

SAMPLE TECHNOLOGY ASSESSMENT/CONTROL PLAN

TECHNOLOGY ASSESSMENT/CONTROL PLAN

For The

[Option 1: The TA/CP can be used for a Memorandum of Agreement (MOA) or a Memorandum of Understanding (MOU) pursuant to DoD Directive 5530.3 or for a Program Protection Plan (PPP) related to an acquisition program pursuant to DoD Directive 5200.39; insert the appropriate item, e.g., Memorandum of Agreement or Program Protection Plan.]

[Option 2: If the TA/CP is for a bilateral MOA/MOU program, insert *Between*; if it is for a multi-national MOA/MOU program, insert *Among*; go to Option 3. If TA/CP is for a PPP, insert *To Support The* and skip to Option 5]

[Option 3: Insert the appropriate U.S. governmental organization; e.g., The Department of the Navy of the United States of America, The Department of Defense of the United States of America]

And

[Option 4: Insert the organizations of the other participating governments, e.g., Ministry of Defense of the Kingdom of Norway]

For The

[Optional 5: Insert the name of the system or program; e.g., F/A-18 Advanced Radar Development Program]

The purpose of this Technology Assessment/Control Plan (TA/CP) is to assess the impact of sharing classified and controlled unclassified information (CUI) related to the **[Option: Insert the name of the system or program; e.g., F/A-18 Advanced Radar Development Program (ARDP)]** with the **[Option: Insert *government* or *governments*, as applicable]** of **[Option: Insert the names and abbreviations of the participating government(s); e.g., Norway (GON)]**. It also describes security measures and information control procedures that will be adopted for the program. For the purposes of this TA/CP, CUI is unclassified information subject to export controls and other information of a confidential nature, not approved for release to the public, and to be treated in confidence.

I. PROGRAM CONCEPT

[Option 1, Co-Production/Loan/Lease MOA or MOU: Succinctly summarize the type of initiative to be pursued (e.g., co-production), identify the hardware and any software and technology to be provided and describe its military use, including the threat it is designed to counter and/or technological need that led to its development and production. Do not elaborate; the details are to be provided later in the assessment.]

[Option 2, Cooperative Acquisition Program: Succinctly summarize the type of initiative to be pursued (e.g., cooperative development and production), identify the materiel solution to be pursued or item to be developed, and describe the mission need, technological requirement, and/or threat for which it is to be developed. This information should be available in the Mission Need Statement, the Operational Requirements Document, or other documentation that describes and justifies the requirement. Do not elaborate; the details are to be provided later in the assessment.]

[Option 3, Cooperative Research and Development Program: Succinctly summarize the purpose of the cooperative R&D initiative in terms of the operational and/or technological objective to be achieved and the threat or other documented requirement that justifies the initiative. Do not elaborate; the details are to be provided later in the assessment.]

II. NATURE AND SCOPE OF THE EFFORT

A. Nature and Scope:

Disclaimer: This document is provided to students of the IPSR Course as a sample document of a technology assessment/control plan for educational purposes only.

[Option 1, Co-production/Loan/Lease MOA or MOU: Briefly describe the parameters of the initiative. For example, “The GON will purchase the improved, block 3 version of the F/A-18 radar direct from the U.S. manufacturer, Lockheed-Martin. However, the programming of the radar is to be conducted at China Lake under the Foreign Military Sales (FMS) program, because of the sensitivity of the threat data and related source codes.”]

[Option 2, Cooperative Acquisition Program: Briefly describe the parameters of the initiative. For example, “The DON and the GON Royal Navy have signed a Letter of Intent concerning the cooperative development and production of an advanced radar for the F/A-18 which will counter the threat described in part 1, above. Work and cost share, technology sharing, use, and technology transfer and third-party sales will be covered in the program MOA.”]

[Option 3, Cooperative Research and Development Program: Briefly describe the parameters of the initiative. For example, “The DON and the GON Royal Navy have identified the need for an improved F/A-18 radar to counter the threat described in part 1, above. They have agreed to discuss the negotiation of a MOA for exploratory research and concept studies leading to the cooperative development of a prototype radar. If the concept studies achieve the desired results, a new MOA will be negotiated for the joint development and production of the radar. A key issue in the negotiations is subsequent use of the technology that is developed in the program and sales to third parties. The phasing of the effort is described below.”]

B. Countries Participating: The United States and [Option: Insert the participating government(s)]

C. Program Phases:

[Option 1: If the program is not phased, so state.]

[Option 2: The program is organized into the following phases: (list the phases and describe the activity that is to take place during each of the phases). If the TA/CP is for an acquisition program, and decisions on foreign involvement are to be phased, with decisions made at the milestone decision points, or interim decision points, so state, and describe

the entry or exit criteria that must be considered at each point in making decisions on foreign involvement.]

D. Summary of Projected Benefits: The benefits to accrue to the United States from this initiative are:

(1) Military. **[Option: Describe the military/operational benefits to accrue to the United States; if there are none, so state.]**

(2) Political. **[Option: Describe the political benefits to accrue to the United States; if there are none, so state.]**

(3) Technological. **[Option: Describe the technological benefits to accrue to the United States; if there are none, so state.]**

(4) Economic. **[Option: Describe the economic benefits to accrue to the United States; if there are none, so state.]**

E. Points of Contact:

<u>Name</u>	<u>Organization</u>	<u>Telephone</u>	<u>e-Mail</u>
Program Manager			
Technology Expert			
Security Expert			
Disclosure Expert			

F. Major Milestones:

[Option: Describe any stages or events (milestones) during the initiative when progress will be reviewed and which will necessitate a review of the TA/CP. For FMS programs, phases rarely will be an issue. Cooperative acquisition programs will be phased according to DoD Instruction 5000.2, and security and disclosure issues should be reviewed at each milestone review; therefore, the specific security and disclosure issues requiring review should be identified in Sections 3 and 4, below. Cooperative R&D programs may or may not be phased, depending on the

objectives and organization of the program. If there are no phases, so state.]

III. TECHNOLOGY ASSESSMENT

A. Sensitive Technical Data/Technologies:

[Option: Describe the hardware, software, technical data and technologies or processes (classified and unclassified) that provide the desired system capabilities, and which, if known to potential adversaries, would give them the capability to neutralize, counter, or copy the U.S. system. If the TA/CP is to be prepared for a cooperative acquisition or cooperative R&D program, also describe any information that would give a potential adversary the capability to take action to disrupt or cause a change in the course of the program. Information that reveals program or system vulnerabilities and susceptibilities should be included. The Militarily Critical Technologies List (MCTL) may be used as a baseline for identifying the technical data and technologies, but should not be the sole basis for deciding what data and technologies need to be protected. If the required information is not fully known during the early stages of an initiative (e.g., cooperative research and development, when exploratory research is being pursued), describe the technology area based on the MCTL and the nature of capability to be achieved by the effort in terms of its contribution to military operational use. Program scientists and engineers should provide most of the input for this item.]

B. Susceptibility to Exploitation:

[Option: Indicate the susceptibility of any U.S. hardware, software, or technology that is provided to diversion, exploitation and reverse engineering, the capability and likelihood of the participating country(ies) and others to exploit the susceptibilities, and the capability of the participating country(ies) and others to benefit from exploiting the susceptibilities. Program scientists and engineers should provide this information.]

C. Classification/NDP Category:

[The information required is the list of the information/technology to be provided that resulted from subparagraph A., above, and menus that list the eight NDP categories (with definitions) and the three classification

levels. The text would look something like the following. The input on classified information will come from the classification guide for the program; information on CUI will come from program scientists and engineers and any contractors that may be involved.]

<u>Technical Data/Technology</u>	<u>NDP Category</u>	<u>Classification</u>
1. Framistan injection	3	Secret

D. Comparable Foreign Systems:

[Option: If a system or hardware/software is involved (e.g., as in the case of co-production), provide an assessment of foreign systems that have essentially comparable capabilities, including information on the capabilities and susceptibilities and vulnerabilities of the foreign systems and the level of technology involved. If a system is not involved (e.g., as in the case of cooperative research and development), provide an assessment of the status of the participating countries' and other countries' capabilities with respect to comparable technologies, R&D capabilities, and production processes in relation to that of the United States. Identify the source of the information that is provided. This information should be available from participation in Data Exchange Agreements (DEAs) and Information Exchange Programs (IEPs), from program scientists and engineers, and from the intelligence community.]

E. Prior Disclosures:

[Option: Identify any previous disclosures to foreign entities, via U.S. Government or commercial programs (sales, co-production, cooperative R&D, information exchange program, personnel exchange program, etc.), of comparable systems or technologies. This information should be available from the Foreign Disclosure System (FDS) on the Security Policy Automation Network (SPAN) and from records maintained for projects under such cooperative R&D programs as DEAs, IEPs, and The Technical Cooperation Program (TTCP).]

F. Impact on U.S./Foreign Military Capability:

[Options:

(1) U.S. Military Capability: Identify the specific expected foreign contributions to the initiative. Describe advances in U.S. military capability or contributions to the U.S. technology base that will result from the foreign contributions to the initiative. The sponsor of the initiative should provide this information.

(2) Foreign Military Capability: Identify the specific U.S. contributions to the initiative. Describe the advances to the military capabilities of the other country(ies) or the advances to their technology base as the result of the U.S. contributions. The sponsor of the initiative should provide this information.]

G. Risk of Compromise:

[Option: Describe the risks of possible compromise of the U.S. hardware, software, technical data, or technologies that are to be provided. The risks are to be based on validated intelligence threat information, the results of National Disclosure Policy Committee on-site surveys, and empirical data resulting from past dealings with the proposed participating foreign country(ies); the source material is to be identified. The assessment must cover an evaluation of the effectiveness of the other country's(ies') information and industrial security programs, their export control program, and their record of compliance with their own security and export control programs.]

H. Damage:

[Option: Describe the damage to U.S. military capabilities and the U.S. technology base that would result from any loss or compromise of the U.S. hardware, software, technical data or technologies to be provided under the initiative. This assessment is to be made without reference to the intended foreign participant (s) or their security or export control programs. The purpose of this paragraph is to place a value on the U.S. contribution to the program. If it is to be stated that no damage will result from the initiative, the reason(s) for such response will be provided. The program manager and Component operational personnel should provide this information.]

I. Conclusions:

[Option: Drawing on the responses in subparagraphs A through H, above, summarize the hardware, software, technical data, and/or technology to be provided for the type initiative that is to be pursued (as described in Sections 1 and 2, above) and the impact of permitting foreign involvement or access to the hardware, software, technical data, or technology. The description must summarize both the advantages and disadvantages of the foreign involvement or access, taking into consideration the risks and damage described in subparagraphs G and H, above. This summary must support the security and control measures described in the Control Plan in Section IV, below.]

IV. CONTROL PLAN

A. Hardware and/or Information to be Released:

[Option: Describe the specific hardware, software, technical data, and/or technologies recommended for release. If any items are to be released in modified form, so specify.]

B. Phased Releases:

[Option: Describe specific hardware, software, technical data, or technologies (as listed in subparagraph A, above), to be released pursuant to the phases described in Section 2, above.]

C. Restricted Releases:

[Option: Describe specific hardware, software, technical data, or technologies specifically excluded from release. These items may be re-evaluated at specified decision points in the initiative; procedures for such re-evaluations should be described.]

D. Release Procedures:

[Option: Describe the procedures for releasing/transferring hardware, software, technical data, and technologies. The procedures must identify the transfer channels, marking, packaging, points of contact and receipts, and must be consistent with DoD 5200.1-R and, for contractors, the National Industrial Security Operating Manual (NISPOM). If a Program Security Instruction (PSI) is to be prepared, the details may be deferred to that document. The procedures must cover procedures for

approving disclosures during visits by DoD personnel overseas. For DoD personnel, such procedures must be consistent with DoD Directives 4500.54 and 5230.11; contractors will comply with the International Traffic in Arms Regulations and the NISPOM.]

E. Access Control Procedures:

[Option: Describe the procedures to be adopted for controlling access to information and work areas by foreign national visitors, exchange personnel and liaison officers who may be involved in the program. The procedures must be consistent with DoD Directive 5230.20 and the NISPOM (for contractors). If a PSI is to be prepared, the requirements may be summarized in this section and the details may be placed in the PSI]