



DEFENSE SECURITY COOPERATION AGENCY

2800 DEFENSE PENTAGON
WASHINGTON, D.C. 20301-2800

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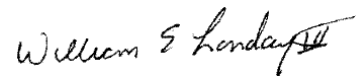
MEMORANDUM FOR THE DEPUTY UNDER SECRETARY OF THE AIR FORCE FOR
INTERNATIONAL AFFAIRS
DEPUTY ASSISTANT SECRETARY OF THE ARMY FOR
DEFENSE EXPORTS AND COOPERATION
DEPUTY ASSISTANT SECRETARY OF THE NAVY FOR
INTERNATIONAL PROGRAMS
DIRECTOR, DEFENSE CONTRACT MANAGEMENT AGENCY
DIRECTOR FOR SECURITY ASSISTANCE, DEFENSE FINANCE
AND ACCOUNTING SERVICE – INDIANAPOLIS OPERATIONS
DIRECTOR, DEFENSE INFORMATION SYSTEMS AGENCY
DIRECTOR, DEFENSE LOGISTICS AGENCY
DIRECTOR, DEFENSE LOGISTICS INFORMATION SERVICE
DIRECTOR, DEFENSE LOGISTICS AGENCY DISPOSITION
SERVICES
DIRECTOR, DEFENSE THREAT REDUCTION AGENCY
DIRECTOR, NATIONAL GEOSPATIAL – INTELLIGENCE
AGENCY
DEPUTY DIRECTOR FOR INFORMATION ASSURANCE,
NATIONAL SECURITY AGENCY

SUBJECT: Pre-Letter of Request (LOR) Requirements for Missile Technology Control Regime (MTCR) Category I Intelligence, Surveillance, and Reconnaissance (ISR) Unmanned Aerial Vehicles (UAVs) and Unmanned Combat Aerial Vehicles (UCAVs), DSCA Policy 11-11

As an adherent to the Missile Technology Control Regime, U.S. Government policy stipulates a “strong presumption to deny” the transfer of MTCR Category I ISR UAVs/UCAVs. If the Security Cooperation Organization (SCO) becomes aware that the host country is considering submission of an LOR for a MTCR Category I ISR UAV or UCAV, prior to development and submission of an LOR for such a system, the SCO should initiate a Security Cooperation Organization Assessment (SCOA) as directed in the attachment. This information initiates and informs an inter-agency process to analyze the recipient nation’s military requirements in order to identify a platform/payload combination that fulfills those requirements and complies with the MTCR and other USG security requirements.

This policy is effective immediately. The contents of the memo describing the process will be integrated into the Security Assistance Management Manual (SAMM) in the course of its revision.

For questions concerning this policy, please contact Al Harms, PGM/WPN, at alan.harms@dca.mil or (703) 601-3723. For general questions concerning the SAMM, please contact Mike Slack, STR/POL, michael.slack@dca.mil or (703) 601-3842. Implementing Agencies should ensure dissemination to supporting activities. Updates to the SAMM are posted regularly at www.dca.mil/SAMM/.



William E. Landay III
Vice Admiral, USN
Director

Attachment:
As stated

cc:

STATE/PM-RSAT
AFRICOM
CENTCOM
EUCOM
JFCOM
NORTHCOM
PACOM
SOCOM
SOUTHCOM
TRANSCOM
USASAC
SATFA TRADOC
NAVICP
NETSAFA
AFSAC
AFSAT
DISAM

Defense Security Cooperation Policy Memorandum 11-11

Pre-Letter of Request (LOR) Requirements Analysis and Screening for Missile Technology Control Regime (MTCR) Category I Intelligence, Surveillance, and Reconnaissance (ISR) Unmanned Aerial Vehicles (UAVs) and Unmanned Combat Aerial Vehicles (UCAVs)

U.S. Government policy stipulates a “strong presumption to deny” the transfer of MTCR Category I ISR UAVs/UCAVs. If the Security Cooperation Organization (SCO) becomes aware that the host country is considering submission of an LOR for an MTCR Category I ISR UAV or UCAV prior to development and submission of an LOR for such a system, the SCO should initiate a requirements analysis and pre-screening. This process begins with a Security Cooperation Organization Assessment (SCOA) providing all elements of information in the Table below. In the preparation of the SCOA, the SCO should consult and confer with the Implementing Agencies, including the Implementing Agency’s Foreign Disclosure Office; the Country Team; and, the COCOM. When complete, the SCOA will be forwarded to the COCOM. The COCOM will comment on each of elements 1-17 addressed in the SCOA in a subsequent COCOM Comment (CC). The SCOA and the CC should be forwarded to the Joint Staff/J5 and DSCA. This process forms the basis for a collaborative effort, to analyze the recipient nation’s military requirements in order to identify a platform/payload combination (manned aircraft, Cat II UAV/UCAV, or Cat I UAV/UCAV) that fulfills those requirements and complies with the MTCR and other USG security requirements.

Security Cooperation Organization Assessment for MTCR Cat I ISR UAV/UCAV - Required Information	
1	What are the military requirements and operational intentions or plans for the ISR UAV/UCAV that might be requested, to include: <ul style="list-style-type: none">a. Description of the primary mission and secondary missions for the ISR UAV/UCAV?b. Extent of anti-terrorist, border patrol/ coast guard, and/or humanitarian missions for the UAV/UCAV(s) endorsed.
2	Specify performance characteristics of the desired air vehicle in terms of range (km), payload (kg), payload performance parameters or desired capabilities, altitude ceiling (ft), flight endurance (hrs). <ul style="list-style-type: none">a. Are there any desired modifications or changes to the basic configuration for the desired air vehicle or payload?
3	How the ISR UAV or UCAV would affect the military capabilities of the proposed recipient, including the ability of the recipient effectively to field, support, and appropriately employ the system in accordance with its intended end-use.

Security Cooperation Organization Assessment for MTCR Cat I ISR UAV/UCAV - Required Information	
4	How the ISR UAV or UCAV would contribute to U.S. strategic and foreign policy goals.
5	<p>Justification for number and type of ISR UAV/UCAV that might be requested with an explanation of how the quantity endorsed is the minimum required consistent with the legitimate military requirements of the recipient.</p> <p>a. What is the estimated or approximate monthly number of sorties and flight hours?</p> <p>b. Where will the ISR UAV/UCAVs be based?</p>
6	<p>What are the communications resources that the recipient nation would utilize to support its ISR UAV/UCAV flight operations?</p> <p>a. Does the recipient nation require beyond line-of-sight flight operations?</p> <p>b. Will air-ground communications and/or data transfer require encryption?</p>
7	If applicable, would the ISR UAV/UCAV fulfill or contribute to NATO force goals?
8	Explain why an MTCR Category I ISR UAV or UCAV would fulfill the requirements and a manned aircraft or non-MTCR Category 1 ISR UAV or UCAV cannot.
9	Is this the first introduction of this system/capability to the recipient/region?
10	Anticipated reactions of neighboring nations to the introduction of the ISR UAV/UCAV capability into the region.
11	Analysis of how the proposed sale would affect the relative military strengths of countries in the region and of the impact of the proposed sale on U.S. relations with the countries in the region.
12	Extent of military interoperability missions/training with U.S. Forces?
13	The availability of comparable systems from foreign suppliers.
14	<p>Assessment of the nation's ability to account for, safeguard, operate, maintain, and support the ISR UAV or UCAV.</p> <p>a. What is the nation's maintenance concept? Two level? Three level?</p> <p>b. Does the nation expect it will provide depot level repair or will it elect contractor provided depot level maintenance?</p> <p>c. What level of repairable stocks does the nation anticipate it will require?</p>
15	A plan for end-use monitoring for sensitive and advanced war fighting technology and the SCO's plan for compliance verification.

**Security Cooperation Organization Assessment for MTCR Cat I ISR UAV/UCAV -
Required Information**

16	<p>Training required either in-country or in the United States and anticipated reactions resulting from the presence of U.S. trainers in-country.</p> <ol style="list-style-type: none"> a. How many pilots, sensor operators, and maintainers will it need to be trained either in-country or in the U.S.? b. Approximately when, if elected, the nation needs to commence/end U.S.-based training? c. Will the nation need in-country flight simulators? If so, how many? d. Will the nation need to participate in related USAF/ISN UAV user-groups, forums, or other USAF/USN programs concurrent with adopting a U.S. UAV.
17	<p>Possible impact of any in-country U.S. presence that might be required as a result of providing the ISR UAV or UCAV.</p>
18	<p>Is the potential recipient a:</p> <ol style="list-style-type: none"> a. Member of NATO? b. MTCR Partner? c. Signatory to the Nuclear Non-Proliferation Treaty? d. Signatory to the Chemical Warfare Convention? e. Signatory to the Biological Weapons Convention?
19	<p>Has the SCO consulted with the Foreign Disclosure Office of the FMS Implementing Agency regarding the need for disclosure of information actions in regard to a potential transfer of a Category I ISR UAV/UCAV? Yes/No</p>
20	<p>Any additional information in support of, or that would recommend against, the transfer request.</p>