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Operations Support



**INTERNATIONAL TECHNOLOGY TRANSFER
AND SECURITY CONTROLS**

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OPR: SAF/IADM (Mr James H. Wiccarver)

Certified by: SAF/IAD (Col Douglas M. Smith)

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The Air Force identifies and continually evaluates technology critical to the warfighting success of its mission, for its criticality, and to protect from exploitation and or export to unauthorized recipients. The Air Force continuously reviews critical technologies, international export policies and procedures to protect warfighting technology and to identify technology that is no longer critical to our nation's security, economic, and political interests.

This directive implements DoD 2040.2, International Transfers of Technology, Goods, Services, and Munitions, the Export Administration Act (EAA) of 1979 as amended (Public Law 96-72), and the Arms Export Control Act (AECA) as amended (Public Law 94-329). This directive applies to the commercial export of defense articles and services, classified military information, dual use technology, and to technical data as described in the International Traffic in Arms Regulation (ITAR). (**Note:** Exports of US classified military information must comply with the National Policy and Procedures for the Disclosure of classified military Information to Foreign Governments and International Organizations (NDP-1.) This directive also applies to unclassified information containing distribution statements B,C,D,E,F, or X as defined in AFI 61-204, Disseminating Scientific and Technical Information.

1. Responsibilities and Authorities:

- 1.1. The Deputy Under Secretary of the Air Force (International Affairs) (SAF/IA) oversees and advocates Air Force international programs and policies.
- 1.2. The Chief, Disclosure Division, Deputy Under Secretary of the Air Force, International Affairs (SAF/IAD) develops and manages the Air Force foreign disclosure program.
- 1.3. The Munitions and Export Control Branch (SAF/IADM) manages and implements the identification, evaluation, and commercial export control of Air Force technologies that are critical to the Air Force mission. SAF/IADM develops the final Air Force position on international technology transfer licenses, procedures, and exportability of specific technology.

1.4. The Munitions and Export Control Branch (SAF/IADM) represents the U.S. Air Force in the negotiation of DoD/US Government positions on the Militarily Critical Technologies List and related export policies and procedures at US and international forums.

1.5. The Air Force Directorate for Science and Technology (SAF/AQT) provides SAF/IADM technical and policy guidance on technology concerns as they relate to International Technology Transfer control policies.

1.6. The Air Force Laboratories provide technical assistance to SAF/IADM in the form of technical reviews, evaluations, and technical input on the release of technology, technical data, information, and end items to foreign countries.

ROBERT D. BAUERLEIN

Deputy Under Secretary of the Air Force (International Affairs)

Attachment 1

MEASURING AND DISPLAYING COMPLIANCE WITH POLICY

A1.1. SAF/IAD will measure compliance with Technology Transfer policies by analyzing statistical data maintained on all technology referred to Air Force by DoD, comparing technology released with the Technology Control criteria established by the: Arms Export Control Act (as amended), Export Administration Act (EAA), and the International Traffic in Arms Regulation (ITAR), which implements the AECA, and as further directed by DoD 2040.2, *International Transfers of Technology, Goods, Services, and Munitions*.

A1.2. Each year SAF/IAD will measure the total number and types of deviations from technology transfer control criteria in four technology areas. These areas of technology are: electronic systems, propulsion systems, reconnaissance systems, and space systems.

A1.3. The measurement of overall compliance with Technology Transfer controls is how well export license applications have met the established Technology Transfer criteria. One or more deviations per license application will be recorded as only one error on the metric scale in one of the four technology areas. The reason for counting one or more errors as a single deviation is because a single error could possibly result in related errors within the same license application.

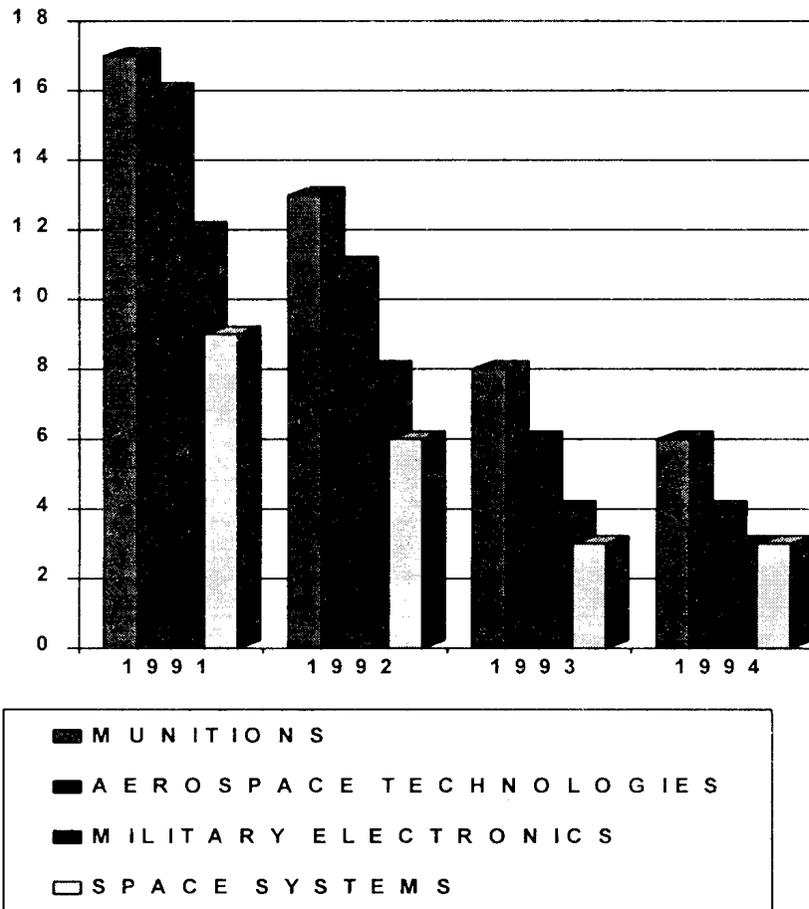
A1.3.1. The total errors in each category when recorded and compared over a four year period will help identify weaknesses in application of technology guidelines between technology areas, the strength or weaknesses in technology guidance criteria, and possible strength or weaknesses in the action officers assigned to the specific technological area.

A1.3.2. Statistical results will help identify measures needed to reduce deviations to technology criteria and ensure protection of critical militarily related technology while at the same time assuring unnecessary and burdensome controls are eliminated from non-critical militarily related technology.

Figure A1.1. Sample Metric of Casework Deviations from Technology Guidelines.

Casework Deviations From Technology Transfer Control Guidelines

Desired Trend



Based upon Technology Transfer Guidelines

Attachment 2

RELATED POLICIES AND INSTRUCTIONS

A2.1. This policy implements the following DOD publication:

DOD 2040.2, *International Transfers of Technology Goods, Services, and Munitions*, January 17, 1984

A2.2. This policy interfaces with the following publications:

Publication Number, Title, Date

NDP-1, *National Disclosure Policy*, October 1, 1988

DOD 5120.49, *DoD International Technology Transfer Coordinating Committee*, March 14, 1990

DOD 5200.1-R, *Information Security Program*, June 7, 1982

DOD-D 5000.1, *Defense Acquisition Regulation*, February 23, 1991

DOD 5200.1-M, *Acquisition Systems Protection Program*, March 16, 1994

DoD-D 5230.11, *Disclosure of Classified Military Information to Foreign Governments and International Organizations*, June 16, 1992

PC-1830-14-93, *Foreign Interests in US Critical Technologies Matrix (U) (SECRET/NOFORN/WNIN-TEL/NOCONTRACT)*, Nov. 1993

National Industrial Security Program Operating Manual, January 1995

DOD-D 5230.23, *Intelligence Disclosure Policy*, Nov. 18, 1983

DOD-D 5230.24, *Distribution Statements on Technical Documents*, March 18, 1987

DOD-D 5230.25, *Withholding of Unclassified Technical Data from Public Disclosure*, Nov. 6, 1984

AFPD 16-1, *International Affairs*, August 16, 1993

AFPD 16-2, *Disclosure of Military Information to Foreign Governments and International Organizations*, Sept. 10, 1993

AFPD 51-701, *Negotiating, Concluding, Reporting and Maintaining International Agreements*, May 6, 1994

AFPD 61-1, *Management of Science and Technology*, Aug. 31, 1993

AFPD 61-2, *Management of Scientific and Technical Information*, April 7, 1993