, provides a strategic

view for BPC and provides potential end states and focus areas for BPC events. This allows a doctrinal approach to review BPC MOE and ultimately SPP MOE.

#### Department of the Army Pamphlet 11-31

Department of the Army Pamphlet (DA PAM) 11-31, *Army Security Cooperation Handbook*, was published in March 2013. This new pamphlet provides clear guidance into SC planning and assessment requirements. DA PAM 11-31 elaborates on the policy guidance provided by Army Regulation (AR) 11-31 to demonstrate how SC programs help GCC CDRs accomplish theater and functional campaign plans (DA 2013b). DA PAM 11-31 provides guidance on what tools to use to evaluate SC event effectiveness, stating both TSCMIS and the Army Global Outlook System (ARGOS) are the programs of record for SC. It further provides guidance on the specific inputs for these systems. DA PAM 11-31 is perhaps the most comprehensive doctrinal reference on how to create, manage, record, and measure SC program effectiveness measures.

#### Prior Research

The United States Army War College (USAWC) Strategy Research Project titled, National Guard State Partnership Program: a Whole-of-Government Approach, conducted by COL John Jansen in 2010 asks the question has the SPP “reached its full potential as a “Whole-of-Government” tool for establishing enduring civil-military relationships while building partnership capacity across all levels of society to promote international stability and security” (Jansen 2010, 1)? COL Jansen’s research provides first hand accounts on the SPP with internal documents utilized by NGB and COCOMs. In his assessment of the SPP, COL Jansen finds it difficult to clearly assess the

performance of the SPP because of the diversity and long-term nature of events as well as the lack of an assessment framework (Jansen 2010, 17). COL Jansen describes several examples of a successful string of SPP actions and events leading to positive outcomes. This research provides potential metrics to measure performance or effectiveness if compared to the original goals within the SPP. One of the core components of the SPP, identified by COL Jansen, is the relationships built out of the program (Jansen 2010, 32).

A similar USAWC Strategy Research Project, conducted by COL Sean Mulcahey in 2012, focused on BPC and identifies the value provided by the SPP in building long term relationships (Mulcahey 2012, 25). This work titled, Building Partner Capacity at Best Value, links the SPP with several other DoD initiatives focusing on BPC. It also provides arguments supporting the National Guard's participation in BPC activities. One of COL Mulcahey's closing arguments is that the National Guard is best suited to conduct BPC activities due to its "long-term relationship building" and relative value to BPC (Mulcahey 2012, 52). These comments represent the growing desire within the DoD to maintain the National Guard as an operational force and the cost savings mentioned is reflected in the FY2013 Budget Request Overview (Office of the Under Secretary of Defense (Comptroller) 2012, 4-14).

A Research Report titled, The National Guard, Promoting United States National Security: a Case Study, written in 1998 by Lt Col Dubie provides a comparison of three programs associated with SC. The first two programs, the JCTP and SPP, are SC programs supported by the U.S. DoD. The third program is the Partnership for Peace program run by the North Atlantic Treaty Organization (NATO). Lt Col Dubie described how multiple SC events were often conducted to accomplish common goals utilizing

multiple funding sources (Dubie 1998, 17). This demonstrates some of the difficulties associated with measuring SPP performance towards goal achievement when there are other programs and external factors involved. Lt Col Dubie articulates the Whole-of-Government approach associated with the SPP in his Vermont and Macedonia case studies. He provides valuable insights towards the improvement of the program.

Building an Army in a Democracy in Hungary and Poland, a thesis written in 1996 by Frank Fields and Jack Jensen provides detailed insight into the process for institutionalizing democratic ideals into the Hungarian and Polish military. Their thesis provides considerable background into the military and political considerations for both Hungary and Poland. This is an example of a detailed country analysis that could be utilized to establish country specific goals and objectives for the SPP and other SC programs. The authors concluded their thesis by providing an accounting of military programs to assist the European Command and the SPP was one of the programs listed.

### Evaluation Methodology

GAO-11-646SP

The U.S. Government Accountability Office produced GAO-11-646SP in May 2011. The report provides accepted definitions for different types of program performance assessments, describes the relationships between performance measurement and program evaluations, and provides definitions for different types of program evaluations. These definitions are important to the discussion on MOE for the SPP. The report provides the thesis a clear and common language that will match other source documents while showing relationships between metrics and evaluations. It will also guide the grouping of metrics and the grouping of types of evaluations. Most importantly,

the definitions in this report are nested with the reporting requirements mandated by Congress for governmental programs.

#### U.S. Agency for International Development Evaluation Policy

The U.S. Agency for International Development (USAID) Evaluation Policy, published in January 2011, was developed to allow for oversight and feedback highlighting the achievements and shortcomings of its activities for its many stakeholders. The document provides guidance on the purpose of evaluations, describes different types of evaluations, and explains how to conduct evaluations within the USAID organization. The evaluation policy further breaks down the purpose for evaluations into two categories, accountability or learning, and states evaluations can be conducted for both purposes or singularly (USAID 2011, 3). This document demonstrates an organizational viewpoint for evaluations.

#### U.S. Department of State Evaluation Policy

The DOS Evaluation Policy is provided on the DOS website. The most recent version was published in February 2012. The policy provides details on the purpose for evaluations, types and standards for evaluations, and uses for evaluations (DOS 2012). The DOS evaluation policy is similar to the USAID evaluation policy and provides an additional look at an organizational evaluation policy for a governmental organization responsible to report program effectiveness to Congress.

## Developing an Army Strategy for Building Partner Capacity for Stability Operations

The Rand Corporation report titled, *Developing an Army Strategy for Building Partner Capacity for Stability Operations*, is intended to provide a strategy for BPC during stability operations (Marquis 2010, iii). The report authored by Jefferson P. Marquis, Jennifer D.P. Moroney, Justin Beck, Derek Eaton, and Scott Hiromoto provides a detailed Whole-of-Government look into efforts conducted to build partner capacity. The report also identifies the strategic concepts behind BPC from the Cold War to the current operational environment. Of most importance to this thesis, the Rand report provides an assessment process or methodology for events intended to build partner capacity (Marquis 2010, 74). The report even goes one step further identifying methods to analyze potential partners (Marquis 2010, 74). The information and concepts provided in this report present a model and a methodology that can be applied in order to develop an evaluation methodology for SC events.

### Summary

The purpose of this literature review was to identify the primary source documents pertinent to the SPP and literature describing MOE in SC and BPC. The review focused on the most current doctrine involving SPP activities and provided references demonstrating the current need to identify SPP MOE. This thesis is intended to link prior research and governmental reports that identify the need to measure effectiveness in the SPP with potential methodologies to measure effectiveness in SC programs. The ability of this thesis to determine if this connection can be made will

answer the primary research question. Chapter 3 describes the research methodologies used for this thesis.

## CHAPTER 3

### RESEARCH METHODOLOGY

I keep six honest serving-men (They taught me all I know); Their names are What and Why and When And How and Where and Who.

— Rudyard Kipling, *The Elephant's Child*

#### Introduction

This chapter outlines the research methodologies used for this thesis. Two qualitative research methodologies, narrative research and the grounded theory, were utilized in order to answer the primary research question. Both methodologies relied on information collected through a documentation review. The narrative research methodology is used to gather information and to conduct an analysis of the SPP over the duration of its existence. The grounded theory methodology is used to gather information and conduct an analysis of potential evaluation methodologies associated with the SPP. Ultimately the findings provided by grounded theory methodology, informed by the contextual information provided through the narrative research methodology, allow for the presentation of a theory that can best answer the primary research question; “Are there MOE that can be applied to the SPP?”

#### Narrative Research

The narrative research conducted for this thesis follows John Creswell's examples by focusing on the story or history of the individual (Creswell 2013, 71). In this case, the individual is the SPP. Utilizing narrative research allowed for the development of a chronology when examining the SPP over the life cycle of the program. The story can

then be analyzed for specific themes or performance indicators (Creswell 2013, 71).

Performance indicators are a key component of measuring effectiveness in a SC program (DA 2013c, 57).

The results of the narrative research process provide information and data points, which allows for a greater understanding of the individual program (Creswell 2013, 122). Narrative research provides a documented history or story line involving the SPP from its beginning to its current state for this thesis. Building this understanding of the SPP is important to allow for contextual reference. The SPP is a 20-year-old program that has undergone numerous changes and grown considerably. Understanding these changes, understanding the SPP's evolution, and understanding the SPP's role in the contemporary operational environment are an important part to understanding the SPP as a SC program. These established themes and performance indicators ultimately are compared with current doctrinal and similar program evaluation methodologies to develop a theory focused on providing an answer to the primary research question. The narrative research efforts focus primarily on a review of SPP historical documentation and previous research reports.

### Grounded Theory

The grounded theory methodology categorizes data on the SPP and associated data concerning similar programs. This “constant comparative method of data analysis” allows the information collected to be categorized and compared (Creswell 2013, 86). Ultimately through the coding of data and the conduct of a logical comparison, a hypothesis can be presented to outline a “substantive-level theory” (Creswell 2013, 89).

The theory is presented through the findings in chapter 4 and the recommendations provided in chapter 5.

The grounded theory research focuses on creating categories to compare similar programs' methods for measuring effectiveness with the data identified by the narrative research on the SPP. This comparison, in the form of "axial coding," creates a central phenomenon or core value with which to relate the other data points (Creswell 2013, 86). Methods or metrics used to demonstrate effectiveness in similar programs are the center value and SPP methods or metrics are selectively coded into proposed relationships (Creswell 2013, 86). Additionally doctrinal data is coded to further develop the understanding of the SPP against the broader SC efforts. As the data is analyzed and selectively coded into these relationships, a proposition or hypothesis is formed. The hypothesis presents either a confirmation or denial of the existence of MOE suitable for the SPP. Ultimately this hypothesis is used to answer the primary research question and to present recommendations. Figure 5 provides a visual depiction of the combined research methodologies.

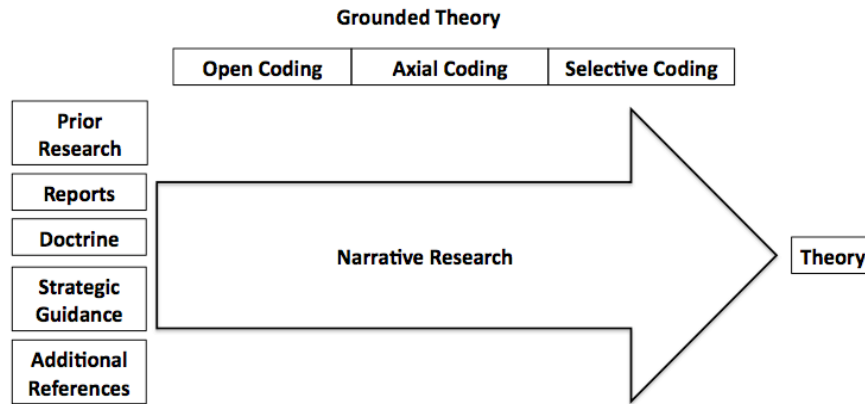


Figure 5. Combined Representation of Thesis Research Methodologies

Source: Author created.

### Advantages and Disadvantages

The first advantage in utilizing the narrative research methodology is the majority of the information is available and accessible through the library, Internet, professional journals and other media. This provides a broad spectrum of data points for analysis. A second advantage is the documents allow for a review of the SPP over its entire life cycle or life history (Creswell 2013, 73). Reviewing documentation on the SPP from its creation to the present date will demonstrate its purpose, evolution and potentially provide data points to identify previous and current metrics used to determine effectiveness. These metrics of effectiveness can then be compared with those utilized in similar programs to identify appropriate comparisons.

The primary disadvantage to the narrative research methodology is it does not provide all the detailed data points needed to conduct a complete analysis. Some data is not published by the executers of the SPP or available via open source records. Therefore, findings are based solely on the information that is public record and not the detailed

reports contained in financial records or data management systems within the NGB or COCOMs.

Another disadvantage is the documentation utilized for the narrative research can show a certain bias and present data and details found important to the creator of the document. This could skew the data collected in favor of a particular bias based on the author's presentation of data in a particular document. According to Creswell, this is called a "restory" or biased accounting (Creswell 2013, 76). To avoid this bias multiple sources were utilized to gather data to compare and analyze the SPP data across the broadest spectrum and over the longest period possible.

The advantage in utilizing the grounded theory research methodology is it allows for the presentation of a theory to the stakeholders involved with creating an evaluation methodology for the SPP. The findings presented through the grounded theory methodology allow for implementation should the hypothesis become accepted. The concern with grounded theory research is the data could become skewed if the researcher uses theoretical ideas (Creswell 2013, 89). To avoid this pitfall, Creswell advocates effort should be taken to ensure substantive theory is presented (Creswell 2013, 89).

### Conclusion

The research for this thesis was conducted in three phases. The first phase consisted of a review of the history of the SPP from its creation to its present status. This yielded the previous results of the program, performance metrics and data on why the program is viewed as a success, and why the program expanded. The second phase was a review of data on the SPP including prior studies, research, articles and presentations on the SPP. This identified common performance indicators. It also yielded common data

points deemed important to those executing the SPP, those managing the SPP, and those responsible for the continued funding of the SPP. The final step was a comparative analysis of MOE and the evaluation methodologies utilized by similar governmental organizations to capture these metrics.

The resulting data reveals the life story of the SPP and allows the identification of key metrics determined to be effective by those responsible for the SPP. These metrics are then analyzed with doctrinal evaluation methodologies and evaluation methodologies utilized by similar governmental programs to determine their ability to measure effectiveness. Ultimately the analysis of the findings in chapter 4 and the conclusions and recommendations in chapter 5 present a theory that can be utilized to determine if MOE can be determined for the SPP.

## CHAPTER 4

### ANALYSIS

Assessment is the determination of the progress toward accomplishing a task, creating an effect, or achieving an objective (JP 3-0). Country support plans begin with a country assessment. Assessment precedes and guides the other activities of the operations process. Assessment involves deliberately comparing forecasted outcomes with actual events to determine the overall effectiveness of force employment. More specifically, assessment helps the commander determine progress toward attaining the desired end state, achieving objectives, and performing tasks. Assessments are conducted throughout the range of military operations, and therefore require continuous monitoring and evaluation from planning through execution to measure the overall effectiveness to help commanders and their staffs understand the current situation and its evolution during operations.

— Department of the Army, Field Manual 3-22

#### Introduction

In this chapter the research findings are presented and interpreted in order to answer the primary question; “Are there MOE that can be applied to the SPP?” The British Army Field Manual, Volume 1 Part 10, *Countering Insurgency*, section 7-B-18 offers six questions captured from Rudyard Kipling’s book, *The Elephant’s Child*. The manual recommends the questions who, what, where, why, when and how be used at all stages when establishing a system to measure effectiveness and to evaluate its outputs. This chapter presents the information collected and analyzes the findings for relevance to this thesis.

#### What is the SPP?

Understanding the SPP, what it is and what it is not, is fundamental to determining if there are MOE that exist for the SPP. Without a grounded definition and

understanding in the SPP any attempt to measure it will be incomplete. So, what is the SPP? It is a SC program conducted by National Guard forces that focuses on BPC within partner nations while integrating the priorities set forth by GCC CDRs and the respective Chiefs of Mission (National Guard SPP 2011). How are SPP events funded? SPP events are funded through numerous DoD accounts specific to the location, event, and authority to conduct such activities (Kapp 2011, 11). Who is responsible for the SPP? The SPP has several actors responsible for the conduct of the SPP including the program coordinators who work at the state level and the BAOs who work inside the respective embassy of the partner nation reporting to the GCC CDR. The GCC CDR and Chief of Mission each oversee and grant approval for SPP events in their respective areas (USD(P) 2012a, 9-10). NGB manages the overall SPP and the individual forces from the individual states and partner nations conduct the events (Kapp 2011, 6). By describing the SPP, the complexity of the program is obvious. However, are the answers provided above descriptive enough to define the SPP or to allow for detailed measurement of its effectiveness?

There are multiple definitions recorded for the SPP listed by various sources. The European Command (EUCOM) defines the SPP as, “the largest and longest-running program using M2M relationships to enhance long-term international security while building partnership capacity” (EUCOM 2013). This definition provides insight into the legal status of the SPP and why it is important to measure its effectiveness. After all M2M is a legal program of record under Title 10 USC 168 and Congress has a responsibility to look into the use of appropriated funds to ensure they are utilized in an efficient manner. The EUCOM definition differs slightly from the definition provided in

chapter 1, as reported in DoDI 5111.20. It is however, these differences and details that make defining the SPP such an important part in determining its effectiveness.

Another way to look at the problem is to define the SPP as a SC concept not a program, at least not a program of record. The Defense Acquisition University website defines a program of record as a “Program as recorded in the current Future Years Defense Program (FYDP) or as updated from the last FYDP by approved program documentation (e.g., Acquisition Program Baseline, acquisition strategy, or Selected Acquisition Report)” (Defense Acquisition University 2013). The EUCOM definition presents the SPP as a program conducted utilizing M2M authorities, not SPP authorities. This is important because to measure SPP effectiveness M2M effectiveness also needs to be measured if the EUCOM definition is to be utilized.

In 2011, the SPP did not have a dedicated statutory authority (Kapp 2011, 9). The SPP was conducted utilizing numerous authorities and funding mechanisms (Kapp 2011, 9). CRS report R41957 listed 10 different programs and activities through which travel expenses alone were paid (Kapp 2011, 11). This is different then the information provided in the recently published DA PAM 11-31, Table 5–36, featured in figure 6. Table 5-36 lists the appropriations for the SPP as “Operation and Maintenance, Army National Guard 2065 and National Guard Personnel, Army 2060.” These appropriations are only available to the National Guard. Table 5-36 does not include the other appropriations that the COCOMs utilize to help fund SPP events.

What does this ambiguity and diversity in the authorities and funding sources used in the execution of the SPP mean for the definition? At the time GAO-12-548 and CRS Report R41957 were published, the SPP was executed through a wide range of

authorities and funding mechanisms. This potentially led to an over exposure of the SPP brand name. There is potential that events and outcomes were over attributed to the SPP, after all it is EUCOM's longest running M2M engagement. CRS Report R41957 even identifies there is confusion among those executing the SPP as to what events are actually SPP events (Kapp 2011, 18). The confusion is most likely not in what is a SPP event, although it is possible. The confusion is more likely in understanding the specifics of whom and under what authority the SPP events were funded. If dollars spent is a metric to understand the effectiveness of the SPP it is important to understand what budget the dollars came from and for what purpose those dollars were spent. This most likely explains why the GAO and CRS researchers encountered such difficulty in identifying specifics on SPP performance and effectiveness. National Guard forces can conduct SC events in a country that is their SPP partner using M2M or other authorities and funding and the only thing that defines it as a SPP event is the name. This makes accountability difficult and leads to a different approach to define the SPP.

For the purpose of this thesis, defining the SPP by stating “what it is” and “what it does” provides a useable answer to allow a search into potential MOE. The SPP is a SC concept that pairs state National Guard forces with partner countries to develop long-term relationships and build partnership capacity utilizing M2M or similar authorities and funding. The SPP does not have a dedicated statutory authority and uses funds appropriated for M2M or similar engagements. With this definition, it is understandable why Congress would inquire as to the efficacy in the use of the appropriate funds. It is also understandable given the size and scope of the SPP why questions arise as to under what authorities the program operates. Figure 6 is the most recent doctrinal description of

the SPP and even with the details it provides the many methods utilized to fund SPP events are not evident.

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|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>National Guard Bureau's State Partnership Program</b>                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Title:</b> National Guard Bureau's State Partnership Program                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Summary:</b> SPP supports GCC and Army SC efforts via 63 comprehensive partnerships between U.S. states and partner nations. SPP engagements take place through military-to-military and military-to-civilian contacts. SPP directly supports a broad range of SC activities to include security sector reform, security force assistance and SA efforts. It is a critical partner for the theater armies to achieve land forces objectives. |
| <b>Geographic restrictions:</b> N/A                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Executing forces:</b> general purpose, special operating, and civilian                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Partner nation agencies:</b> defense, interior, emergency services, and other                                                                                                                                                                                                                                                                                                                                                                |
| <b>Funding authority:</b> 10 USC                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Funding source:</b> National funds                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Appropriation:</b> Operation and Maintenance, Army National Guard 2065 and National Guard Personnel, Army 2060                                                                                                                                                                                                                                                                                                                               |
| <b>Program:</b> International support                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Tasks :</b> provide training, conduct a multinational exercise, provide education, provide construction, conduct mil-to-mil activity, conduct a multinational conference, provide/share information, provide equipment, exchange personnel                                                                                                                                                                                                   |
| <b>Purpose:</b> counter terrorism, disaster relief, stabilization & reconstruction, coalition operations, counter narcotics, interoperability, port security, de-mining, counter WMD, maritime security, humanitarian assistance, counter insurgency, law enforcement, intelligence, defense institution building, peacekeeping                                                                                                                 |
| <b>Security cooperation focus area:</b> operational capacity building, intelligence/information sharing, human capacity/human capability development, assurance/regional confidence building, institutional capacity/human capital development, international armaments cooperation, institutional capacity/security sector reform, combined operations capacity, interoperability, and standardization                                         |
| <b>Contact Information:</b>                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>Army command:</b> National Guard Bureau, 111 S George Mason Drive, Arlington, VA 22204                                                                                                                                                                                                                                                                                                                                                       |
| <b>Directorate:</b> National Guard Bureau-J5                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Program office:</b> National Guard Bureau-J53 International Engagement                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Phone number:</b> 703-545-0713                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Web site:</b> <a href="https://gkoportal.ngb.army.mil/sites/J5/IA/default.aspx">https://gkoportal.ngb.army.mil/sites/J5/IA/default.aspx</a>                                                                                                                                                                                                                                                                                                  |

Figure 6. National Guard SPP Summary

*Source:* Department of the Army, Pamphlet 11-31, *Army Security Cooperation Handbook* (Washington, DC: Government Printing Office, 2013), Figure 5-36.

The final element of the SPP that requires analysis involves the civilian engagements conducted by the SPP. Civilian participation was a topic of interest among SPP representatives and Congress in recent years (Kapp 2011, 13). The NDAA FY 2012, SEC. 1085 stated, “the Secretary of Defense may use up to \$3,000,000 to pay for travel and per diem costs associated with the participation of United States and foreign civilian and non-defense agency personnel in conducting activities under the SPP of the National

Guard.” This guidance attempts to clarify the funding level and authority for civilian participation in the SPP. DoDI 5111.20 defines SPP civilian engagement activity as, “any SPP activity authorized by law that includes engagement between a U.S. State’s National Guard personnel and civilians or a civilian agency from a partner nation not affiliated with that nation’s Ministry of Defense.” It is interesting there is a narrow definition for civilian engagement when there is a broader approach used to conduct the significantly larger M2M engagement of the SPP. This broad approach to the execution of the SPP provided flexibility in execution but is beginning to gain increased scrutiny. This increased scrutiny will affect the execution of the SPP. These affects will be discussed later in this chapter.

The many nuances of the SPP are clearly visible by utilizing the “what it is” and “what it does” approach to analyze the definition. The various authorities and funding sources required to ensure the program accomplishes its overall intent and does so with funds appropriated for that purpose are significant. Accountability is both important and difficult under these circumstances. Without proper accountability, measuring effectiveness will continue to prove difficult. Overall, this attempt to define the SPP through its execution demonstrates the clear need to measure the effectiveness of the SPP. In particular, the many inputs required to execute SPP events.

#### Why is there a requirement to measure the effectiveness of the SPP?

The SPP uses appropriated funds from several sources to conduct exchanges and other partnership building events. The Antideficiency Act ensures funds are not utilized in excess of the appropriated amount and are used for the purpose in which appropriated

(GAO 2013). Attempts to clarify the use of appropriated funds by the SPP are seen in two recent NDAA's. NDAA FY 2010, SEC. 1210, subsection (a) stated, "the Secretary of Defense, in consultation with Secretary of State, shall prescribe regulations regarding the use of funds appropriated to the DoD to pay the costs incurred by the National Guard in conducting activities under the SPP." This requirement was revisited in the NDAA FY 2013, SEC. 1204 which stated, "as of February 28, 2013, no activities may be carried out under the SPP after that date until" regulations are in place and the Secretary of Defense certifies that controls are in place to comply with the Antideficiency Act. This requirement means no funds will be utilized by the SPP unless there is proof the funds are utilized for the amount and purpose in which they were appropriated.

House Bill H.R. 641, introduced by Representative Madeleine Z. Bordallo on 13 February 2013, is an attempt to define the SPP and the funding associated with the SPP. House Bill H.R. 641 is summarized as follows; "National Guard State Partnership Program Enhancement Act - Codifies under federal law the National Guard State Partnership Program. Allows funds available to the DoD, including for the Army and Air National Guard, to be used for such purposes." Without a statutory authority, there will remain confusion about what can really be considered a SPP event (Kapp 2011, 18). At the very least confusion will remain as to the many inputs authorized by law to support the conduct of SPP events.

Both the National Guard SPP Enhancement Act and the NDAA's for FY10 and FY13 focus on defining how appropriated funds can be utilized to support the SPP. The current requirements to record SPP inputs are clear. These requirements demonstrate the current need to measure the effectiveness of those inputs. It should also be noted that

nearly every research paper reviewed for this thesis, both current and historical, discussed the need to develop a method to measure the effectiveness of the SPP.

### What are the goals of the SPP?

According to the theory of change, attempts to measure effectiveness in reaching a desired end state will prove difficult without a well-defined end state or outcome (Anderson 2005, 11). For this reason identifying the intended outcomes of the SPP are important. In 1998, the stated SPP goals provided by NGB and reported by Lt Col Michael Dubie in his research report were to, “build democratic institutions, foster free market economies, project American values, promote interoperability between military and civilians, and replace prejudice with informal opinions” (Dubie 1998, 20). In 2011, the stated SPP goals provided by NGB and reported by Lawrence Kapp and Nina Serafino in the CRS report R41957 were to, “build partnership capacity to deter, prevent, and prepare; build partnership capacity to respond and recover; support partners’ defense reform and professional development; and enable and facilitate enduring broad-spectrum security relationships” (Kapp 2011, 2). Currently both NGB and EUCOM state the SPP conducts SC activities focusing primarily on BPC (EUCOM 2013). The most enduring themes from SPP goals reported above are for the SPP to build lasting relationships and build capacity within partner nations. These goals provide guidance on what SPP events should accomplish however, there is not specific guidance as to what constitutes success or how a partnership reaches a specific end state.

Ellen Reilly raised the question of ending some SPP partnerships in her master’s thesis published at the Naval Postgraduate School in 2002. She recommended an evolution for the SPP that ultimately reaches a transition period where the partnership

activities continue but in a sustainable manner with multiple organizations taking over for the SPP (Reilly 2002, 61). COL Jansen presented the counter argument in his Strategy Research Project stating, “Ending a partnership for any reason is the least preferred action” (Jansen 2010, 29).

While a program does not need to end to achieve success, a definition of success is an important part of measuring program effectiveness. The GAO defines performance measurement as, “the ongoing monitoring and reporting of program accomplishments, particularly progress toward preestablished goals” (GAO 2011). The preestablished goals are an important part of any evaluation methodology and the more descriptive and definable the preestablished goals are the more accurately effectiveness can be measured. The purpose for the SPP is outlined in the purpose and SC focus area sections of figure 6. For simplicity, the overall goal of the SPP, similar to other SC programs, is to build partner capacity.

#### How can the effectiveness of the SPP be measured?

One of the first steps to measure program effectiveness is to develop an evaluation methodology. Author Robert Cossaboom stated, “One of the most important questions facing the initiators of the Joint Contact Team Program was to determine its overall impact” (Cossaboom 1997, 54). Robert Cossaboom’s comments were recorded in 1997 and referenced the JCTP, which was the precursor to the SPP. The need to formalize the SPP evaluation process was identified more recently in 2011 by authors Lawrence Kapp and Nina Serafino in the CRS report titled, *The National Guard State Partnership Program: Background, Issues, and Options for Congress* (Kapp 2011, 16). These same findings were echoed in 2012 in the GAO report titled, *State Partnership*

*Program Improved Oversight, Guidance, and Training Needed for National Guard's Efforts with Foreign Partners.* Both reports identified the need to develop SPP goals and objectives as well as evaluation methods and metrics to measure progress towards the program goals (GAO 2012a). The authors also recognized the difficulty in measuring the effectiveness of programs that focus on BPC (Kapp 2011, 16).

An assumption made at the beginning of this thesis was that a published evaluation methodology for the SPP did not exist. This assumption was initially made based on the findings from GAO-12-548 and CRS report R41957. The common consensus, as reported by the GAO, was that the NGB was creating a methodology however; no such methodology existed when the report was published (GAO 2012a). This assumption was later invalidated with the publication of DA PAM 11-31, *Army Security Cooperation Handbook*, in March 2013. DA PAM 11-31 provides guidance on assessing SC activities and methodologies to measure effectiveness.

Even with a doctrinal evaluation methodology for the SPP available, a review of other evaluation methodologies and common practices used to measure effectiveness is prudent. GAO-12-548 identified the DOS and USAID as organizations with programs similar to the SPP tasked to conduct SC activities (GAO 2012a, 12). The report stated the DOS and USAID have similar requirements to measure and report program effectiveness (GAO 2012a, 12). Additionally CRS report R41957 stated there is concern the SPP encroaches on the roles of the DOS and USAID (Kapp 2011, 12). Based off the identified similarities the evaluation policies of the DOS and USAID were reviewed for their relevance to this thesis.

The DOS and USAID use several evaluation methodologies to determine the effectiveness and performance of their programs. The review of methodologies was narrowed based on information provided in GAO-12-548. The report recommended the evaluation program for the Global Peace Operations Initiative (GPOI) run by the DOS, USAID evaluation programs for SC events, and the Rand report titled, *Developing an Army Strategy for Building Partner Capacity for Stability Operations* as starting points to identify performance measures for SC activities (GAO 2012a, 12).

Research into the Rand report provided a six-step model used to measure effectiveness in how inputs and outputs lead to desired outcomes during partnership building events (Marquis 2010, 74). The six-step model is captured in Table 1. The GPOI evaluation program focuses on answering four outcome-oriented questions and is quite narrow in scope (DOS 2013). It is best suited for the specifics of the GPOI and is not used in this thesis. The review of USAID evaluation methodologies yielded the theory of change (Babbitt 2013, 1). A theory of change is a community focused methodology used to explain how particular actions and inputs can achieve intermediate results and ultimately lead to the completion of an overall objective (Anderson 2005, 3). Both the theory of change and Rand's six-step model take into account outside indicators and circumstances, which may affect the results produced. Table 1 compares the two models.

| Table 1. Theory of Change/Six-Step Approach to Assess the Effectiveness of BPC Comparison |                                        |
|-------------------------------------------------------------------------------------------|----------------------------------------|
| Six-step approach to assess the effectiveness of BPC for stability operations             | Core elements of a theory of change    |
| Step 1: Select desired end state and specific goals                                       | Task 1: Identify the long-term outcome |
| Step 2: Develop generic input, output, and outcome indicators and external factors        | Task 2: Develop a pathway of change    |
| Step 3: Identify focus countries, programs, program aims, and appropriate goals           | Task 3: Operationalize outcomes        |
| Step 4: Identify appropriate indicators and external factors                              | Task 4: Define interventions           |
| Step 5: Apply assessment framework to selected cases                                      | Task 5: Articulate assumptions         |
| Step 6: Determine overall program/activity contributions to achieve the desired end state |                                        |

*Sources:* Author created from Andrea A. Anderson, *The Community Builder's Approach to Theory of Change: A Practical Guide to Theory Development*. (New York: Aspen Inst Human Studies, 2005), 11; Jefferson P. Marquis, Jennifer D. P. Moroney, Justin Beck, Derek Eaton, and Scott Hiromoto, *Developing an Army Strategy for Building Partner Capacity for Stability Operations* (Santa Monica, CA: RAND Corporation, 2010), 74.

The analysis of the two approaches listed in table 1 identifies three significant steps or tasks in both practices. The first priority is the identification of the end state or long-term outcome. Next, a plan or path is created which identifies actions that must be taken and intermediate goals or objectives that must be achieved to ultimately accomplish the end state or long-term outcome. This “backwards mapping” identifies all the intermediate conditions that must exist for the end state to be achieved (Anderson 2005, 12). Finally, the appropriate beginning steps in the process are identified by analyzing the potential inputs and external conditions that exist in the system (Anderson 2005, 5). As a comparison to doctrinal methodology FM 3-22 states objectives should be “specific, measurable, achievable, relevant, and time-bound” (DA 2013a, 3-126).

The three significant steps or tasks from the theory of change and Rand's six-step approach to assess the effectiveness of BPC can be summarized into three questions. These questions are presented as ways to measure the effectiveness of operations in the British Army Field Manual, Volume 1 Part 10, *Countering Insurgency*, section 7-B-1: "What are we trying to get to? What do we need to achieve? What do we need to do (in order to achieve it)?" With the information provided a theoretical evaluation methodology for the SPP can be constructed utilizing the British Army Field Manual's three questions.

What are we trying to get to? What do we need to achieve? What do we need to do? SPP missions utilized various operations, actions, activities, authorities, and funding mechanisms to accomplish missions from the program's inception to the present day. Each SPP event, participating nation, and COCOM provides a different set of circumstances therefore; the details behind the execution of the activities vary (GAO 2012a, 2).

The diversity of the SPP at the macro level hinders the ability to determine what intermediate achievements are necessary to accomplish the overall end state. According to the theory of change, it is only necessary to achieve outcomes or "preconditions" that lead to the completion of the end state (Anderson 2005, 5). FM 3-22 recommends the identification of near-term, mid-term and long-term objectives that contribute to the overall country objective or end state (DA 2013a, 3-126). The SPP goals identified in the goals section of this chapter, primarily the goal of BPC, does not provide a specific end state for the SPP. This makes it difficult to determine what the end state is. It is also difficult to determine what we need to achieve at the intermediate level. Answering these

questions for the SPP as a whole or at the macro level is difficult. At the micro level or individual program level, state to country, answers are easier to find.

This is represented in the following hypothetical example on evaluating a partnership. In this example: State A and Country B have a partnership. There is not a published end state for their efforts rather an understanding that the relationship will be maintained through combined interactions. State A works with Country B to improve emergency response capabilities. If State A provides training on emergency response Standard Operating Procedures (SOPs) and Country B implements those SOPs then the capacity or capability of Country B might be improved. Thus, the interaction between State A and Country B could be deemed effective pending a review of all factors involved. This example is subjective and anecdotal, but it represents common SPP interactions and SC interactions in general. These interactions achieve results by building capacity and maintaining the relationship between State A and Country B over time.

From this example, the end state could be described as the maintenance of the relationship or a steady state. So, what are we trying to get to as an end state? The creation or maintenance of a relationship between State A and Country B. What do we need to achieve with intermediate results so the end state can be achieved? Interactions that promote the maintenance of the relationship, through partnership and capacity building events.

The example allows for a description of the end state (a relationship) and intermediate objectives (activities conducted to develop or maintain the relationship) needed to reach the end state. This hypothetical example identifies a similar end state to the one presented by COL Jansen in his Strategy Research Project titled, National Guard

State Partnership Program: A Whole-of-Government Approach. COL Jansen stated, “a well planned and executed program should culminate with enduring relationships and improved capacity of partnership governments and security forces prepared to meet the challenges of the 21st century” (Jansen 2010, 7). This understanding of the end state and the intermediate objectives needed to achieve the end state will help answer the final question. What do we need to do (in order to achieve it)?

The British Army Field Manual, Volume 1 Part 10, *Countering Insurgency*, section 7-B-1 defines the question, what do we need to do, as determining the activities, inputs, means and tasks associated with achieving the intermediate objectives. The theory of change describes this step as the time to define the interventions (Anderson 2005, 15). Interventions for the SPP could be the conduct of specific exchanges, partnering on a combined mission such as an OMLT, or the establishment of a BAO in a partner country. These along with other actions and activities can all be traced to the SPP and ultimately lead to the achievement of intermediate results.

At this stage, Rand’s six-step model states there is a requirement to identify appropriate indicators and external factors (Marquis 2010, 78). The theory of change also outlines the need to consider external factors (Anderson 2005, 11). Essentially, are the right metrics used to measure effectiveness for the program and do these metrics take into account appropriate inputs. With many SC programs and events conducted in partner nations how can SPP end states be directly tied to SPP inputs? The simple answer is SPP inputs are a part of the overall SC picture and do not need to be solely responsible for an achievement to be considered effective. Assumptions as to the effectiveness of

interactions and the role played by external factors are a part of determining effectiveness (Anderson 2005, 7).

| Example of security cooperation indicators for each guidance for the employment of the forces focus area |                                                                       |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------|
| GEF SC focus areas                                                                                       | Indicator                                                             |
| • Operational capacity and capability building                                                           | • Number of personnel trained                                         |
| • Human Capacity/Human Capital Development                                                               | • Number of personnel educated                                        |
| • Institutional Capacity/Security Sector Reform                                                          | • Number of noncommissioned officers                                  |
| • Support to Institutional Capacity/Civil-Sector Capacity Building                                       | • Number of agencies involved in crisis management training exercises |
| • Combined operations capacity, interoperability, and standardization                                    | • Number of participants multinational exercises                      |
| • Operational access and global freedom of action                                                        | • Number of in-country events                                         |
| • Intelligence and information sharing                                                                   | • Number of reports exchanged                                         |
| • Assurance and regional confidence building                                                             | • Number of exchange personnel                                        |
| • International armaments cooperation                                                                    | • Number of international armaments agreements                        |
| • International suasion and collaboration                                                                | • Number of regional security participants                            |

Figure 7. Examples of SC Indicators

Source: Department of the Army, Pamphlet 11-31, *Army Security Cooperation Handbook* (Washington, DC: Government Printing Office, 2013), Figure 6-3.

The accuracy of the indicators identified in figure 7 depends on the specificity with which they are related to the SC program or individual event. Additionally these metrics represent potential outputs but only when compared to the outcomes will the effectiveness be understood. For instance, a high number of personnel trained could mean several things when the context is understood. It could mean a high degree of interest for the program or a solid foundation of soldiers trained. Conversely, a low number of soldiers trained could mean that the soldiers were busy with operational missions or already trained in the subject. Both measurements, although opposite, could demonstrate both effective and ineffective inputs depending on the linkage to the outcomes.

#### Examples of SPP related outcomes

Examples for SPP related outcomes are presented in numerous reports, press releases, and other media discussing the SPP. These examples, unless linked to a

prescribed methodology, yield anecdotal references to the effectiveness of the program. These metrics do however, provide considerable insight into the outcomes the program intends to achieve. An example of a desired outcome is the 12 nations that joined NATO in part to the contributions provided by the SPP (EUCOM 2013). Obviously a significantly large amount of resources and efforts from a multitude of international organizations and various SC programs paved the way for these nations to join NATO, but through a unified approach the SPP certainly contributed to this effort. Additionally 14 nations participated in deployments in support of the International Security Assistance Force (ISAF) in Afghanistan (EUCOM 2013). These nations deployed along side their United States SPP counterparts. In this situation it is once again a collection of SC efforts including the SPP that led to this outcome.

The National Guard homepage is full of examples of individual programs achieving successful results through exchanges and other SPP activities. Categorized appropriately these events can demonstrate the input, output and outcome metrics needed to fill in an evaluation methodology. Additionally AARs and other performance reviews provide data on SPP events that are collected by the executers of the program. All the data concerning the inputs and outputs that led to successful SPP outcomes are not available via open source but the information can be stored in databases managed by the COCOMs and NGB. DA PAM 11-31 provides details on how to document these results and mandates that the TSCMIS and ARGOS systems be utilized to capture the data on SC events (DA 2013c, 4). Figure 8 illustrates the ARGOS evaluation screen.



requirements concerning the SPP and states the Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict (ASD(SO/LIC)) is responsible to report this information to the USD(P) annually. These requirements are listed in table 2. Table 2 also identifies the data to be reported on the SPP but it does not provide guidance as to how this data will be used. It does state the GCC CDR is responsible to “assess the effectiveness of SPP activities in achieving TSC objectives” (USD(P) 2012a, 10).

| Table 2. Annual Requirements of Department of Defense Instruction, Number 5111.20                                                                                               |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| A detailed description of each engagement activity (including date, location, and details of each activity).                                                                    |
| The number of participants involved in each activity.                                                                                                                           |
| A description of each participant (e.g., National Guard personnel by unit and grade, and whether in a title 10 or title 32 status).                                             |
| A description of the foreign participants, their status (active duty military or civilian), and their organization affiliation (e.g., Strategist for the Minister of Defense)). |
| The total cost of each activity.                                                                                                                                                |
| A list of costs for each activity broken down by category (e.g., per diem, travel, and the cost of any equipment or materials purchased for the activity).                      |
| The report shall also identify the funding source and authorization(s) used for each activity.                                                                                  |

*Source:* Author created from the information provided by USD(P), DoDI 5111.20, December 2012.

### Conclusion

The primary research question asked, “Are there MOE that can be applied to the SPP?” Analysis shows the answer to be yes. Admiral Stavridis the EUCOM Commander stated, “The State Partnership Program is, dollar for dollar, my best EUCOM investment” (EUCOM 2013). The EUCOM website lists numerous qualitative and quantitative results

demonstrating SPP effectiveness. NATO membership and OMLT participation are examples of some of the most significant achievements. Similar comments and metrics of success are presented by all the COCOMs. There are also several methodologies such as the theory of change or the Rand Corporation's recommended six-step model to BPC in addition to the Army's SC doctrine that can be used to determine effectiveness in the SPP. These methodologies require appropriate inputs to compare against desired outputs and outcomes to identify effectiveness.

The publication of DA PAM 11-31 provides guidance on how to record data concerning SC events. DoDI 5111.20 provides direction on what data to record for the SPP. These documents provide greater clarity to those responsible for funding and executing the SPP on the metrics that must be captured to demonstrate SPP effectiveness. Unfortunately, there may still be difficulty in recording all inputs associated with a SPP event. This is because the program is quite far reaching, aided by the multiple authorities and funding mechanisms from which it is executed. It will take a significant synchronization across the NGB and COCOMs to ensure data concerning the SPP and its execution is recorded in a standardized manner to allow for clear evaluation as to the effectiveness of the program. The next chapter will present the conclusions for this thesis and provide recommendations.

## CHAPTER 5

### CONCLUSIONS AND RECOMMENDATIONS

#### Introduction

This chapter presents the conclusions and recommendations for this thesis. Additionally areas for further study associated with this topic are discussed and a summary is provided. This thesis focused on answering a contemporary question facing the NGB and the COCOMs as a result of recent reports published by the GAO in 2012 and the CRS in 2011. This thesis utilized a combined research methodology to answer the question, “Are there MOE that can be applied to the SPP?”

First, through the narrative research process the life history of the SPP was briefly outlined. The primary focus of the narrative research was to define the SPP. This identified “what it is” and “what it does.” This definition was necessary in order to analyze the details surrounding the execution of the SPP. Only after the details surrounding the execution of the SPP were understood could an analysis be conducted as to why the GAO and the CRS both stated it was not possible to measure the effectiveness of the SPP. Identifying further details on the SPP were also necessary. This analysis included the goals and objectives, authorities, funding mechanisms, and key organizational players involved in the conduct of SPP events.

The grounded theory methodology was then utilized to code data, documents, and methodologies utilized to measure effectiveness in SC programs. This process yielded the working theory for this thesis and the answer to the primary research question; there are MOE that can be applied to the SPP. The final representation of the research process is outlined in figure 9.

Sources that identified MOE for the SPP, or SC programs in general, were selectively coded to identify those deemed current and pertinent. The primary sources identifying an evaluation methodology and MOE for the SPP are grouped underneath the Selective Coding block in figure 9. The final theory for this thesis is summarized in the following statements: MOE exist that can be applied to the SPP. A system to evaluate the effectiveness of the SPP can be created through a detailed analysis of the guidance, direction, and procedures outlined in DA PAM 11-31, FM 3-22, DoDI 5111.20, and other evaluation methodologies. The ability to demonstrate the effectiveness of the SPP requires standardized data inputs into the TSCMIS and ARGOS systems. Without a unified approach involving the NGB and the COCOMs accurate measurements to determine effectiveness for the SPP will continue to prove difficult to obtain.

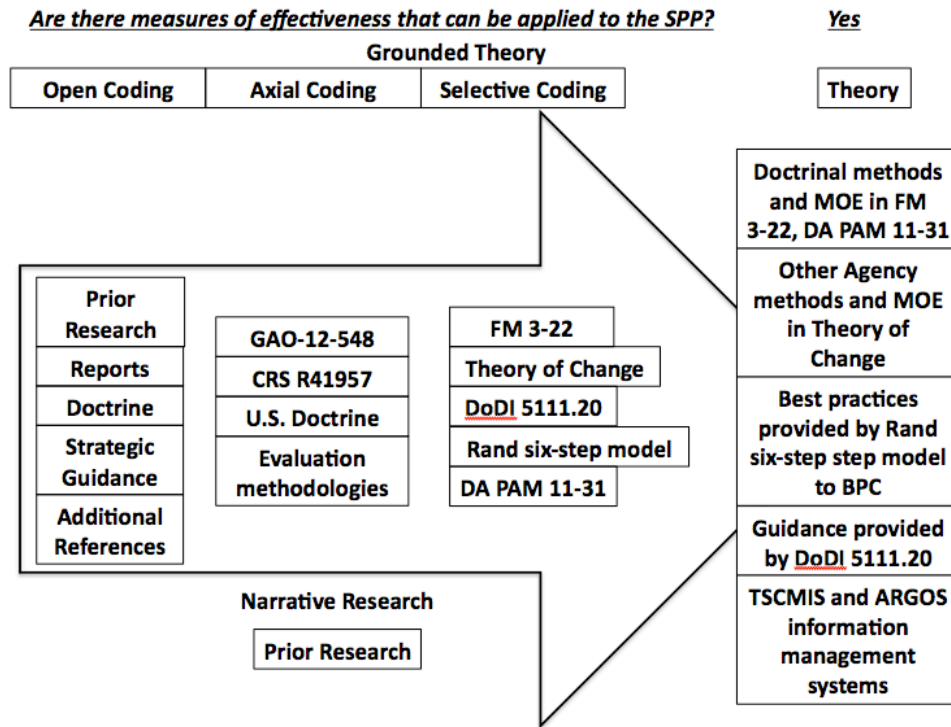


Figure 9. Final Representation of Thesis Research Methodologies

Source: Author created.

### Conclusions

There are four conclusions presented in this thesis. First, the establishment of a standard evaluation policy is possible and necessary. This can be accomplished by utilizing the procedures outlined in DA PAM 11-31, FM 3-22 or by implementing another valid evaluation methodology. Second, the goals of the SPP must be articulated in the evaluation process to accurately measure effectiveness. Third, the SPP requires a more thorough definition to capture the specific inputs that will be used to measure effectiveness. This will narrow the scope of what to measure. Finally, the reporting procedures used to demonstrate effectiveness should be defined to standardize the process of recording and presenting data.

Several sources provide adequate evaluation methodologies. DA PAM 11-31 and FM 3-22 provide the most current doctrinal examples. The theory of change, utilized by the USAID, and Rand's six-step model to assess the effectiveness in BPC in stability operations provide methodologies used by other agencies to measure effectiveness in SC programs. Additionally the three-question approach to measure effectiveness presented in the British Army Field Manual, Volume 1 Part 10, *Countering Insurgency*, provides yet another methodology option. The best option is for the SPP to utilize a standard methodology and reporting process used by other DoD SC programs.

GAO-12-548 and CRS report R41957 presented findings that illuminate the difficulty in measuring effectiveness in SC programs, the SPP in particular. These reports demonstrate that while evaluation methodologies and guidance exist at the conceptual level for SC programs, improvement is required at the data entry level where indicators of MOE and metrics are recorded. It is also at this level where the process is not standardized. If the process to enter the data and the concept for how to present the data is not managed appropriately then the methodologies will not matter. This requires a standard evaluation methodology and reporting process across all organizations involved in the SPP.

Prior to the utilization of an evaluation methodology, the SPP requires a clear set of goals to allow for the measurement of success in achieving those goals. Often times agreeing on the goals will be the most difficult part of any SC evaluation process. This is due to the tremendous diversity in the execution and expectations of SC programs. FM 3-22 states the GEF and the Joint Strategic Capabilities Plan (JSCP) provide global, regional, and strategic end states guided by inputs from the National Security Strategy,

National Defense Strategy, and National Military Strategy (DA 2013a, 3-1). These end states are then used by the COCOMs to determine intermediate military objectives, “goals the commands expect to achieve through their campaigns” (DA 2013a, 3-1). This guidance identifies the goals the COCOMs can use to assign SC objectives in the theater campaign plans and country campaign plans. The individual country campaign plans are the domain where most intermediate objectives for SPP events should be identified. A clearly defined outcome allows for a more accurate measurement of how inputs and outputs influence the achievement of the outcome.

The SPP as it is currently defined and executed may prove exceedingly difficult to quantify through the results-oriented government accountability process. The difficulty in defining and recording specific inputs to the SPP and the large disparity in how SPP events are conducted and funded make accountability exceedingly difficult. House Bill H.R. 641 and the NDAAs FY10 and FY13 provide guidance to standardize and document the program’s execution. Additionally, DoDI 5111.20 provides guidance as to the initial data points required for collection and reporting on program effectiveness. Unfortunately, these documents do not provide guidance on how to demonstrate effectiveness. Without clear definitions on funding mechanisms, accounting for SPP expenses will remain difficult. It is much easier to account for one appropriation and how it is spent than to record and analyze data on how funds from ten different appropriations were spent. Additionally ensuring accurate data input is difficult with so many funding mechanisms. It is unlikely the individuals inputting the data into the SC information management systems will have visibility on all the resources utilized to execute SPP events with the current diversity in execution.

Recording data requires standardization of the data entry process for SPP events in the designated SC information management systems. DA PAM 11-31 provides guidance on how to measure effectiveness in SC programs and identifies the systems mandated for the input of data, but it fails to describe the process to report the data stored in the systems. DA PAM 11-31 should be revised to demonstrate the methods to report on SC program effectiveness, including the reports available in TSCMIS or ARGOS. In the case of the SPP, these reports should present the data required by DoDI 5111.20. By creating an identical and repeatable process across the COCOMs and the NGB, a more accurate product will be produced. This could also improve the evaluation of other SC programs. Without a standard process and a more defined use of funding sources by the SPP, there will be too many variables in the data to allow for an accurate comparison of metrics or accounting of resources.

### Recommendations

Four recommendations are presented in this thesis. The first recommendation is for the SPP to utilize an evaluation methodology to better assess the effectiveness of the program. The second recommendation is to establish defined end states or transition points for the SPP. The third recommendation is to create a Regional Partnership Program or similar concept. The final recommendation is to further define the data entry requirements in TSCMIS and ARGOS.

The first recommendation for the SPP is to develop or utilize an existing evaluation methodology in order to demonstrate program effectiveness and provide accountability for the use of appropriated funds. While this process is currently ongoing within the NGB and COCOMs it will not be complete until greater clarity is provided to

determine the specifics of what is considered a SPP event. This includes clearly defining the authorities and funding sources utilized to execute SPP events. H.R. 641, the National Guard State Partnership Program Enhancement Act is an attempt to aid in this process. The passing of this bill will codify the SPP into law. As it currently stands it is quite difficult to clearly account for all the inputs into the SPP. With a clear legal status and funding appropriated for the SPP, the accounting process will be simplified.

One outcome of increasing the reporting requirements and clearly defining the SPP could be a decrease in the number of engagements conducted. The SPP as it is currently executed provides flexibility in how events are funded and under what authority the events are conducted. If the flexibility in the program decreases, through additional reporting requirements or more defined and restrictive use of available funds, the execution of events through multiple means will also decrease. This could be an unintended consequence of a more defined SPP.

The second recommendation is to clearly define an end state or a transition point for individual SPPs. There are arguments both for and against terminating a partnership. The argument for termination presents the case the resources are better-utilized elsewhere. The argument against termination states the relationship is too valuable to be terminated or it will cost more to recreate the relationship at a future time when it is required. Both arguments are correct and should be considered. One potential option is to combine the requirements of both arguments and create a transition point in the partnership.

The transition point is where the partner nation begins to work in a coalition or an alliance focusing on regional security issues. As this transition is made, the partnership is

maintained through contact during regional engagements and with regional security events. A SC event conducted in a regional setting allows for contact with multiple partner nations improving efficiency, communication, and interoperability.

This transition is required because eventually a partnership matures enough to where the partner nation achieves significant gains in internal capacity. Typically, these partnerships grow beyond the SPP interactions to a multitude of other interactions across the DOTMLPF domains. In this case, the focus shifts to interoperability, similar to the OMLT mission. The SPP countries that joined NATO are excellent examples of programs that reached the point where transition is appropriate.

NATO SPP nations clearly have met the initial goals and developed recognizable capacity to perform military missions. NATO operations are conducted with English as the primary language and follow specific equipping and manning guidelines, all of which require more focus on interoperability. NATO partnership nations conduct exercises and drills in support of NATO objectives and are afforded, through multiple means, opportunities to build and maintain partnerships with the U.S. and its allies. The SPP dollars are better spent on countries at the beginning of the partnership-building spectrum, countries similar to the Eastern European nations who served as the pilot states for the SPP, many of which are now a part of NATO.

The third recommendation also involves an evolution or growth to the SPP. SPP interactions should continue through a Regional Partnership Program or similar concept. A Regional Partnership Program accomplishes several objectives while aiding those responsible to measure the effectiveness of the SPP. First, shifting individual SPPs to a regional program allows singular events to touch multiple countries. An individual state

or group of states could send over participants to exchange information on topics of regional significance. This maintains the relationships and does so at a decreased cost; one event equals multiple engagements. Second, the focus of SC is to build a greater network of nations cooperating on security issues. There is significant coordination and consideration that must occur to bring members of multiple nations together for training. This builds cooperation, communication and interoperability. Finally, a nation that demonstrates its ability to conduct engagements at a regional level provides metrics as to the SPP's ability to build partnership capacity within that nation.

The fourth recommendation is to further define the roles for data entry into TSCMIS and ARGOS. This will provide better accountability and aid in determining SPP effectiveness. TSCMIS is currently utilized by NGB and several COCOMs to track data on SPP events (GAO 2012b, 15-16). DA PAM 11-31 mandates SC data is input into TSCMIS and ARGOS. DoDI 5111.20 mandates that once the Global Theater Security Cooperation Management Information System (GTSCMIS) is operational that all SPP activities are recorded in GTSCMIS.

These systems are capable of storing the required data to demonstrate SPP effectiveness however, the system outputs are only as good as the data inputs. Personal experience working with the TSCMIS system, utilized by EUCom in 2011, demonstrated the ability to input the data and create reports based on the data requirements assigned in DoDI 5111.20. Additionally TSCMIS provides a method to display the subjectively determined effectiveness of each SC event conducted, much like the ARGOS screen shot in figure 8. The NGB should take responsibility for data input into the GTSCMIS concerning SPP events. In this capacity the SPP coordinators and

BAOs should be responsible for data entry prior to and after each event. This includes all the requirements of DoDI 5111.20 and the AARs or outbriefs. The COCOM representatives should be responsible for program oversight and data analysis. The COCOM representatives should enter the subjective analysis as to the effectiveness of the individual event in meeting the GCC CDR's goals. This will ensure appropriate divisions of labor and allow the GCC to provide feedback as to the effectiveness of the SPP events in achieving SC goals. In this system, not only will the GCC CDR be responsible for approving the conduct of the SPP events but also, through the data entry and the event review process in GTSCMIS, the GCC CDR and associated staff will determine the effectiveness of the events in meeting the desired objectives. Utilizing this input system would form an evaluation process and methodology where SPP coordinators and BAOs enter the metrics for the "inputs" and "outputs" with the GCC staff inputting the metrics for the "outcomes."

#### Areas for further study

There are three areas recommended for further study. The first two are branches from a discussion in COL Sean Mulcahey's Strategy Research Project titled, Building Partner Capacity at Best Value. COL Mulcahey describes the cost benefit analysis that goes into how resources are spent and states cost should not always be calculated based on the return on investment (Mulcahey 2012, 7). COL Mulcahey further states that, "retaining current operational experience and skills throughout the Total Army represents crucial value" (Mulcahey 2012, 7). In the spirit of this concept, the first two areas for further study involve the BAO program.

BAOs serve in embassies and report to the GCC CDR. In their official capacity they manage various SC programs including the SPP for their country of assignment. The BAO program has developed officers with specific skills in SC and in some cases language capabilities. The active army spends thousands of dollars and several years training Foreign Area Officers (FAOs) in these same areas. A potential way for the Army to save money and capture valuable experience would be through the creation of a BAO to FAO transition program. The language training and cultural training pipelines for the potential FAOs could be shortened for officers demonstrating the appropriate skills. The savings in both time and training dollars could prove significant in the current fiscally constrained environment.

The second area of further study concerning the BAO program is as a metric to SPP effectiveness. In this capacity the regional familiarization and language capabilities gained by BAOs increases the DoD knowledge and skill pool. Any state with a partnership potentially has several former BAOs with in its ranks. The former BAOs undoubtedly gained regional familiarization and in some cases linguistic capabilities through their service. These skills are a valuable resource and reserve to be utilized or called upon when needed. “Operational experience in the reserve component represents value both in terms of how it can contribute to the concept of reversibility and how it can be used as low cost capability to meet Army requirements” (Mulcahey 2012, 8). A study into exactly what skills exist in the BAO corps, how to improve or increase the capabilities of BAOs, or how to further utilize BAOs in future assignments would be appropriate. This study could also focus on the training pipeline and career path of BAOs in the National Guard.

The third area for further study is based on the recommendation to establish a Regional Partnership Program. This recommendation is not a new concept and many organizations across the Whole of Government are developing and improving their regional focus. The SPP has even demonstrated this activity with mature partner nations aiding newer partner nations. The reason behind a study into a regional concept is the potential for continued growth it provides. The decreased budgets and regional alignment goals of the U.S. Army provide a perfect catalyst and reason why this method of engagement is important for the future development of partnerships. To use an idiomatic expression, gone are the days when we could pick our players and practice before the game. In the future environment there is only enough funding to play the game. Practice will need to be incorporated into the game, with the players we can recruit to play.

### Summary

The SPP and the military are in a transition period. With the U.S. involvement in the war in Afghanistan drawing down and the decrease in the DoD budget looming many military programs will face additional scrutiny as to their effectiveness and efficiency. The SPP is no different. The SPP grew out of the decreased DoD budgets of the 1990s by providing a cost effective SC concept to build partnerships and increase partner nation capacity. Even with its record of accomplishment and support from senior leaders, at home and abroad, the SPP needs to continue to demonstrate its capabilities at BPC as a cost effective option for GCC CDRs. The efficient application of resources towards achievable goals will allow the SPP to serve as a significant SC program within the DoD for years to come. Identifying ways to demonstrate SPP efficiency and effectiveness will only increase the vast support this program already receives.

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