



Department of Defense **DIRECTIVE**

NUMBER 5111.21

October 14, 2014

Incorporating Change 1, Effective July 14, 2020

USD(P)

SUBJECT: Arms Transfer and Technology Release Senior Steering Group and Technology Security and Foreign Disclosure Office

References: See Enclosure 1

1. PURPOSE. This directive establishes policy, assigns responsibilities, and describes authorities of the Arms Transfer and Technology Release Senior Steering Group (ATTR SSG) and the Technology Security and Foreign Disclosure Office (TSFDO) in accordance with the guidance in the Deputy Secretary of Defense Memorandum (Reference (a)).
2. APPLICABILITY. This directive applies to the OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff (CJCS) and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this directive as the “DoD Components”).
3. POLICY. It is DoD policy to make timely decisions that advance U.S. political-military objectives by building the capacities of allies and partners while maintaining U.S. operational and technological advantages and protecting critical technology from diversion to potential adversaries. To ensure these priorities are met, DoD has established the ATTR SSG (see Enclosure 2) and the TSFDO (see Enclosure 3).
4. RESPONSIBILITIES. See Enclosure 4.
5. RELEASABILITY. **Cleared for public release.** This directive is available on the Directives Division Website at <https://www.esd.whs.mil/DD/>.

6. SUMMARY OF CHANGE 1. The change to this issuance updates references and organizational titles and removes expiration language in accordance with current Chief Management Officer of the Department of Defense direction.

7. EFFECTIVE DATE. This directive is effective October 14, 2014.

A handwritten signature in black ink, appearing to read "R. Work", is positioned above the printed name. The signature is somewhat stylized and overlaps with the printed text below it.

Robert O. Work
Deputy Secretary of Defense

Enclosures

1. References
2. ATTR SSG
3. TSFDO
4. Responsibilities

Glossary

ENCLOSURE 1

REFERENCES

- (a) Deputy Secretary of Defense Memorandum, “Establishment of Department of Defense Senior Steering Group (SSG) on Arms Transfer and Technology Release,” August 11, 2008
- (b) National Disclosure Policy – 1, “National Policy and Procedures for the Disclosure of Classified Military Information to Foreign Governments and International Organizations,” October 1, 1988

ENCLOSURE 2

ATTR SSG

1. MISSION. Consistent with U.S. policy and national security objectives, the ATTR SSG provides guidance and direction to DoD's technology security and foreign disclosure (TSFD) processes to support the protection of critical U.S. technologies and to ensure that release considerations are balanced with building allied and partner-nation capability objectives.

2. ATTR SSG OPERATIONS

a. The ATTR SSG is co-chaired by the Under Secretary of Defense for Policy (USD(P)) and the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)).

b. The Director, Defense Technology Security Administration (DTSA), and the Director, International Cooperation (IC), Office of the USD(AT&L), are the co-executive Secretaries. They consult with each other on guidance and direction to the TSFDO.

3. ATTR SSG MEMBERSHIP

a. Co-chairs:

(1) USD(P).

(2) USD(AT&L).

b. Members:

(1) Under Secretary of Defense for Intelligence and Security (USD(I&S)).

(2) CJCS.

(3) Secretaries of the Military Departments.

(4) Department of Defense Chief Information Officer (DoD CIO).

(5) General Counsel of the Department of Defense.

(6) Director, National Security Agency/Chief, Central Security Service (DIRNSA/CHCSS).

(7) Director, Defense Security Cooperation Agency (DSCA).

- (8) Director, National Geospatial-Intelligence Agency (NGA).
- (9) Director, DTSA.
- (10) Director, Special Programs, Office of the USD(AT&L).
- (11) Director, IC, Office of the USD(AT&L).
- (12) Executive Director, National Disclosure Policy Committee (NDPC).
- (13) Other representatives (by invitation).

c. Observers:

- (1) Assistant Secretary of State for Political-Military Affairs, Department of State.
- (2) Interagency representatives (by invitation).
- (3) Other representatives (by invitation).

4. FUNCTIONS. The ATTR SSG will:

a. Ensure that senior-level DoD direction is provided and addressed during the course of TSFD reviews by:

(1) Making TSFD release considerations an inherent part of initial discussions regarding arms transfers and foreign disclosures affecting DoD stakeholders, particularly those of great importance to DoD senior leadership.

(2) Ensuring DoD Components provide all key DoD stakeholders visibility into select high priority export proposals and priority technology security and foreign disclosure reviews (PTRs).

(3) Providing a forum to balance the protection of critical technologies with building partner capacity.

(4) Issuing releases in principle (RIP), anticipatory policies, and PTR closure documents to consolidate TSFD process decisions.

(5) Ensuring TSFD process owners and implementing agencies coordinate openly with each other when reviewing PTR release requests.

(6) Providing executive-level guidance to the TSFD process authorities described in this directive.

b. Function as the DoD appeals board and mediation body for TSFD processes (except for disclosures with the authority of the NDPC pursuant to the National Disclosure Policy (Reference (b))) when TSFD stakeholders are unable to achieve consensus on proposed release decisions that affect DoD interests.

(1) Where Under Secretary-level consensus cannot be reached in the ATTR SSG by the members, the ATTR SSG co-chairs will raise the issue for review by the Secretary or Deputy Secretary of Defense.

(2) The NDPC will follow its appeals process as described in Reference (b).

c. Provide a forum for discussion and for developing recommendations for improvements to relevant U.S. Government and DoD arms transfer processes.

d. Establish task-focused teams made up of experts from relevant stakeholders on actionable matters of interest to the ATTR SSG.

e. Provide direction to the TSFDO in its role as the Executive Secretariat for the ATTR SSG.

ENCLOSURE 3

TSFDO

1. MISSION. The TSFDO is the Executive Secretariat to the ATTR SSG. It facilitates the coordination and synchronization of release requests of high importance to DoD. It facilitates these requests through the TSFD processes to ensure transparency and timely, well-informed guidance and decisions on technology or information transfers.

2. TSFDO OPERATIONS. The TSFDO will reside in DTSA. For operational and administrative matters, the TSFDO will report to and be provided day-to-day guidance by the Director, DTSA.

3. FUNCTIONS. The TSFDO will:
 - a. Serve as the ATTR SSG Executive Secretariat.

 - b. Develop, obtain ATTR SSG approval of, and maintain all ATTR SSG policies and procedures.

 - c. Consult with DoD TSFD authorities to ensure their existing processes inform and facilitate release requests.

 - d. Assess and, where applicable, recommend changes to existing DoD TSFD policies and processes for ATTR SSG consideration.

 - e. Develop, maintain, and implement TSFD checklists that provide guidance to the DoD TSFD community on how to staff release requests through the TSFD processes.

 - f. Screen, triage, and track designated PTRs and other high-visibility cases.

 - g. As required, develop and coordinate deliberative documents that appeal TSFD release decisions. Such documents should address points of contention or disparate positions among TSFD release authorities.

 - h. As required, coordinate and develop RIP documentation for TSFD release requests, which will incorporate assessments of technical and programmatic issues and analyses of opportunities to build partner capacity as they relate to DoD policies.

 - i. Process electronic warfare waiver requests.

j. As directed by the ATTR SSG, develop and publish ATTR SSG documents, including anticipatory policies that reflect, inform, or represent TSFD release decisions for PTRs or other potential high-visibility cases.

k. Develop and maintain a secure ATTR SSG website to host information on ATTR SSG-related activities, anticipatory policies, and electronic warfare waivers.

l. Conduct ATTR SSG-authorized TSFD outreach efforts and continually engage with the DoD TSFD community to keep abreast of TSFD release considerations.

m. Perform other duties, as assigned by the ATTR SSG.

ENCLOSURE 4
RESPONSIBILITIES

1. USD(P). The USD(P):

a. In conjunction with the USD(AT&L), co-chairs the ATTR SSG. USD(P) may delegate co-chairmanship.

b. Oversees the development and implementation of ATTR SSG initiatives and efforts, and coordinates with the USD(AT&L) on DoD TSFD recommendations to the Secretary and Deputy Secretary of Defense.

c. Provides personnel to the TSFDO.

2. DIRECTOR, DSCA. Under the authority, direction, and control of the USD(P), the Director, DSCA:

a. Participates in the ATTR SSG, assists in the development and implementation of ATTR SSG initiatives and efforts, and coordinates with the ATTR SSG on DoD TSFD recommendations.

b. Coordinates relevant security cooperation- and security assistance-related TSFD activities with the TSFDO.

3. DIRECTOR, DTSA. Under the authority, direction, and control of the USD(P), the Director, DTSA:

a. Serves as co-executive Secretary to the ATTR SSG, along with the Director, IC.

b. Helps develop and implement ATTR SSG initiatives and efforts, and coordinates with the ATTR SSG on DoD TSFD recommendations.

c. Participates in ATTR SSG discussions involving the consolidation and streamlining of TSFD processes, where appropriate.

d. In consultation with the Director, IC, provides guidance and direction to the TSFDO.

e. Provides administrative support to, and working spaces for, the TSFDO.

4. USD(AT&L). The USD(AT&L):

- a. In conjunction with the USD(P), co-chairs the ATTR SSG. USD(AT&L) may delegate co-chairmanship.
- b. Oversees the development and implementation of ATTR SSG initiatives and efforts, and coordinates with the USD(P) on DoD TSFD recommendations to the Secretary and Deputy Secretary of Defense.
- c. Provides personnel to the TSFDO.

5. DIRECTOR, IC. Under the authority, direction, and control of the USD(AT&L), the Director, IC:

- a. Serves as co-executive Secretary to the ATTR SSG, along with the Director, DTSA.
- b. Helps develop and implement ATTR SSG initiatives and efforts, and coordinates with the ATTR SSG on DoD TSFD recommendations.
- c. Participates in ATTR SSG discussions involving the consolidation and streamlining of TSFD processes, where appropriate.
- d. In consultation with the Director, DTSA, provides strategic guidance and direction to the TSFDO.

6. USD(I&S). The USD(I&S):

- a. Participates in the ATTR SSG, helps develop and implement ATTR SSG initiatives and efforts, and coordinates with the ATTR SSG on DoD TSFD recommendations.
- b. Provides the ATTR SSG with assessments and considerations relevant to the intelligence, counterintelligence, and security aspects of TSFD activities.
- c. Harmonizes and synchronizes, where possible, intelligence community release and disclosure considerations with DoD TSFD considerations.
- d. Participates in ATTR SSG discussions involving the consolidation and streamlining of TSFD processes, where appropriate.

7. DIRNSA/CHCSS. Under the authority, direction, and control of the USD(I&S), the DIRNSA/CHCSS:

- a. Participates in the ATTR SSG, helps develop and implement ATTR SSG initiatives and efforts, and coordinates with the ATTR SSG on DoD TSFD recommendations.
- b. Participates in ATTR SSG discussions involving the consolidation and streamlining of TSFD processes, where appropriate.
- c. Coordinates relevant National Security Agency-related activities with the TSFDO.
- d. Provides SIGINT and information assurance-related disclosure and release support to the TSFDO, as necessary.

8. DIRECTOR, NGA. Under the authority, direction, and control of the USD(I&S), the Director, NGA:

- a. Participates in the ATTR SSG, helps develop and implement ATTR SSG initiatives and efforts, and coordinates with the ATTR SSG on DoD TSFD recommendations.
- b. Participates in ATTR SSG discussions involving the consolidation and streamlining of TSFD processes, where appropriate.
- c. Coordinates relevant NGA-related TSFD activities with the TSFDO.
- d. Provides GEOINT-related disclosure and release support to the TSFDO as necessary.

9. DoD CIO. The DoD CIO:

- a. Participates in the ATTR SSG, helps develop and implement ATTR SSG initiatives and efforts, and coordinates with the ATTR SSG on DoD TSFD recommendations.
- b. Participates in ATTR SSG discussions involving the consolidation and streamlining of TSFD processes, where appropriate.
- c. Coordinates relevant DoD CIO-related TSFD activities with the TSFDO.

10. GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE. The General Counsel of DoD participates in the ATTR SSG, helps develop and implement ATTR SSG initiatives and efforts, and coordinates with the ATTR SSG on DoD TSFD recommendations.

11. SECRETARIES OF THE MILITARY DEPARTMENTS. The Secretaries of the Military Departments:

- a. Participate in the ATTR SSG, help develop and implement ATTR SSG initiatives and efforts, and coordinate with the ATTR SSG on DoD TSFD recommendations.
- b. Provide support to, and coordinate relevant TSFD activities with, the TSFDO.
- c. Provide personnel, if available, to the TSFDO on a rotational basis.
- d. Identify and submit PTRs through the TSFDO secure website and, in coordination with the TSFDO, monitor the status of their PTRs during the course of their review.

12. CJCS. The CJCS participates in the ATTR SSG, helps develop and implement ATTR SSG initiatives and efforts, and coordinates with the ATTR SSG on DoD TSFD recommendations.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

ATTR SSG	Arms Transfer and Technology Release Senior Steering Group
CJCS	Chairman of the Joint Chiefs of Staff
DIRNSA/CHCSS	Director, National Security Agency/Chief, Central Security Service
DoD CIO	Department of Defense Chief Information Officer
DSCA	Defense Security Cooperation Agency
DTSA	Defense Technology Security Administration
IC	International Cooperation
NDPC	National Disclosure Policy Committee
NGA	National Geospatial-Intelligence Agency
PTR	priority technology security and foreign disclosure review (formerly known as high-level decision (HLD))
RIP	release in principle
TSFD	technology security and foreign disclosure
TSFDO	Technology Security and Foreign Disclosure Office
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics
USD(I&S)	Under Secretary of Defense for Intelligence and Security
USD(P)	Under Secretary of Defense for Policy

PART II. DEFINITIONS

These terms and their definitions are for the purpose of this directive.

anticipatory policies. Convey a baseline RIP of the relevant TSFD review processes for a specific technology or system to a group of potential recipient countries identified in that policy.

ATTR SSG. The ATTR SSG serves as the senior decision-making body that provides guidance and direction to the DoD TSFD processes involved in the transfer of defense articles and the release of classified or sensitive technology to international partners in support of U.S. policy and national security objectives. Enclosure 2 of this directive defines the ATTR SSG's membership and describes its mission and functions.

critical technologies. Technology or technologies essential to the design, development, production, operation, application, or maintenance of an article or service that makes, or could make, a significant contribution to the military potential of any country, including the United States. This includes, but is not limited to, design and manufacturing know-how, technical data, keystone equipment, and inspection and test equipment.

PTR. A review of an offer for cooperation, sale, or other transfer that is determined by a DoD Component or ATTR SSG member to have real or high potential for senior leadership (e.g., Secretary of Defense, Deputy Secretary of Defense, Under Secretary of Defense, or four-star generals or flag officers) direction, interest, or involvement.

RIP. A TSFD document that represents ATTR SSG approval of the intent to release certain technologies with the understanding that the Department of State maintains final decision authority and that the specifics of the release will be determined at a later time.

TSFDO. The TSFDO serves as the Executive Secretariat to the ATTR SSG and as the DoD single entry point for PTR requests and other potential high-visibility cases. It ensures that critical U.S. technology and arms transfer release requests are addressed by DoD TSFD processes in a harmonized and streamlined manner. Enclosure 3 of this directive describes the TSFDO's mission and functions.