



POLICY

UNDER SECRETARY OF DEFENSE
2000 DEFENSE PENTAGON
WASHINGTON, D.C. 20301-2000

MAY 23 2019

The Honorable James E. Risch
Chairman
Committee on Foreign Relations
United States Senate
Washington, DC 20510

Dear Mr. Chairman:

On behalf of the Secretary of Defense, and in coordination with the Secretary of State, I have certified that the Government of Ukraine has taken substantial actions to make defense institutional reforms for the purposes of decreasing corruption, increasing accountability, and sustaining improvements of combat capability enabled by U.S. assistance. An assessment of the actions taken by Ukraine, the remaining areas in need of defense institutional reform, and the methodology used to evaluate this reform are included in this letter. Furthermore, now that this defense institutional reform has occurred, we will use the authority provided by section 1250 of the National Defense Authorization Act (NDAA) for Fiscal Year 2016 (Public Law 114-92), as amended most recently by section 1246 of the John S. McCain NDAA for Fiscal Year 2019 (Public Law 115-232), to support programs in Ukraine further. Implementation of this further support will begin no sooner than 15 days following this notification. This authority will be used to provide appropriate security assistance, including training, equipment, and logistics support, supplies, and services, to the military and other security forces of the Government of Ukraine.

Pursuant to Section 9013 of the Department of Defense (DoD) Appropriations Act, 2019 (division A of Public Law 115-245), we are notifying the committees of this obligation.

Figures provided in this notification reflect estimated quantities and values. These figures may change based on the final price and availability of individual items, but the overall cost will not exceed \$125 million, and the quantity of items will remain consistent with the stated nature and scope of the program.

The primary methodology used to inform this certification was persistent U.S. engagement with Ukraine, including, but not limited to: 1) the Secretary's meetings with Minister of Defense Poltorak; 2) a visit to Kyiv by the U.S. Deputy Assistant Secretary of Defense for Russia, Ukraine, Eurasia; 3) Lieutenant General (Retired) Keith Dayton's bilateral consultations with and participation in Ukraine's Defense Reform Advisory Board in his role as U.S. Senior Defense Advisor on Ukraine; 4) former Secretary of the Navy Dr. Donald Winter's visit to Kyiv in his role as U.S. Senior Defense Industry Advisor; 5) senior level engagements led by the Department of State, including the U.S.-Ukraine Strategic Partnership Commission; 6) U.S. European Command's efforts through the Multinational Joint Commission on Ukraine; 7) the Joint Multinational Training Group – Ukraine training program; and 8) other advisory efforts through the Ministry of Defense Advisors Program, Defense Governance and Management Team, Cooperative Technology Security Dialogue, and the U.S. Embassy in Kyiv and U.S. Mission to NATO in Brussels.



Through these engagements, the United States has effectively helped Ukraine advance institutional reforms through a number of substantial actions to align Ukraine's defense enterprise more closely with NATO standards and principles. The Ukrainian Government adopted legislation to authorize the Ministry of Defense to conduct direct procurement from international manufacturers, including through the Foreign Military Sales program. Furthermore, to strengthen civilian control of the military, the ministry is making progress toward increasing civilian staff, as most prominently illustrated by the fact that the Minister of Defense is now a civilian. Minister Poltorak also initiated an ambitious program to reform the command and control system in line with Euro-Atlantic principles, which will further strengthen civilian control, and to separate force generation from force employment functions, which will improve the management of Ukraine's forces. Lastly, Ukraine committed in writing to defense industry reforms and requested a Senior Defense Industry Advisor to improve the ability of Ukraine's domestic industry to provide critical material to the Ukrainian armed forces and transform the state-owned enterprise.

Although substantial progress has been made on defense reform since 2014, there remain areas that require significant attention. Although Ukraine has made a commitment to defense industry reforms, increased transparency in acquisition and budgeting will require a sustained effort. DoD is supporting Ukraine with the development of a transformation plan to bring its industry in line with global best practices, which will likely be a multi-year effort. The implementation of a modern human resources management system is another area that still requires attention. Moreover, Ukraine, with U.S. advice and mentoring, continues to mature its processes and procedures to ensure technology security, proper accountability, and end-use controls for U.S.-provided equipment. The United States remains committed to assisting with the implementation of these reforms to bolster Ukraine's ability to defend its territorial integrity in support of a secure and democratic Ukraine.

This notification is provided to meet the requirements of section 1250 of the NDAA for Fiscal Year 2016, as amended. Descriptions of the programs and associated training are enclosed. I am sending identical letters to the congressional defense committees and the House Committee on Foreign Affairs.

Sincerely,

A handwritten signature in black ink, appearing to read "John Rood", written in a cursive style.

John C. Rood

Enclosures:
As Stated

cc:
The Honorable Robert Menendez
Ranking Member

**Ukraine Security Assistance Initiative Notification Summary Table
 In Accordance with Section 9013 of the Department of Defense Appropriations Act, 2019,
 and Section 1250 of the National Defense Authorization Act for 2016, as Amended
 (Tranche 2, \$125 Million)**

Proposal	Program	Component	Combatant Command	Dollars
1	Electronic Warfare and Counter-Mortar Radars	DSCA	USEUCOM	\$26,900,000
2	National Guard	DSCA	USEUCOM	\$9,700,000
3	Ministry of Defense – Land Forces and Special Operations Forces	DSCA	USEUCOM	\$28,300,000
4	Ministry of Defense – Command and Control	DSCA	USEUCOM	\$51,100,000
5	Ministry of Defense – Other	DSCA	USEUCOM	\$9,000,000
	Total			\$125,000,000

DSCA – Defense Security Cooperation Agency
 USEUCOM – U.S. European Command

**Ukraine Security Assistance Initiative (USAI):
Electronic Warfare and Counter-Mortar Radars**

The Department of Defense (DoD) plans to undertake activities to provide security assistance and intelligence support to military and security forces of the Government of Ukraine to enhance Ukraine’s capabilities to defend against Russian aggression, assist Ukraine in developing the combat capability to defend its sovereignty and territorial integrity, and support Ukraine’s efforts to defend against actions by Russia and Russian-backed separatists that violate the ceasefire agreements of September 4, 2014, and February 11, 2015. All activities notified under this program will be executed pursuant to Section 1250 of the National Defense Authorization Act for Fiscal Year 2016, as amended, and Section 9013 of the Department of Defense Appropriations Act, 2019.

This program funds 15 Electronic Warfare (EW) systems, including 12 systems to be mounted on command-variant HMMWVs for the Ukrainian Land Forces and three systems for the Ukrainian Navy to be mounted on U.S.-provided Island Class Patrol Boats. This program also provides funding for the upgrade of 56 counter-mortar radar systems to be equipped with a Counter-Unmanned Aerial Vehicle (UAV) capability, 12 Command-variant HMMWVs, and associated training, maintenance, and services. These additional EW systems and upgraded radar systems will enhance the survivability of Ukrainian forces by providing early warning against indirect fire attacks and detecting UAVs to increase situational awareness of enemy activity.

Units selected to receive this assistance will undergo Leahy human rights vetting before such assistance is provided and will be provided human rights training by the Defense Institute of International Legal Studies. U.S. European Command (USEUCOM) assesses that Ukraine will be able to absorb effectively and benefit from the proposed assistance. There will be no adverse effect on U.S. personnel or operations. The funding for this program will come from the Department’s FY 2019 Operation and Maintenance, Defense-wide account.

These efforts support U.S. national security objectives both globally and within the USEUCOM area of responsibility.

DoD intends to provide the following articles or equivalent variants and services:

	Articles/Services	Value	Executing Component
1	Radars, Spares, and Supporting Equipment, including: <ul style="list-style-type: none"> • AN/TPQ-49 Counter-UAV Software Upgrades (56) • Spares and Ancillary Items 	\$2,900,000	Army/USMC
2	Electronic Warfare systems and Supporting Equipment, including: <ul style="list-style-type: none"> • TCI Model 903-2 platforms (15) • Associated parts, tools, installation, and accessories 	\$19,300,000	Army/Navy

	Articles/Services	Value	Executing Component
3	<ul style="list-style-type: none"> • Operations and Maintenance Training • Human Rights Training (DIILS) • Services, Service Charges, and Technical Support • Transportation, Consolidation, Shipping 	\$4,700,000	Army/Navy/USMC
PROGRAM TOTAL		\$26,900,000	

Figures provided in this notification reflect estimated quantities and values. These figures may change based on the final price and availability of individual items, but the overall cost will not exceed \$125,000,000. The quantity of items will remain consistent with the notified nature and scope of the program.

Ukraine Security Assistance Initiative (USAI):
National Guard

The Department of Defense (DoD) plans to undertake activities to provide security assistance and intelligence support to military and security forces of the Government of Ukraine in order to enhance Ukraine's capabilities to defend against Russian aggression, assist Ukraine in developing the combat capability to defend its sovereignty and territorial integrity, and support Ukraine's efforts to defend against actions by Russia and Russian-backed separatists that violate the ceasefire agreements of September 4, 2014, and February 11, 2015. All activities notified under this program will be executed pursuant to Section 1250 of the National Defense Authorization Act for Fiscal Year 2016, as amended, and Section 9013 of the Department of Defense Appropriations Act, 2019.

This program funds equipment for the National Guard of Ukraine's (NGU) Rapid Reaction Brigade and three training centers (Zolochiv, Kharkiv, and Stare). Equipment includes secure communication equipment, four static electronic warfare systems, and trailer-mounted tent systems to increase capacity at NGU training centers, and secure containers for the storage of Enhanced End-Use Monitoring items provided through USAI.

Units selected to receive this assistance will undergo Leahy human rights vetting and will be provided human rights training by the Defense Institute of International Legal Studies before such assistance is provided. U.S. European Command (USEUCOM) assesses that Ukraine will be able to absorb effectively and benefit from the proposed assistance. There will be no adverse effect on U.S. personnel or operations. The funding for this program will come from the Department's FY 2019 Operation and Maintenance, Defense-wide account.

These efforts support U.S. national security objectives both globally and within the USEUCOM area of responsibility.

DoD intends to provide the following articles or equivalent variants and services:

	Articles/Services	Value	Executing Component
1	Secure Communications, including: <ul style="list-style-type: none"> • VHF Radio Systems (36) • HF Radio Systems (16) • Additional associated spares and ancillaries 	\$3,400,000	Army
2	Electronic Warfare Systems <ul style="list-style-type: none"> • TCI Model-903S (4) 	\$2,100,000	Army
3	Trailer-Mounted Tent Systems <ul style="list-style-type: none"> • Large Tent System (2) • Medium Tent System (3) • Assorted tactical items, containers, metal detectors, associated spares, and accessories 	\$2,500,000	Army, Navy

	Articles/Services	Value	Executing Component
4	<ul style="list-style-type: none"> • Operations and Maintenance Training • Human Rights Training (DIILS) • Services, Service Charges, and Technical Support • Transportation, Consolidation, Shipping 	\$1,700,000	Army
PROGRAM TOTAL		\$9,700,000	

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Ukraine Security Assistance Initiative (USAI):
 Ministry of Defense – Land Forces and Special Operations Forces

The Department of Defense (DoD) plans to undertake activities to provide security assistance and intelligence support to military and security forces of the Government of Ukraine in order to enhance Ukraine’s capabilities to defend against Russian aggression, assist Ukraine in developing the combat capability necessary to defend its sovereignty and territorial integrity, and support Ukraine’s effort to defend against actions by Russia and Russian-backed separatists that violate the ceasefire agreements of September 4, 2014, and February 11, 2015. All activities notified under this program will be executed pursuant to Section 1250 of the National Defense Authorization Act for Fiscal Year 2016, as amended, and Section 9013 of the Department of Defense Appropriations Act, 2019.

This program funds Ukrainian land forces and special operations forces (SOF) equipment and associated critical combat operations training, maintenance, and services. This program funds additional up-armored HMMWVs, maintenance and sustainment equipment and spare parts for night-vision devices, Explosive Ordnance Disposal (EOD) equipment, and secure communications equipment. These items increase survivability of Ukraine’s forces by increasing their capacity and capability to address Improvised Explosive Devices and Unexploded Ordnance threats throughout the Joint Forces Operation area, and increases their lethality with advanced weapon optics.

Units selected to receive this assistance will undergo Leahy human rights vetting before such assistance is provided and will be provided human rights training by the Defense Institute of International Legal Studies. The U.S. European Command (USEUCOM) assesses that Ukraine will be able to absorb effectively and benefit from the proposed assistance. There will be no adverse effect on U.S. personnel or operations. The funding for this program will come from the Department’s FY 2019 Operation and Maintenance, Defense-wide account.

These efforts support U.S. national security objectives both globally and within the USEUCOM area of responsibility.

DoD intends to provide the following articles or equivalent variants and services:

	Articles/Services	Value	Executing Component
1	Tactical Vehicles, including: <ul style="list-style-type: none"> • M1151 HMMWV (20) • M1152 HMMWV Maintenance Contact Vehicle (4) • Associated spares and ancillaries 	\$6,300,000	Army

	Articles/Services	Value	Executing Component
2	Night-Vision Device (NVD) sustainment and maintenance, including: <ul style="list-style-type: none"> • NVD consumable spare parts • NVD repair tools and supplies • Secure storage containers (20) • Associated Spares and ancillaries • Collimator Rifle Sights (1000) • Associated Rifle Handguards, batteries, spares, ancillaries 	\$3,600,000	Army
3	Engineering and Explosive Ordnance Disposal (EOD), including: <ul style="list-style-type: none"> • Husky Demining Vehicle (1) • EOD Robots (20) • EOD Bomb-technician Suits (14) • Associated spares and ancillaries 	\$7,200,000	Navy
4	Non-Commissioned Officer Academy and Yavoriv Training Center Equipment, including: <ul style="list-style-type: none"> • English Language Labs (20) • Simulations software and servers • Associated spares and ancillaries 	\$400,000	Army
5	SOF Secure Communication, including: <ul style="list-style-type: none"> • HF/VHF Radios (124) • Associated Spares and ancillaries 	\$4,200,000	Army
6	SOF Optics, Medical, and Engineering, including: <ul style="list-style-type: none"> • Weapon optics (550) • Secure Storage Containers (6) • EOD equipment • Medical equipment • Water Purification system (8) • Associated Spares and ancillaries 	\$2,500,000	Army/Navy

	Articles/Services	Value	Executing Component
7	<ul style="list-style-type: none"> • Operations and Maintenance Training • Human Rights Training (DILLS) • Services, Service Charges, and Technical Support • Transportation, Consolidation, and Shipping 	\$4,100,000	Army/Navy
	PROGRAM TOTAL	\$28,300,000	

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Ukraine Security Assistance Initiative (USAI):
Ministry of Defense – Command and Control

The Department of Defense (DoD) plans to undertake activities to provide security assistance and intelligence support to military and security forces of the Government of Ukraine in order to enhance Ukraine’s capabilities to defend against Russian aggression, assist Ukraine in developing the combat capability necessary to defend its sovereignty and territorial integrity, and support Ukraine’s efforts to defend against actions by Russia and Russian-backed separatists that violate the ceasefire agreements of September 4, 2014, and February 11, 2015. All activities notified under this program will be executed pursuant to Section 1250 of the National Defense Authorization Act for Fiscal Year 2016, as amended, and Section 9013 of the Department of Defense Appropriations Act, 2019.

This program funds equipment to develop further Ukraine’s ability to communicate securely in the Joint Forces Operation area and emissions and penetration testing equipment to harden communication networks. These systems will improve the Ukrainian Ministry of Defense’s communication and cyber capabilities.

Units selected to receive this assistance will undergo Leahy human rights vetting before such assistance is provided and will be provided human rights training by the Defense Institute of International Legal Studies. The U.S. European Command (USEUCOM) assesses that Ukraine will be able to absorb effectively and benefit from the proposed assistance. There will be no adverse effect on U.S. personnel or operations. The funding for this program will come from the Department’s FY 2019 Operation and Maintenance, Defense-wide account.

These efforts support U.S. national security objectives both globally and within the USEUCOM area of responsibility.

DoD intends to provide the following articles or equivalent variants and services:

	Articles/Services	Value	Executing Component
1	Secure Communications equipment, including: <ul style="list-style-type: none"> • VHF/UHF radio systems (100) • VHF Dismount System (100) • HF Radio Systems (350) • Associated spares and ancillaries 	\$43,200,000	Army
2	Emissions and Penetration Testing and certification equipment, including: <ul style="list-style-type: none"> • Spectrum Analyzers (23) • Servers, racks, and cabling • Associated spares and ancillaries 	\$1,400,000	Army

	Articles/Services	Value	Executing Component
3	<ul style="list-style-type: none"> • Operations and Maintenance Training • Human Rights Training (DIILS) • Services, Service Charges, and Technical Support • Transportation, Consolidation, and Shipping 	\$6,500,000	Army
PROGRAM TOTAL		\$51,100,000	

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Ukraine Security Assistance Initiative (USAI):
Ministry of Defense – Other

The Department of Defense (DoD) plans to undertake activities to provide security assistance and intelligence support to military and security forces of the Government of Ukraine in order to enhance Ukraine’s capabilities to defend against Russian aggression, assist in developing the combat capability necessary to defend its sovereignty and territorial integrity, and support Ukraine’s efforts to defend against actions by Russia and Russian-backed separatists that violate the ceasefire agreements of September 4, 2014, and February 11, 2015. All activities notified under this program will be executed pursuant to Section 1250 of the National Defense Authorization Act for Fiscal Year 2016, as amended, and Section 9013 of the Department of Defense Appropriations Act, 2019.

This program funds 10 additional HMMWV ambulances, medical treatment supplies, optics and ancillaries for the Military Police, 10 vehicle-mounted public address systems, and associated training. These programs will continue to enhance Ukraine’s military medical capacity and capability in support of continued U.S.-led medical training in Ukraine designed to develop an organic and self-sustaining military medic program.

Units selected to receive this assistance will undergo Leahy human rights vetting before such assistance is provided and will be provided human rights training by the Defense Institute of International Legal Studies. The U.S. European Command (USEUCOM) assesses that Ukraine will be able to absorb effectively and benefit from the proposed assistance. There will be no adverse effect on U.S. personnel or operations. The funding for this program will come from the Department’s FY 2019 Operation and Maintenance, Defense-wide account.

These efforts support U.S. national security objectives both globally and within the USEUCOM area of responsibility.

DoD intends to provide the following articles or equivalent variants and services:

	Articles/Services	Value	Executing Component
1	Medical Equipment, including: <ul style="list-style-type: none"> • M1152 HMMWV Ambulances (10) • Hospital equipment (30) • Treatment and Training supplies • Associated spares, ancillaries 	\$5,500,000	Army
2	Military Police Equipment, including: <ul style="list-style-type: none"> • Weapon Optics (200) • Range finders (10) • Associated spares and ancillaries 	\$500,000	Army
3	STRATCOM equipment, including: <ul style="list-style-type: none"> • Vehicle-Mounted Public Announcement system (10) • US standard digital media kits (30) • Associated spares and ancillaries 	\$1,600,000	Army

	Articles/Services	Value	Executing Component
4	<ul style="list-style-type: none"> • Operations and Maintenance Training • Human Rights Training (DIILS) • Services, Service Charges, and Technical Support • Transportation, Consolidation, and Shipping 	\$1,400,000	Army
PROGRAM TOTAL		\$9,000,000	

Figures provided in this notification reflect estimated quantities and values. These figures may change based on the final price and availability of individual items, but the overall cost will not exceed \$125,000,000. The quantity of items will remain consistent with the notified nature and scope of the program.