

# BUILDING SUSTAINABLE MARITIME CAPACITY



## THE CHALLENGE

Over 70% of the Earth's surface is covered by water. Nearly 40% of the world's population lives within 60 miles of the ocean coast. The estimated value of the ocean economy is \$3-6 trillion/year and ~50% of all international tourists travel to coastal areas. Under international law, countries own the natural resources in Exclusive Economic Zones (EEZs) within 200 nautical miles from their coastlines. The nations of the world are economically and militarily connected by the sea, yet many U.S. partners lack the capacity to establish and maintain their maritime sovereignty and security.

Partners often have limited maritime domain awareness (MDA) capabilities to detect and monitor threats in their EEZs and territorial seas, and lack sufficient interdiction capabilities to protect their valuable sea-based resources and maritime sector. As a result, maritime natural resources are being illegally exploited by foreign nations and transnational criminal organizations that ignore the rules-based maritime order.

Without comprehensive MDA, no nation has nearly enough patrol assets to cover even the most modest EEZs 24 hours-a-day, 365 days-a-year. Leaving blind spots in

MDA (often referred to as "sea blindness") unaddressed, threatens the sovereignty and economic health of key U.S. partners. Our partners face many common maritime security challenges including:

- ◆ Lack of awareness about maritime security threats from foreign nations and transnational criminal organizations, and limited political will to invest in the necessary capabilities to address those threats
- ◆ Limited capacity to prevent and minimize transnational maritime threats such as piracy, armed robbery at sea, smuggling and trafficking of drugs, arms and people, and illegal, unreported, and unregulated (IUU) fishing in vital fisheries
- ◆ Maritime security platforms and systems supplied from multiple countries with unique and expensive maintenance and logistical requirements
- ◆ Confusion caused by gaps and overlaps in authorities and responsibilities among various civilian, military, and law enforcement agencies
- ◆ Lack of legal frameworks and institutions to prosecute, convict, and punish individuals apprehended for various maritime crimes

## ABOUT ISG

The Institute for Security Governance (ISG) – situated within the Defense Security Cooperation University (DSCU) – is the Department of Defense's Center of Excellence for Institutional Capacity Building (ICB). As a component of the Defense Security Cooperation Agency (DSCA), and one of its primary international Security Cooperation schoolhouses, ISG is charged with building partner institutional capacity and capability through tailored advising, education, and professional development programs grounded in American values and approaches.

This document is intended to frame the challenges, possibilities, and best practices associated with ICB for Maritime Security and ISG's role as integrator, implementer, and partner within DoD's security cooperation community.

THE CHALLENGE

STATE OF THE FIELD

WHY ICB MATTERS FOR MARITIME SECURITY

ICB BEST PRACTICES FOR MARITIME SECURITY



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## STATE OF THE FIELD

Oftentimes, the U.S. approach to enhancing our partners’ maritime security capabilities focuses primarily on the acquisition of a specific platform or piece of equipment before fully evaluating the partner’s existing maritime security organizations or resources to include human capital. A more comprehensive and sustainable approach, however, seeks to build the maritime capacity of partners, while leveraging maritime diplomacy to reduce risk and build transparency. This helps strengthen the development of open and effective regionally-based architectures for MDA and enhanced maritime security.

For example, a rules-based maritime order is upheld and protected when partner nations can sense, share, and contribute effectively. Specifically, partner nations are able to sense (detect and monitor) maritime activity within

their areas of responsibility; are willing and able to share information with other national maritime security agencies and trusted regional and global partners; and have the ability to contribute to regional law enforcement efforts to enhance maritime security.

Across regional waters, the priority mission is to detect, deter, and/or interdict maritime threats to enhance maritime security. The majority of security cooperation activities do not focus on helping partners gain naval dominance. Instead, many partner nations seek assistance with maritime law enforcement issues such as prosecuting illegal fishing and disrupting human trafficking. Capacity building assistance to partner nations’ navies and coast guards remains a priority effort.

“Our founding values, as well as our livelihoods and collective national security, are tied to the world’s oceans....More than 90 percent of all international trade travels by sea....”

— Admiral John M. Richardson,  
the 31st U.S. Chief of Naval Operations



## WHY ICB MATTERS FOR MARITIME SECURITY

Institutional Capacity Building (ICB) is the preferred approach for the U.S. to provide long-term partner nation maritime security capacity building. Building partner nation maritime capacity enables them to assess risks and priorities, develop comprehensive maritime security plans, enhance maritime domain awareness and detection, and develop and sustain maritime response capabilities.

Expensive maritime ships, boats, sensors, command centers, and other equipment must be maintained and remain operational for years if not decades. Developing the logistical and maintenance sustainment capabilities

to keep aging platforms in service is a major challenge for nearly all partner nations and requires much more than hardware and software acquisition. Partners also have unique laws, agencies, stakeholders, and interests that impact their ability to effectively coordinate operations, and deploy and sustain sophisticated platforms and equipment. Officer, enlisted, and civilian personnel must be selected, vetted, trained, and mentored to be effective.

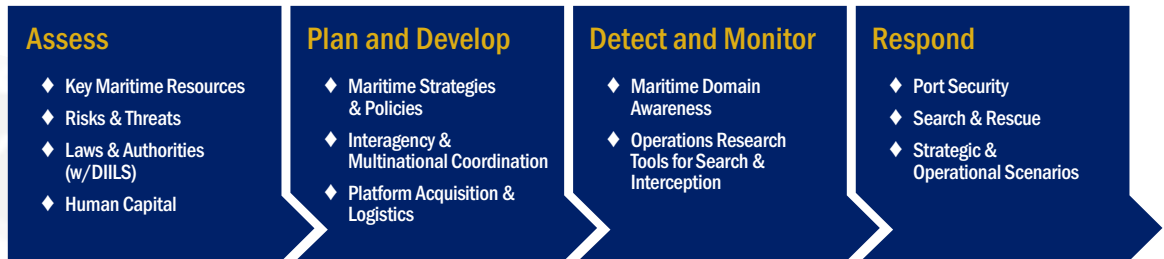
A holistic approach to ICB for maritime security helps partners with limited resources prioritize the investments that best safeguard their valuable maritime sector.

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## ICB BEST PRACTICES FOR MARITIME SECURITY

Maritime security ICB starts with a risk assessment of a nation’s vulnerabilities to a number of state and non-state maritime threats to include natural disasters and a self-assessment exercise on maritime governance. Sophisticated equipment and complex maritime operations also require that a partner nation’s officer, enlisted, and civilian workforce attend specific training and education pipelines, and that their career development is taken into consideration. For example,

few partner nations have dedicated maritime intelligence career tracks or communities. Therefore, education and training must be planned to ensure the workforce fully understands the capabilities and limitations of the technologies provided and how to resolve ambiguities. To build a partner nation’s understanding of maritime security, the following areas should be included as part of a comprehensive ICB approach:



Each member of the ICB community has its own distinct and important role in developing partner nation maritime security capacity. ISG works closely with other Defense Security Cooperation Agency entities, the Combatant Commands, and a number of other ICB organizations such as the Naval Postgraduate School, the Defense Institute for International Legal Studies (DIILS), the Naval War College, the five Regional Centers, and the U.S. Coast Guard’s Director of International Affairs & Foreign Policy (CG-DCO-I). ISG, working with our other security

cooperation and security assistance colleagues, will assess a nation’s unique laws, authorities, interests, agencies, stakeholders, and resources that impact their ability to effectively monitor and protect their maritime space. To ensure our partners’ maritime security capacity is developed and sustained, it is imperative that ICB is an integral part of the maritime train and equip capabilities we provide to our partners.



## WHAT IS INSTITUTIONAL CAPACITY BUILDING?

Institutional Capacity Building programs, overseen by DSCA, encompass Security Cooperation activities that directly support U.S. ally and partner nation efforts to improve security sector governance and core management competencies necessary to effectively and responsibly achieve shared security objectives.

### ILLUSTRATIVE PARTNER INSTITUTIONS FOR ICB

Partner nations' civilian and military organizations focused at the strategic and operational levels such as Ministries of Defense and Interior, intelligence services, law enforcement organizations, military services, and legislatures.

### ILLUSTRATIVE ICB DOMAINS

- ◆ Strategy & Policy
- ◆ Resource Management
- ◆ Human Resource Management
- ◆ Acquisition & Logistics
- ◆ Force Management
- ◆ Law & Human Rights

## PRINCIPLES OF EFFECTIVE ICB

### STRATEGICALLY DRIVEN

Driven by U.S. interests and values. When integrated early into Security Cooperation (SC) planning, ICB supports strategic dialogue about the partner's capability and will to execute a specified role.

### PROBLEM FOCUSED

Assesses shortfalls in institutional performance that may impede partners' ability to execute role. Considers appropriate entry points for engagement and the enablers and inhibitors of change.

### PARTNER CENTRIC

Avoids the projection or imposition of U.S. models, which may not fit a partner's specific context. Responsive to partners' priorities and their unique political and institutional dynamics.

## MOVING FROM PROBLEM TO SOLUTION



## ICB OFFERINGS

- 
**ADVISING & CONSULTING**  
 Present partner with possibilities for institutional improvements or reform and assist with approaches tailored to partners' political and institutional context for change.
- 
**EDUCATION & TRAINING**  
 Equip partners with the knowledge, skills, tools, and expertise to design and implement solutions.
- 
**CONFERENCES & SEMINARS**  
 Engage partner stakeholders, explore country best practices, and help create space for progress.

### SELECT SERVICES

- ◆ Resident/non-resident advising & consulting
- ◆ Multi-stakeholder workshops
- ◆ Tabletop Exercises (TTX)
- ◆ Resident courses
- ◆ Mobile engagement / training teams
- ◆ Senior Leader Engagement

## ICB PLANNERS AND IMPLEMENTERS

- ◆ Defense Institute of International Legal Studies (DIILS)
- ◆ Defense Technology Security Administration (DTSA)
- ◆ Institute for Security Governance (ISG)
- ◆ Regional Centers



## QUESTIONS ABOUT ICB?

Questions or comments about this Smart Sheet or any ICB topic?

Ask an ISG expert about any ICB question at:  
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