



Department of Defense INSTRUCTION

NUMBER 5230.18

November 6, 1984

USD(P)

SUBJECT: The DoD Foreign Disclosure and Technical Information System
(FORDTIS)

- References:
- (a) DoD Instruction 5230.18, "The DoD Foreign Disclosure Automated Data System (FORDAD)." July 10, 1973 (hereby canceled)
 - (b) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976
 - (c) DoD Manual 5025.1-M, "DoD Directives System Procedures," April 1981, authorized by [DoD Directive 5025.1](#), October 16, 1980
 - (d) "National Policy and Procedures for the Disclosure of Classified Military Information to Foreign Governments and International Organizations," Short Title: (National Disclosure Policy NDP-1), September 9, 1981 ¹
 - (e) through (r), see enclosure 1

1. REISSUANCE AND PURPOSE

This Instruction:

1.1. Reissues reference (a).

1.2. Updates policy, responsibilities, and procedures for the implementation of the Foreign Disclosure and Technical Information System (FORDTIS), DoD Directive 5000.19 (reference (b)).

¹ Available on a need-to-know basis from the office of the Director Counterintelligence and Security Policy, office of the Deputy Under Secretary of Defense for Policy (ODUSD(P))

1.3. Authorizes the publication of DoD Manual 5230.18-M, "Foreign Disclosure and Technical Information System (FORDTIS) Users Manual," consistent with reference (c). This Manual describes procedures for data entry, accessing automated databases, and obtaining reports from FORDTIS concerning Classified Military Information (CMI) cases, Visits cases, Accreditations cases, National Disclosure Policy Exception (NDPE) cases, Munitions cases, Commodity Control List (CCL) cases and Coordinating Committee (COCOM) cases.

2. APPLICABILITY

This Instruction applies to the Office of the Secretary of Defense, the Military Departments, the Organization of the Joint Chiefs of Staff, the Unified and Specified Commands, and the Defense Agencies (hereafter referred to collectively as "DoD Components").

3. DEFINITIONS

Terms used in this Instruction are defined in enclosure 2.

4. POLICY

It is DoD policy to use FORDTIS, described in enclosure 3, as the automated means for staffing and recording of cases, and providing reference data support in fulfilling Departmental responsibilities assigned by the National Disclosure Policy (reference (d)), the Arms Export Control Act (reference (q)) and the Export Administration Act (reference (r)), and in supporting the implementing Departmental policies and procedures contained in DoD Directive 2040.2 (reference (e)), DoD Directive 5230.11 (reference (f)), DoD Directive C-5230.23 (reference (g)), and DoD Instruction 5230.20 (reference (i)).

5. RESPONSIBILITIES

5.1. The Deputy Under Secretary of Defense for Policy (DUSD(P)) or designee shall:

5.1.1. Manage and administer FORDTIS.

5.1.2. Ensure that FORDTIS is responsive to user requirements.

5.1.3. Develop, publish and maintain DoD Manual 5230.18-M, consistent with DoD Manual 5025.1-M (reference (c)).

5.1.4. Exercise overall responsibility for the National Disclosure Policy Exceptions Tracking and Assignment System and historical database, the National Disclosure Policy, Annex A (NDPA) reference database and other applicable reference databases.

5.1.5. Appoint Database Administrators (DBAs) for the National Disclosure Policy Exceptions historical database, the NDPA reference database and other applicable reference databases.

5.1.6. Provide input to FORDTIS as described in enclosure 4.

5.2. The Assistant Secretary of Defense (International Security Policy) (ASD(ISP)) or designee shall:

5.2.1. Exercise overall responsibility for the Munitions, CCL and COCOM Tracking and Assignment System and historical databases, and applicable reference databases.

5.2.2. Appoint Database Administrators for Munitions, CCL and COCOM historical databases, and applicable reference databases.

5.2.3. Provide data entry to FORDTIS as described in enclosure 4.

5.3. The Deputy Under Secretary of Defense (International Programs and Technology) (DUSD(IP&T)) or designee shall:

5.3.1. Exercise overall responsibility for the Militarily Critical Technologies List (MCTL) reference database and other applicable reference databases.

5.3.2. Appoint Database Administrators for the MCTL reference database and other applicable reference databases.

5.3.3. Provide data entry to FORDTIS as described in enclosure 4.

5.4. The Secretary of the Air Force or designee shall:

5.4.1. Serve as the executive agent for FORDTIS Automatic Data Processing (ADP) operations, maintenance and communications support.

5.4.2. Develop an organizational capability to administer the required support to FORDTIS, including computer hardware, software and communications.

5.4.3. Program, budget, and account for Air Force personnel and associated costs of operating communications and ADP equipment.

5.5. The Heads of DoD Components or designees shall:

5.5.1. Implement this Instruction within their components.

5.5.2. Provide data entry to FORDTIS as described in enclosure 4.

5.5.3. Exercise overall responsibility for their components' CMI, Visits and Accreditations historical databases, and applicable reference databases.

5.5.4. Appoint Database Administrators for CMI, Visits and Accreditations historical databases, and applicable reference databases.

6. DATA ENTRY REQUIREMENTS AND PROCEDURES

Refer to enclosure 4.

7. SECURITY

7.1. FORDTIS security will be administered in accordance with DoD Directive 5200.28 (reference l)) and DoD Regulation 5200.1R (reference k)).

7.2. Information in FORDTIS shall not have a security classification higher than Secret.

8. SPECIFICATIONS AND DATA ELEMENTS

8.1. FORDTIS system specifications, including data entry and report production shall take into account the status of proposed or existing applicable DoD, Federal or international standards and therefore shall be implemented under the cognizance of the

senior Information Resource Management System (IRMS) policy official designated in accordance with DoD Directive 7740.1 (reference (m)).

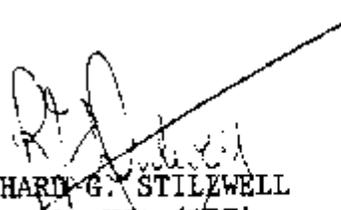
8.2. DoD standard data elements and related codes shall be used whenever available and applicable in accordance with DoD Directive 5000.11 and DoD Instruction 5000.12 (reference (n) and (o)). All other data elements are interim (non-standard) and subject to change after being standardized in accordance with DoD Manual 5000.12-M (reference (p)).

9. REPORTING REQUIREMENTS

The reporting requirement using DD Form 1822 in section 6., above has been assigned Reports Control Symbol (RCS) DD-POL(AR)1661.

10. EFFECTIVE DATE AND IMPLEMENTATION

This Instruction is effective immediately. Forward two copies of implementing documents to the Deputy Under Secretary of Defense for Policy within 120 days.



RICHARD G. STILEWELL
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Deputy Under Secretary of Defense (Policy)

Enclosures - 5

- E1. References, continued
- E2. Definitions
- E3. FORDTIS Description
- E4. Data Entry Requirements and Procedures
- E5. FORDTIS Reports

E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD Directive 2040.2, "International Transfers of Technology, Goods, Services, and Munitions," January 17, 1984
- (f) [DoD Directive 5230.11](#), "Disclosure of Classified Military Information to Foreign Governments and International Organizations," March 2, 1979
- (g) DoD Directive C-5230.23, "Intelligence Disclosure Policy (U)," November 18, 1983
- (h) DoD Instruction 5230.17, "Procedures and Standards for Disclosure of Military Information to Foreign Activities," August 17, 1979
- (i) DoD Instruction 5230.20, "Control of Foreign Representatives," June 25, 1984
- (j) DoD Directive C-3115.5, "Intelligence and Security Guidelines Applicable to Nationals of Communist-Controlled Countries Entering the United States as Nonimmigrant Aliens," September 4, 1980
- (k) DoD 5200.1-R, "Information Security Program Regulation," August 1982, authorized by DoD Directive 5200.1, June 7, 1982
- (l) [DoD Directive 5200.28](#), "Security Requirements for Automatic Data Processing (ADP) Systems," December 18, 1972
- (m) [DoD Directive 7740.1](#), "DoD Information Resources Management Program," June 20, 1983
- (n) DoD Directive 5000.11, "Data Elements and Data Codes Standardization Program," December 7, 1964
- (o) DoD Instruction 5000.12, "Data Elements and Data Codes Standardization Procedures," April 27, 1965
- (p) DoD 5000.12-M, "DoD Manual for Standard Data Elements," December 1982, authorized by DoD Instruction 5000.12, April 27, 1965
- (q) Arms Export Control Act (P. L. 90-629), October 22, 1968
- (r) Export Administration Act of 1979 (P. L. 96-72), September 29, 1979

E2. ENCLOSURE 2

DEFINITIONS

E2.1.1. Database Administrator (DBA). A person assigned responsibility by a DoD Component for the accuracy and completeness of the input to one or more FORDTIS historical or reference databases.

E2.1.2. Active Case. A case that has been entered in the FORDTIS Tracking and Assignment System and is under consideration by DoD.

E2.1.3. Classified Military Information (CMI). That U.S. defense information or material that requires protection against unauthorized disclosure in the interests of national security and that is limited to three security classifications: Top Secret, Secret and Confidential.

E2.1.4. Classified Military Information Case (CMI Case). A request received from a foreign government, or international organization, or proposed by a DoD Component to release CMI to a foreign government or international organization that is an active case in the FORDTIS Tracking and Assignment System or that has been entered in the CMI historical database.

E2.1.5. Commodity Control List Case (CCL Case). An application made by a U.S. entity registered with the Department of Commerce to export goods and services on the Commodity Control List (CCL) in accordance with the Export Administration Regulations (EAR) that is an active case in the FORDTIS Tracking and Assignment System or that has been entered in the CCL historical database.

E2.1.6. COCOM Case. A proposal made by a member nation to the COCOM Headquarters in Paris to export goods or services on the COCOM List to a communist country that is an active case in the FORDTIS Tracking and Assignment System or that has been entered in the COCOM historical database. For U.S. cases, COCOM cases are first staffed and approved as CCL cases in order to develop and forward a U.S. national position.

E2.1.7. Accreditation Case. A request received from a foreign government to accredit one of its nationals to a defense establishment that is an active case in the FORDTIS Tracking and Assignment System or that has been entered in the Accreditations historical database.

E2.1.8. Denial. The disapproval of a formal request for a visit, accreditation or release of CMI, whether the request is of U.S. or foreign origin.

E2.1.9. Disclosure. The transfer of CMI through approved channels to an authorized representative of a foreign government or international organization.

E2.1.10. Historical Case. A case that has been closed and entered in a historical database of FORDTIS by a Database Administrator.

E2.1.11. Munitions Case. An application made by an entity registered with the Department of State to export arms, ammunition or implements of war on the U.S. Munitions List, including technical data related thereto, in accordance with the International Traffic in Arms Regulations (ITAR), which is an active case in the FORDTIS Tracking and Assignment system, or that has been entered in the Munitions historical database.

E2.1.12. National Disclosure Policy Exceptions. An exception to the National Disclosure Policy approved by the Secretary or Deputy Secretary of Defense, by the Secretary of State in coordination with the Secretary of Defense or by the National Disclosure Policy Committee.

E2.1.13. National Disclosure Policy Exception Case (NDPE Case). A request for an exception to the National Disclosure Policy that is an active case in the FORDTIS Tracking and Assignment System or that has been entered in the NDPE historical database.

E2.1.14. Significant Disclosure or Denial. A disclosure or denial is significant if:

E2.1.14.1. Top Secret CMI is involved.

E2.1.14.2. The case is the first of its kind or tends to establish precedent in terms of classification level, subject matter, countries involved, or involves CMI that would substantially improve a country's military capability.

E2.1.14.3. The action derives from an exception to the National Disclosure Policy.

E2.1.14.4. The action, in the judgement of the reporting official, represents a noteworthy disclosure decision.

E2.1.14.5. The action involves the release of intelligence that is reportable under DoD Directive C-5230.23 (reference (g)).

E2.1.15. Visit Case. A request received from a foreign government or international organization to visit a defense establishment or a U.S. contractor on defense-related business that is an active case in the FORDTIS Tracking and Assignment System or that has been entered in the Visits historical database.

E3. ENCLOSURE 3
FORDTIS DESCRIPTION

E3.1.1. The purpose of FORDTIS is to provide the Department of Defense with an automated system to assist decision-makers and analysts in reviewing, coordinating and reaching decisions on proposals to release classified military information and technology to other nations and international organizations. Proposals may take the form of request for CMI, Visits, Accreditations, or Munitions, CCL and COCOM license applications.

E3.1.2. FORDTIS consists of three categories of databases:

E3.1.2.1. Tracking and Assignment Databases.

E3.1.2.2. Historical Databases.

E3.1.2.3. Reference Databases.

E3.1.3. The Tracking and Assignment System supports management of the following functions:

E3.1.3.1. Case Opening - Initial entry of a case into FORDTIS.

E3.1.3.2. Case Assignment - Assignment to one or more DoD Components for coordination.

E3.1.3.3. Case Review and Status - Real time determination of active case status, comments and recommendations.

E3.1.3.4. Case Closing and Saving - Review of completed cases and transfer to the historical databases.

E3.1.4. The Historical Databases are a set of files containing cases, by type, acted upon by the DoD. It consists of the following databases:

E3.1.4.1. Classified Military Information Cases (CMI Cases).

E3.1.4.2. Visit Cases.

E3.1.4.3. Accreditation Cases.

E3.1.4.4. National Disclosure Policy Exception Cases (NDPE Cases).

E3.1.4.5. Munitions Cases.

E3.1.4.6. Commodity Control List Cases (CCL Cases).

E3.1.4.7. COCOM Cases.

E3.1.5. The Reference Databases are a set of files containing information frequently needed for reference during review of cases. These databases change based on requirements and availability of information. The following list is typical of reference databases:

E3.1.5.1. Militarily Critical Technologies List (MCTL).

E3.1.5.2. National Disclosure Policy - Annex A.

E3.1.5.3. U.S. Munitions List.

E3.1.5.4. Commodity Control List.

E3.1.5.5. International Agreements.

E3.1.5.6. Country Assessments.

E4. ENCLOSURE 4

FORDTIS DATA ENTRY REQUIREMENTS AND PROCEDURES

FORDTIS data entry requirements and procedures for CMI cases, Visits cases, Accreditations cases, Munitions cases, CCL cases, COCOM cases and NDPE cases are as follows:

E4.1.1. CMI Cases

E4.1.1.1. Scope. All proposals for disclosure of CMI, governed by NDP-1 (reference (d)) and DoD Directive C-5230.23 (reference (g)), to foreign governments and international organizations are subject to this Instruction.

E4.1.1.2. Data Entry Requirements and Exclusions

E4.1.1.2.1. Data Entry Requirements - CMI cases that involve the following types of classified information will be entered in FORDTIS:

E4.1.1.2.1.1. Classified information, documentation and materiel that is disclosed pursuant to Foreign Military Sales, or loans and grants of equipment. Foreign Military Sales shall be reported when the buyer signs the Letter of Offer and Acceptance. Loans or grants shall be reported when the recipient formally accepts the terms of the loan or grant.

E4.1.1.2.1.2. CMI disclosed or denied pursuant to a request from a foreign government or international organization.

E4.1.1.2.1.3. CMI disclosed pursuant to a U.S. request and significant denials of U.S. requests.

E4.1.1.2.1.4. Significant disclosures.

E4.1.1.2.2. Exclusions

E4.1.1.2.2.1. For classified military training, individual courses need not be itemized when they are related closely in content. Individual classified manuals, films or instructional devices need not be itemized. Class notes need not be entered if the training was entered.

E4.1.1.2.2.2. For previously disclosed documents, changes that are disclosed need not be entered unless the change constitutes a major content revision and provided the original disclosure was entered in FORDTIS.

E4.1.1.2.2.3. For military exercises, individual disclosures such as exercise message traffic need not be entered provided the exercise was entered.

E4.1.1.2.3. CMI Case Procedures

E4.1.1.2.3.1. CMI cases shall be entered in the FORDTIS Tracking and Assignment System by the DoD Component having jurisdiction over the CMI proposed for disclosure.

E4.1.1.2.3.2. CMI cases that relate to Joint Munitions Effectiveness Manuals (JMEM) shall be entered by the Defense Intelligence Agency (DIA).

E4.1.1.2.3.3. CMI cases that relate to combined military exercises shall be entered by the senior U.S. military commander.

E4.1.1.2.3.4. For FORDTIS on-line users, cases shall be created on the system. Upon completion of case processing, the DoD Component Database Administrator shall review the case prior to entry in the CMI historical database.

E4.1.1.2.3.5. For FORDTIS off-line users, cases shall be reported using DD Form 1822, "Report of Disclosure or Denial of U.S. Classified Military Information," March 1983, and forwarded to the DoD Component Database Administrator for review and entry in the CMI historical database.

E4.1.2. Visits Cases

E4.1.2.1. Scope. All requests by foreign governments or international organizations to visit U.S. Defense establishments in CONUS or U.S. defense contractors in the United States or overseas on defense matters that result in the disclosure or significant denial of CMI or unclassified information related to a classified program or project are subject to this Instruction.

E4.1.2.2. Data Entry Requirements and Exclusions

E4.1.2.2.1. Data Entry Requirements. All visit requests within the scope of this Instruction shall be entered in FORDTIS.

E4.1.2.2.2. Exclusions. Recurring visits pursuant to an extended visit authorization need not be entered provided the subject matter remains the same as approved for the original visit authorization.

E4.1.2.3. Visit Case Procedures

E4.1.2.3.1. Visit Cases shall be entered in the FORDTIS Tracking and Assignment System by the DoD Component having jurisdiction over the defense activity or installation visited or having jurisdiction over the defense information disclosed during a contractor visit.

E4.1.2.3.2. Cases shall be created on the system. Upon completion of case processing the case shall be reviewed by the DoD Component Visits Database Administrator and entered in the Visits historical database.

E4.1.3. Accreditation Cases

E4.1.3.1. Scope. All foreign requests for accreditations that result in the disclosure or significant denial of CMI are subject to this Instruction.

E4.1.3.2. Data Entry Requirements and Exclusions

E4.1.3.2.1. Data Entry Requirements. All accreditations within the scope of this Instruction shall be entered in FORDTIS.

E4.1.3.2.2. Exclusions. None.

E4.1.3.3. Accreditation Case Procedures

E4.1.3.3.1. Accreditation cases shall be entered in the FORDTIS Tracking and Assignment System by the DoD Component having jurisdiction over the activity to which accreditation is proposed.

E4.1.3.3.2. Cases shall be created on the system. Upon completion of processing, the DoD Component Accreditations Database Administrator shall review the case and enter it in the Accreditations historical database.

E4.1.4. Munitions, CCL and COCOM Cases

E4.1.4.1. Scope. All license applications referred to the Department of Defense by the Departments of State and Commerce are subject to this Instruction.

E4.1.4.2. Data Entry Requirements and Exclusions

E4.1.4.2.1. Data Entry Requirements. All license applications referred to the Department of Defense shall be entered in FORDTIS.

E4.1.4.2.2. Exclusions. None.

E4.1.4.3. Munitions, CCL and COCOM Case Procedures

E4.1.4.3.1. OASD(ISP) shall enter license applications in the FORDTIS Tracking and Assignment System, and shall ensure assignments are made to the DoD Components.

E4.1.4.3.2. DoD Components shall enter their position and comments in the FORDTIS Tracking and Assignment Systems and release the cases to the assignee.

E4.1.4.3.3. ODUSD(IP&T) shall coordinate case technical review, establish the Defense technical position, enter that position with comments in the FORDTIS Tracking and Assignment System, and release the case to OASD(ISP).

E4.1.4.3.4. Cases shall be created on the system. Upon completion of case processing, the appropriate Database Administrator shall review the case and enter it in the historical database.

E4.1.5. National Disclosure Policy Exception Cases (NDPE Cases)

E4.1.5.1. Scope. All NDPE Cases are subject to this Instruction .

E4.1.5.2. Input Requirements and Exclusions

E4.1.5.2.1. Input Requirements. All NDPE cases shall be entered in FORDTIS.

E4.1.5.2.2. Exclusions. None.

E4.1.5.3. NDPE Case Procedures. ODUSD(P) Counterintelligence and Security Policy (CSP) shall enter active NDPE cases in the FORDTIS Tracking and Assignment System and enter completed cases in the NDPE historical database.

E5. ENCLOSURE 5

FORDTIS REPORTS

E5.1.1. Availability. DoD Components and other FORDTIS users are encouraged to request FORDTIS reports that may be of assistance to them. Significant FORDTIS resources are devoted to providing rapid responses to requests for reports. Report descriptions are contained in DoD Manual 5230.18-M.

E5.1.2. Request for FORDTIS Reports. Requests for FORDTIS reports may be made to the following office:

Office of the Secretary of Defense
ODUSD(P)/CSP
Attn: FORDTIS Office
Washington, DC 20301-2200

Telephone: Commercial: (202) 697-3384
AUTOVON: 227-3384