



DEPARTMENT OF THE AIR FORCE
WASHINGTON DC

OFFICE OF THE UNDER SECRETARY

27 SEP 2004

MEMORANDUM FOR SEE DISTRIBUTION

FROM: SAF/IAPX
1080 Air Force Pentagon
Washington DC 20330-1080

SUBJECT: IAPX04-032: Security Assistance Guidance for the Transfer of Night Vision Devices (NVD) (IAPX 04024)

Ref: 1. DSCA Policy (03-19) I-03/005191, 24 Nov 03 titled: "Security Assistance Guidance for the Transfer of Night Vision Devices (NVD)"
2. DSCA Policy titled: "Guidance for Transfer of Night Vision Devices (NVD) (DSCA 04-25) [SAMME Change 14]"

This memorandum provides AF implementing instruction for the transfer of NVDs to allied and friendly countries, and introduces a change to the NVD Physical Security and Accountability Note for countries that require an exception to policy. The Defense Security Cooperation Agency (DSCA) published guidance for the transfer of NVDs and systems to allied and friendly countries through Foreign Military Sales and Direct Commercial Sales (Atch 1) and has provided revised text for the NVD physical security and accountability note when the sale requires an exception to policy (Atch 2).

NVD technology provides U.S. forces an advantage on the battlefield and therefore is categorized as significant military equipment (SME). It is a DoD policy objective to assure that U.S. forces maintain a clear advantage in night fighting capabilities. Consequently, there are three requirements for approval to transfer NVDs, they are: 1) Country team assessment in accordance with the NVD required information (Atch 2), 2) OSD approval for release, and 3) the purchasing countries acceptance of an increased oversight role by the End-Use-Monitoring (EUM) Program.

All NVD transfer requests will undergo a special review. The LOR must be processed against defined-order cases/lines per SAMM direction (Para C5.4.3.1). At the time of request for price and availability (P&A) data, or letter of acceptance (LOA) data for NVDs, whichever occurs first—SAF/IAR country directors (CD) or AFSAC command country managers (CCM) must ensure that the five questions in the "Assessment to Transfer Night Vision Devices" questionnaire are completely filled out (Atch 3).

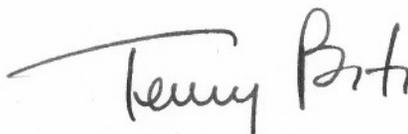
Approval for release of the NVD is initiated when the P&A data or LOA data (whichever occurs first) has been obtained and the NVD questionnaire accomplished. The SAF/IA-country directors or the AFSAC CCM as applicable must coordinate the NVD requests with either SAF/IAPD or AFSAC/IAF foreign disclosure offices respectively. For NVD requests received at AFSAC, the AFSAC CCM will forward the request with supporting documentation to the

applicable SAF/IA country director. SAF/IA country directors will coordinate with the SAF/IARW Weapons Office and SAF/IAPD. As with any official correspondence it is best to have documentary evidence of coordination. If the NVD request meets USAF NVD release policy, the SAF/IA country director will forward the request with supporting documentation to the appropriate DSCA country program director with a recommendation to begin the OSD approval process. A courtesy copy of the transmittal to DSCA will be provided to SAF/IAPX. Once the transmittal is sent to DSCA the purchaser should be informed that their NVD request is currently under release-approval review.

No further action should be initiated regarding a country's request pending receipt of either a Letter of Request (LOR) advisory or waiver approval from DSCA (Atch 1). Upon receipt of either a favorable LOR advisory or waiver approval, the SAF/IAR country director will either restart the P&A or LOA data process, or inform the concerned AFSAC CCM to proceed. If approval was previously obtained in response to a P&A request, approval will not have to be reobtained if the country subsequently submits an LOA request for the same capability.

The End-Use-Monitoring Program has an increased role as per the revised NVD note for countries that must go through the exception to policy process. Countries, other than NATO, Australia, Japan, S. Korea, Israel, and Egypt will have language in the note allowing the USG access to conduct an inspection and inventory of the devices listed in the offer by serial number. The processing action in total will ensure that the required review procedure is accomplished, and that the required NVD physical security and accountability note is included in the LOA (SAMM Table C5T5) (Atch 3).

This memorandum and the assessment questionnaire (Atch 3) are not intended as stand alone guidance to affect the transfer of NVDs. A working knowledge of DSCA and SAMM guidance regarding the transfer to and use of NVDs by foreign countries is required. I strongly encourage you to review all attachments. My point of contact for this matter is Ms. Shelly Ferguson, (703) 588-8984.



TERRY L. BATES
Chief, Security Assistance Policy Division
Deputy Under Secretary, International Affairs

Attachments:

1. DSCA Guidance on Transferring NVDs, dtd 24 Nov 03
2. "Guidance for Transfer of NVDs (DSCA 04-25) [SAMM-E Change 14]"
3. Assessment to Transfer NVD Questionnaire, dtd 16 Mar 04



DEFENSE SECURITY COOPERATION AGENCY

WASHINGTON, DC 20301-2800

NOV 24 2003

In reply refer to:
I-03/005191

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Guidance for the Transfer of Night Vision Devices (DSCA Policy 03-19)

REFERENCE: The Under Secretary of Defense (Policy) memorandum dated 23 January 1990 and revised on 23 July 1990, "DoD Policy Regarding International Transfer and Export Control of Image Intensifier Night Vision Systems and Technology"

The referenced memorandum is designed to facilitate the transfer of Night Vision Devices (NVD) and systems to allied and friendly countries through Foreign Military Sales (FMS) and Direct Commercial Sales (DCS), while protecting U.S. forces as well as critical production and manufacturing technology. It permits case-by-case reviews of image intensifier and thermal night vision end items. The Defense Technology Security Administration (DTSA) has overall responsibility for the formulation and management of NVD export policy.

It is a DoD policy objective to assure that U.S. forces maintain a clear advantage in night fighting capabilities. Therefore NVD technology is considered by DoD policy to be a valuable, limited resource to be developed and protected in support of national security objectives. The U.S. lead in both the manufacturing and deployment of advanced NVD equipment is vital to ensuring this advantage.

This memorandum clarifies the requirements for all government-to-government and government to international organization transfers of NVD as well as commercial transfers financed through U.S. Government grant funds. This memorandum also provides the required physical security and accountability note for NVD transfers and clarifies when this note should be used. The NVD review process is described in Attachment 1. This process was co-developed with the Joint Staff/J5 and DTSA/Policy.

This guidance is not retroactive -- there is no need to do Modifications or Amendments to add the NVD note. The DSCA point of contact for NVD policy is MAJ James Gentile, DSCA/P3-WPNS, (703) 604-6622 or Mr. Steve Harris, DSCA/P3-P2, (703) 604-6611.

A handwritten signature in black ink, reading "Tome H. Walters, Jr.", is positioned above the typed name.

TOME H. WALTERS, JR.
LIEUTENANT GENERAL, USAF
DIRECTOR

Attachments:

- 1) Review Process for FMS/FMF Transfers of Night Vision Devices
- 2) Sample LOR Advisory for NVD
- 3) Sample Waiver Request for NVD
- 4) SAMM Table C5.T5 (NVD Physical Security and Accountability Note)

DISTRIBUTION LIST

DEPUTY UNDER SECRETARY OF DEFENSE FOR TECHNOLOGY SECURITY POLICY
AND DIRECTOR, DEFENSE TECHNOLOGY SECURITY ADMINISTRATION

DEPUTY ASSISTANT SECRETARY OF THE ARMY FOR DEFENSE EXPORTS AND
COOPERATION, ATTN: SAAL-NP
DEPARTMENT OF THE ARMY

DIRECTOR, NAVY INTERNATIONAL PROGRAMS OFFICE
DEPARTMENT OF THE NAVY

DEPUTY UNDER SECRETARY OF THE AIR FORCE (INTERNATIONAL AFFAIRS)
DEPARTMENT OF THE AIR FORCE

DIRECTOR, DEFENSE LOGISTICS AGENCY

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DIRECTOR, DEFENSE THREAT REDUCTION AGENCY

DIRECTOR, DEFENSE REUTILIZATION AND MARKETING SERVICE

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DIRECTOR, DEFENSE INFORMATION SYSTEMS AGENCY

DIRECTOR, DEFENSE LOGISTICS INFORMATION SERVICE

DEPUTY DIRECTOR FOR INFORMATION ASSURANCE,
NATIONAL SECURITY AGENCY

DIRECTOR FOR SECURITY ASSISTANCE,
DEFENSE FINANCE AND ACCOUNTING SERVICE - DENVER CENTER

cc: USASAC
NAVICP
AFSAC
DISAM
OUSD(AT&L)/IC
USD(P)-PS
DTSA/PD
OASD/SOLIC
Joint Staff/J5/DDWOT/WMD
USD(P)-PS
DoS (PM/RSAT)
USSOCOM/SOOP/SDO

Review Process for FMS/FMF Transfers of Night Vision Devices

A. The approval process for FMS transfers of NVD begins with a Letter of Request (LOR) for Price and Availability (P&A) data or for a Letter of Offer and Acceptance (LOA) from a purchaser submitted through appropriate channels as described in the Security Assistance Management Manual (SAMM), Chapter 5. For this process, NVD are defined as man-portable devices, which incorporate image intensification, infrared, thermal, or sensor-fused technologies. NVD are considered sensitive, unclassified Significant Military Equipment (SME). In order for the Joint Staff, DTSA and AT&L to properly evaluate an FMS or a FMF funded commercial transfer request, the following information must be included in or in support of the LOR:

1. Reason the purchaser requires NVD.
2. The operational plan for use and specific end-users to include:
 - a) Description of the primary mission for the units to receive the NVD;
 - b) Extent of military interoperability missions/training with U.S. forces;
 - c) Extent of anti-terrorist missions for the units to receive the NVD.
3. Justification for the type and quantity of NVD requested (LOR development may require coordination with MILDEP for recommended model/ quantity).
4. Assessment of the purchaser's capacity to afford substantially the same degree of security and accountability protection as given by the United States and willingness to accept the NVD physical security and accountability assurances note (SAMM Table C5.T5).
5. The U.S. Combatant Commander's concurrence in the case of initial transfer or significant increase in quantity or quality of NVDs to a nation.

B. Upon receipt of the LOR and supporting documentation, the Implementing Agency will determine if the information contained in the request is complete and ensure that the request is analyzed and approved in accordance with the appropriate U.S. Military Department's NVD release policy. Once the MILDEP has determined that all required information is present, the Implementing Agency should forward the request, along with a proposed list of items to be transferred (including model type and quantity), to the appropriate DSCA Country Program Director (CPD), with a recommendation to initiate the policy review process.

C. The DSCA CPD coordinates the LOR and supporting justification with DSCA Weapons Division. DSCA Weapons Division advises the DSCA CPD whether an LOR Advisory or a waiver request must be prepared based on DTSA guidance.

D. The DSCA CPD prepares the appropriate LOR Advisory or waiver request memorandum signed by the regional director. The advisory or waiver is prepared in accordance with SAMM paragraph C5.1.4.5, with the exception that DTSA is an addressee. Attachment 2 provides a sample LOR Advisory. Attachment 3 provides a sample waiver request.

E. Upon completion of the LOR Advisory or receipt of the waiver approval, the DSCA Regional Directorate sends a memorandum, coordinated with DSCA Weapons Division, to the applicable Implementing Agency communicating the decision regarding the transfer of NVD and all required notes. Attachment 4 provides specific text for the required physical security and accountability note. Information copies of this memorandum are sent to all parties that were either an addressee or information copy addressee on the LOR Advisory or waiver request. In addition, the CPD will forward a copy of the LOR Advisory or approved DTSA waiver to the End Use Monitoring Program Manager in DSCA/P2.

Sample LOR Advisory for Night Vision Devices

MEMORANDUM FOR OFFICE OF THE DEPUTY UNDER SECRETARY OF DEFENSE
ATTN: DTS/DPD (TECHNOLOGY SECURITY POLICY)

DIRECTOR, J-5, JOINT CHIEFS OF STAFF
ATTN: WTC

DIRECTOR, INTERNATIONAL COOPERATION
OFFICE OF THE UNDER SECRETARY OF DEFENSE
ACQUISITION, TECHNOLOGY, AND LOGISTICS

SUBJECT: Letter of Request (LOR) Advisory- [insert Country or International Organization Name]
Request for Night Vision Devices

DSCA has received a request from [insert Country or International Organization Name] for the following night vision devices with capabilities that are [insert one of the following: state-of-the-art; equal to current DoD standard issue; less than DoD standard issue but greater than commercial off-the-shelf; commercial off-the-shelf], and considered to be of a sensitive nature: [include list of specific devices to include model number and quantities being requested].

[Briefly describe the reason the purchaser requires the NVD as well as the operational plan for use].
[Additional information may be provided specific to this request if desired.]

The purpose of this memorandum is to advise you of this request and provide you a copy for your use and information. If you have any questions or desire additional information regarding this potential sale, please contact [insert name, office symbol, phone number, and e-mail address of DSCA Country Program Director].

The purchaser has indicated its willingness to accept the physical security and accountability requirements as attached, which will become part of any letter of offer and acceptance for these items. [insert Country or International Organization's] letter of request, the supporting justification, the [insert combatant command] and [insert implementing agency] memorandums are also enclosed.

Attachments

[Purchaser Request Information]
[Supporting Justification]
[Appropriate Combatant Command Recommendation]
[Appropriate MILDEP Recommendation]
[Physical Security & Accountability Note]

cc:

[Applicable OASD/ISA or ISP]
OASD/SOLIC
DoS (PM/RSAT)
USD(P)-PS
[Applicable SAO]
[Applicable MILDEP]
[Applicable Combatant Command]
USSOCOM/SOOP/SDO

*NOTE: Memorandum will be classified if applicable

Attachment 2

Sample Waiver Request for Night Vision Devices

MEMORANDUM FOR OFFICE OF THE DEPUTY UNDER SECRETARY OF DEFENSE
ATTN: DTSA/PD (TECHNOLOGY SECURITY POLICY)

DIRECTOR, J-5, JOINT CHIEFS OF STAFF
ATTN: WTC

DIRECTOR, INTERNATIONAL COOPERATION
OFFICE OF THE UNDER SECRETARY OF DEFENSE
ACQUISITION, TECHNOLOGY, AND LOGISTICS

SUBJECT: Letter of Request (LOR) Waiver - [insert Country or International Organization Name]
Request for Night Vision Devices

DSCA has received a request from [insert Country or International Organization Name] for the following night vision devices with capabilities that are [insert one of the following: state-of-the-art; equal to current DoD standard issue; less than DoD standard issue but greater than commercial off-the-shelf; commercial off-the-shelf], and considered to be of a sensitive nature: [include list of specific devices to include model number and quantities being requested].

[Briefly describe the reason the purchaser requires the NVD as well as the operational plan for use]. [Additional information may be provided specific to this request if desired.]

The purchaser has indicated its willingness to accept the physical security and accountability requirements as attached, which will become part of any letter of offer and acceptance for these items. [insert Country or International Organization's] letter of request, the supporting justification, [insert combatant command] and [insert implementing agency] endorsement memorandums are also enclosed.

Request your concurrence to offer the devices to the [insert Country or International Organization Name] under a government-to-government agreement (Foreign Military Sales case). Please provide your response by [10 working days from date this memorandum is signed]. The DSCA point of contact for this action is [name, office symbol, phone, and e-mail address of DSCA country program director].

Attachments

[Purchaser Request Information]
[Supporting Justification]
[Appropriate Combatant Command Recommendation]
[Appropriate MILDEP Recommendation]
[Physical Security & Accountability Note]

cc:

[Applicable ASD (ISA or ISP)]
USD(P)-PS
DTSA/PD
DoS (PM/RSAT)
[Applicable SAO]
[Applicable MILDEP]
[Applicable Combatant Command]
USSOCOM/SOOP/SDO

*NOTE: Memorandum will be classified if applicable

Attachment 3

SAMM Table C5.T5

Note Name: Night Vision Devices (NVD) Physical Security and Accountability

Note Usage: Mandatory for LOAs for sales of NVD. Mandatory for Amendments and Modifications that add NVD to a case.

Note Text: "The purchaser agrees to secure the night vision devices (NVD) listed in this offer against loss, theft or unauthorized access and to perform routine inventory checks. The purchaser agrees to provide the [insert the U.S. Government's security assistance organization assigned responsibility] (USG) a written physical security and accountability control plan within thirty days of acceptance of this offer. Inventory and accountability records maintained by the purchaser shall be retained for at least one year and made available for review upon USG request.¹ In case of the loss, theft or unauthorized access of any NVD listed in this offer, the purchaser agrees to report the incident immediately to the USG. The purchaser agrees to provide a written report with details of the incident within thirty calendar days to the USG. This report will include the steps being taken both to recover the equipment (if applicable) and to prevent recurrence.

To assist in the development of purchaser's physical security and accountability control plan, the following minimum measures, modeled after U.S. Army policy for security of night-vision devices, are included as recommendations:

a. Physical Security:

1) When not issued for use, the unit commander will provide NVD controlled-access, double barrier protection. Examples of double barrier protection include:

- a) A locked, built-in or free-standing steel container, which is secured to a locked or guarded building, enclosed van, trailer or armored vehicle;
- b) A locked steel cage or vault secured in a locked or guarded structure.

2) When in use, individuals issued NVD will secure the devices and be responsible for maintaining control of the devices at all times. NVD may be secured inside a locked enclosed van, trailer or armored vehicle if these vehicles remain under constant surveillance.

b. Accountability:

1) While not issued for use, the unit commander or his designated representatives will conduct monthly 100% physical count inventories and quarterly 100% inventories by serial number of the NVD. Records of these inventories will be kept for one year.

2) While issued for use, the unit commander or his designated representatives will perform a daily visual inventory of NVD."

¹ Under cases where there is an increased risk of loss, theft, misuse or unauthorized transfer, DTSA Director may require a post transfer inventory/inspection and or subsequent routine or periodic inspections. In such cases, the following or similar language will be inserted: "Upon prior coordination, the USG shall be permitted to conduct a six-month post shipment verification followed by periodic inspections and inventories by serial number at locations selected by the purchaser and under conditions agreeable to both parties."



DEFENSE SECURITY COOPERATION AGENCY

WASHINGTON, DC 20301-2800

JUN 09 2004

In reply, refer to:
I-04/001409-P3

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Guidance for the Transfer of Night Vision Devices (NVDs) (DSCA 04-25) [SAMM E-Change 14]

REFERENCE: DSCA Policy Memorandum 03-19, "Guidance for the Transfer of Night Vision Devices" dated November 24, 2003

One DoD policy objective is to ensure that U.S. Forces maintain a clear advantage in night fighting capabilities. The U.S. lead, in both the manufacturing and deployment of advanced night vision equipment, is vital to maintaining this advantage. When providing NVDs to our foreign partners, we must use careful, deliberate processes to ensure these devices are protected and used appropriately.

The purpose of this memorandum is to update DoD 5105.38-M, the Security Assistance Management Manual (SAMM), with additional guidance regarding NVDs – specifically the procedures for processing NVD Letters of Requests, a modified LOA note for NVD Physical Security and Accountability, and NVD End-Use Monitoring responsibilities.

The guidance in this memorandum is effective immediately. If you have any questions regarding the guidance for the transfer of NVD, please contact LTC James Gentile, DSCA/P3-Weapons Division, (703) 604-6622. Questions about the SAMM should be referred to Mr. Steve Harris, DSCA/P3-P2, (703) 604-6611.

TOME H. WALTERS, JR.
LIEUTENANT GENERAL, USAF
DIRECTOR

Attachment:
As Stated

DISTRIBUTION LIST

DEPUTY UNDER SECRETARY OF DEFENSE FOR TECHNOLOGY SECURITY POLICY
AND COUNTERPROLIFERATION / DEFENSE TECHNOLOGY SECURITY
ADMINISTRATION

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COOPERATION, DEPARTMENT OF THE ARMY

DIRECTOR, NAVY INTERNATIONAL PROGRAMS OFFICE, DEPARTMENT OF THE
NAVY

DEPUTY UNDER SECRETARY OF THE AIR FORCE (INTERNATIONAL AFFAIRS),
DEPARTMENT OF THE AIR FORCE

DIRECTOR, DEFENSE LOGISTICS AGENCY

DIRECTOR, NATIONAL GEOSPATIAL-INTELLIGENCE AGENCY

DIRECTOR, DEFENSE THREAT REDUCTION AGENCY

DIRECTOR, DEFENSE REUTILIZATION AND MARKETING SERVICE

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DIRECTOR, DEFENSE INFORMATION SYSTEMS AGENCY

DIRECTOR, DEFENSE LOGISTICS INFORMATION SERVICE

DEPUTY DIRECTOR FOR INFORMATION ASSURANCE, NATIONAL SECURITY
AGENCY

DEPUTY DIRECTOR FOR SECURITY ASSISTANCE, DEFENSE FINANCE AND
ACCOUNTING SERVICE - DENVER CENTER

cc: STATE/PM-RSAT

USASAC

NAVICP

AFSAC

DISAM

OUSD(AT&L)/IC

DTSA/PD

OASD/SOLIC

JS/J5/INMA-CAC/WMD

USCENTCOM

USEUCOM

USPACOM

USSOCOM/SOOP/SDO

USSOUTHCOM

DoD 5105.38-M, the Security Assistance Management Manual (SAMM) E-Change 14

1. The following paragraph is added to Chapter 4, FMS General Information:

C4.3.14. Night Vision Devices (NVDs). NVDs are man-portable devices, which incorporate image intensification, infrared, thermal, or sensor-fused technologies. NVDs fall under Category XII(c) of the U.S. Munitions List (22 CFR part 121 of (reference (n)) and are designated as sensitive, unclassified SME. The Deputy Under Secretary of Defense for Technology Security Policy and Counterproliferation (DUSD(TSP&CP)) is responsible for NVD export policy and requires the case-by-case review of all requests for the international transfer of such items through FMS or direct export licensing. Each review considers input from the MILDEPs, the acquisition community, and the Chairman of the Joint Chiefs of Staff. Image intensifier tubes ordered as spare parts or replacements for destroyed, lost, stolen, or missing devices also require a case-by-case review except when replacing defective or damaged tubes that are returned to the USG on a direct exchange or repair and return basis. The technical capabilities of replacement tubes will not exceed the export restrictions set forth in the original authorization. NVDs taken from DoD stock may not be sold or transferred without an accompanying data sheet verifying that the technical capabilities of the image intensifier tubes do not exceed export restrictions. See Chapter 5 for more information on processing requests for NVDs and Chapter 8 for End-Use Monitoring (EUM) responsibilities.

2. The following revision is made to Table C5.T1. Add number 14 as follows:

Country Team Assessment – Required Information	
14	<p>If the request is for Night Vision Devices (NVDs), the following information must be provided:</p> <ul style="list-style-type: none"> • Justification for the type and quantity of NVDs requested (LOR development may require coordination with MILDEP for recommended model/quantity). • The operational plan for use and specific end-users to include: <ul style="list-style-type: none"> - Description of the primary mission for the units to receive the NVDs - Extent of military interoperability missions/training with U.S. Forces - Extent of anti-terrorist missions for the units to receive the NVDs • Assessment of the purchaser’s capacity to afford substantially the same degree of security and accountability protection as given by the United States and willingness to accept the NVD physical security and accountability note contained in Table C5.T5. • The SAO plan for EUM and compliance verification. • Additional information in support of the transfer request (e.g., status of previous NVD transfers and results of past U.S. security inspections/inventories).

3. The following paragraph is added to Chapter 5, “FMS Case Development”:

C5.1.4.3.3. LORs for Night Vision Devices (NVDs). Every request for NVDs (paragraph C4.3.14.) requires either an LOR Advisory or a request for exception to DoD NVD policy. After validating the LOR in accordance with subparagraphs C5.1.4.1. and C5.1.4.2., the Implementing Agency forwards the NVD LOR to DSCA (Regional Directorate) along with the Country Team Assessment, the Military Department’s concurrence, the list of specific NVDs to be transferred (including model-type/ nomenclature and quantity). DSCA (Policy, Plans and

Programs Directorate – Weapons Division) determines whether an LOR Advisory (subparagraph C5.1.4.5.) or an Exception to DoD NVD Policy request (subparagraph C5.1.4.6.) is required.

4. Delete C5.1.4.5. through C5.1.4.7. in their entirety and replace with the following:

C5.1.4.5. LOR Advisories

C5.1.4.5.1. LOR Advisory Criteria. An LOR Advisory notifies USD(AT&L) and the Chairman of the Joint Chiefs of Staff that DSCA has received an LOR for items or services that meet one of the following criteria:

C5.1.4.5.1.1. First introduction of Major Defense Equipment (MDE);

C5.1.4.5.1.2. MDE that is expected to result in a Congressional Notification under Arms Export Control Act (AECA), section 36(b) (reference (c)).

C5.1.4.5.1.3. Coproduction or licensing agreements for MDE.

C5.1.4.5.1.4. Items and/or services of a sensitive nature. For example, NVDs are considered items of a sensitive nature.

C5.1.4.5.1.5. MDE that has not yet completed OT&E. DSCA may not be aware that the requested item(s) has not satisfactorily completed OT&E until the Implementing Agency refers the LOR to DSCA.

C5.1.4.5.2. Preparing LOR Advisories. DSCA (Regional Directorate) prepares and sends an LOR Advisory to the Chairman of the Joint Chiefs of Staff and USD(AT&L) using the format in Figure C5.F1.a. The LOR Advisory should include a copy of the purchaser's request as well as the Country Team Assessment (when required). The Implementing Agency's concurrence is included along with the proposed list of items to be transferred (including model-type/nomenclature and quantity). The Defense Technology Security Administration (DTSA) is added as an addressee for all NVD LOR Advisories.

C5.1.4.5.3. Coordinating LOR Advisories. To ensure consistency with existing Theater Security Cooperation objectives and technology security policy, DSCA sends the LOR Advisory as soon as possible after receiving the LOR with all required attachments. The recipients identified in C5.1.4.5.2. have 10 working days from the date of the LOR Advisory to provide comments to DSCA for consideration. In the event of non-concurrence, disagreements are adjudicated. The LOR Advisory does not take the place of any Exception to National Disclosure Policy (ENDP) processes or releasability requirements that are worked by the Military Departments (MILDEPs).

C5.1.4.6. Requests for Exception to DoD NVD Policy. If an exception to DoD NVD Policy is required, DSCA (Regional Directorate) prepares and sends a memorandum requesting the exception to the Deputy Under Secretary of Defense for Technology Security Policy and Counterproliferation (DUSD(TSP&CP)) through the same addressees in place of an LOR Advisory using the format in Figure C5.F1.b. DTSA coordinates the proposed conditions and

restrictions of the transfer with the Chairman of the Joint Chiefs of Staff. After coordination, the DUSD(TSP&CP) sends a memorandum to DSCA authorizing or denying the transfer.

C5.1.4.6.1. When the DUSD(TSP&CP) authorizes the transfer, DSCA (Regional Directorate) sends a memorandum to the Implementing Agency, Combatant Command, and SAO (as appropriate), which communicates the decision and includes all required notes, technical provisos, and DoD EUM requirements. The organizations specifically tasked with EUM responsibilities shall acknowledge their assigned EUM duties by return memorandum.

C5.1.4.6.2. Should the DUSD(TSP&CP) deny the transfer, DSCA will disapprove the customer's LOR in accordance with paragraph C5.2.2.

Figure C5.F1.a. Letter of Request (LOR) Advisory Format

MEMORANDUM FOR DIRECTOR, J-5, JOINT CHIEFS OF STAFF
ATTN: JS/J5/INMA-CAC

OFFICE OF THE UNDER SECRETARY OF DEFENSE
ACQUISITION, TECHNOLOGY, AND LOGISTICS
ATTN: INTERNATIONAL COOPERATION

DEFENSE TECHNOLOGY SECURITY ADMINISTRATION
ATTN: DTSA/PD (POLICY DIVISION)

Add for NVD LOR
Advisories

SUBJECT: Letter of Request (LOR) Advisory - [Insert Country or International Organization Name]

DSCA has received a request from [insert Country or International Organization Name] for [identify articles requested and whether they are Major Defense Equipment (MDE) that is being introduced for the first time; MDE that is expected to result in a notification to Congress under AECA, section 36(b); involve coproduction or licensing agreements for MDE; items/services of a sensitive nature; or MDE that has not yet completed operational testing and evaluation (OT&E)]. (Additional information may be provided specific to this request if desired.)

The purpose of this memorandum is to advise you of this request and provide you with a copy for your use and information. If you have any questions or desire additional information regarding this potential sale, please contact [insert name, office symbol, phone number, and e-mail address of DSCA Country Program Director].

It should be noted that this notification does not take the place of any Exception to National Disclosure Policy (ENDP) processes or releasability requirements that may need to be addressed by the Military Departments.

For NVD LOR Advisories add the following:

The Department of the [insert MILDEP] recommends and is prepared to offer the transfer of the following devices with capabilities that are equal to current DoD standard issue and considered to be of a sensitive nature: [insert type and quantity of specific devices to be offered]. The [insert Purchaser] has indicated its willingness to accept the physical security and accountability requirements as attached, which will become part of any Letter of Offer and Acceptance for these items. [Insert Purchaser's] letter of request and [Implementing Agency] memorandums are also enclosed.

Attachment

[Insert Purchaser Request Information]
[Appropriate MILDEP Recommendation]
[Proposed Physical Security & Accountability Note]

Add for NVD LOR Advisories

cc: [Insert Applicable ASD(ISA or ISP)]

USD(P)-PS

DoS(PM/RSAT)

[Insert Applicable SAO]

[Insert Applicable MILDEP]

[Insert Applicable Combatant Command]

DTSA/PD

USSOCOM/SOOP/SDO

Add for NVD LOR Advisories

NOTE: Memorandum is classified if applicable.

C5.F1.b. Sample Request for Exception to DoD NVD Policy

(CLASSIFICATION)

MEMORANDUM FOR DEPUTY UNDER SECRETARY OF DEFENSE FOR TECHNOLOGY
SECURITY POLICY

THROUGH DEFENSE TECHNOLOGY SECURITY ADMINISTRATION
ATTN: DTSA/PD (TECHNOLOGY SECURITY POLICY)

DIRECTOR, J-5, JOINT CHIEFS OF STAFF
ATTN: JS/J5/INMA-CAC

OFFICE OF THE UNDER SECRETARY OF DEFENSE
ACQUISITION, TECHNOLOGY AND LOGISTICS
ATTN: INTERNATIONAL COOPERATION

SUBJECT: Government of [Insert Purchaser]'s Request for Night Vision Devices [Insert Case Designator]

DSCA has received a request from [insert Purchaser] for Night Vision Devices (NVDs). The Department of the [insert MILDEP] recommends and is prepared to offer the transfer of the following devices with capabilities that are [state-of-the-art; equal to current DoD standard issue; less than DoD standard issue but greater than commercial off-the-shelf], and considered to be of a sensitive nature: [insert type and quantity of specific devices to be offered].

[Briefly describe the reason the purchaser requires the devices as well as the operational plan for use to include justification for quantity requested. Additional information, such as the status of past NVD transfers and previous inspections may be provided if desired.]

The [insert Purchaser] has indicated its willingness to accept the physical security and accountability requirements as attached, which will become part of any letter of offer and acceptance for these items. [Insert Purchaser's] letter of request, the U.S. Country Team Assessment with supporting justification, and the [insert Combatant Command] and [insert Implementing Agency] endorsement memorandums are also enclosed.

Request your authorization to offer the devices to [insert Purchaser] under a government-to-government agreement (Foreign Military Sales case). The DSCA POC for this action is [insert CPD name and contact information]. The DSCA POC for NVD policy is [insert DSCA (Policy, Plans and Programs/Weapons Division) name and contact information].

Director
[Regional Directorate]

Attachments:

[Purchaser Letter of Request Information]
[Country Team Assessment and Supporting Justification]
[Appropriate Combatant Command Recommendation (when applicable)]
[Appropriate MILDEP Recommendation]
[Proposed Physical Security & Accountability Note]

cc:

[Applicable ASD (ISA or ISP)]
USD(P)-PS
DTSA/PD
DoS (PM/RSAT)
[Applicable SAO]
[Applicable MILDEP]
[Applicable Combatant Command]
USSOCOM/SOOP/SDO

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4. The existing NVD note in Table C5.T5. is deleted and replaced as follows:

Note Name	Note Usage*	Note Text
Night Vision Devices (NVDs) Physical Security and Accountability	<p>Mandatory for LOAs for sales of NVDs, image intensifier tubes, or other NVD spare parts.</p> <p>Mandatory for Amendments and Modifications that add NVDs, image intensifier tubes, or other NVD spare parts to a case.</p>	<p>“The purchaser agrees to secure the Night Vision Devices (NVDs) listed in this offer against loss, theft, or unauthorized access, and to perform routine inventory checks. The purchaser agrees to provide the SAO and/or other appropriate U.S. Government (USG) representatives a written physical security and accountability control plan within 30 days of acceptance of this offer. Inventory and accountability records maintained by the purchaser shall be retained for at least one year and made available for review upon USG request. Upon request, the USG shall be permitted to conduct an inspection and inventory of the devices listed in this offer by serial number every [insert timeframe as specified in the DTSA memorandum (e.g., six months)]. If the DTSA memorandum does not require an inventory, omit this sentence.* In case of the destruction, loss, theft, or unauthorized access of any NVDs listed in this offer, the purchaser agrees to report the incident immediately to the USG. The purchaser agrees to provide a written report with details of the incident within 30 calendar days to the USG. This report will include the steps being taken both to recover the equipment (if applicable) and to prevent recurrence.</p> <p>To assist in the development of purchaser's physical security and accountability control plan, the following minimum measures, are included as recommendations:</p> <p>a. Physical Security:</p> <ol style="list-style-type: none"> 1) When not issued for use, the unit commander will provide NVD controlled-access, double barrier protection. Examples of double barrier protection include: <ol style="list-style-type: none"> a) A locked, built-in or free-standing steel container, which is secured to a locked or guarded building, enclosed van, trailer or armored vehicle; b) A locked steel cage or vault secured in a locked or guarded structure. 2) When in use, individuals issued NVDs will secure the devices and be responsible for maintaining control of the devices at all times. NVDs may be secured inside a locked, enclosed van, trailer, or armored vehicle if these vehicles remain under constant surveillance. <p>b. Accountability:</p> <ol style="list-style-type: none"> 1) While not issued for use, the unit commander or designated representatives will conduct monthly 100% physical count inventories and quarterly 100% inventories by serial number of the NVD. Records of these inventories will be kept for one year. 2) While issued for use, the unit commander or designated representatives will perform a daily visual inventory of the NVD. <p>The Deputy Under Secretary of Defense for Technology Security Protection and Counterproliferation authorized this transfer on [insert date].”</p> <p>*The Deputy Under Secretary of Defense for Technology Security Policy and Counterproliferation will provide specific conditions, which may require changes to the standard note for each NVD transfer. These changes will be incorporated into the LOA note as written in the signed authorization granting the exception to policy.</p>

* The “Note Usage” column of this table is intended to show when the note should be included on an LOA, Amendment, and Modification. This table is NOT intended to show when an Amendment or a Modification should be used. See Chapter 6, section C6.7. for information on determining which document is appropriate.

5. The following paragraphs are added to Chapter 8, "End-Use Monitoring":

C8.3.7. Night Vision Devices (NVDs). For each FMS offer of NVDs, the MILDEP adds a note to the LOA that identifies physical security and accountability requirements. See Chapter 5, Table C5.T5. for exact note wording. Prior to conducting an inventory, the USG representative must ensure that the following requirements are communicated to the host nation normally through the SAO. The SAO is responsible for ensuring that the host nation understands the EUM requirements and is prepared to comply with the following standards upon the arrival of the EUM team:

C8.3.7.1. The host nation must be prepared to show the NVD storage facility to the EUM team and all NVDs must be removed from their containers and ready for inspection.

C8.3.7.2. The host nation must have a copy of its physical security and accountability control plan and inventory documents available for review. If necessary, the host nation should be prepared to brief its physical security and accountability control plan and procedures.

Note: NVD's are considered sensitive, unclassified Significant Military Equipment. In order for the Joint Staff, DTSA and AT&L to properly evaluate an FMS or a FMF funded commercial transfer request, the following information must be included to support the LOR. Below questions are from DSCA policy memorandum dated(03-19) 24 Nov 03.

**Assessment to Transfer Night Vision Devices (NVD)
Required Information
REF LOR/LOA _____**

√ Check the box that best describes this request. Could be more than (1) one box—
 New Case; Increase in Quantity; Increase in Quality

State the NVD type, model, and how many:

NVD ASSESSMENT – REQUIRED INFORMATION	
1.	Provide the reason that the purchaser needs the NVD's. <i>Name/Rank/phone/email:</i> <i>Answer:</i>
2.	The operational plan for use and specific end-users to include: a) Describe the primary mission for the units to receive the NVD. <i>Name/Rank/phone/email:</i> <i>Answer:</i> b) Describe the extent of military interoperability missions/training with U.S. forces. <i>Name/Rank/phone/email:</i> <i>Answer:</i> c) Describe the extent of anti-terrorist missions for the units to receive the NVD. <i>Name/Rank/phone/email:</i> <i>Answer:</i>
3.	Provide written justification for the type & quantity of NVD requested. (This question may require coordination w/ MILDEP for recommended model and quantity). <i>Name/Rank/phone/email:</i> <i>Answer:</i>
4.	Provide assessment of the purchaser's capacity to afford the same degree of security and accountability protection as given by the United States and willingness to accept the NVD physical security and accountability assurance note (SAMM Table C5.T5). <i>Name/Rank/phone/email:</i> <i>Answer:</i>
5	The SAO plan for End-Use-Monitoring and compliance verification
	Additional information in support of the transfer request (e.g., status of previous NVD transfers and results of past U.S. security inspections/inventories.