



Directorate of Defense Trade Controls BIS Update 2016

Tony Dearth, Office of Licensing
Ed Peartree, Office of Policy
Arthur Shulman, Office of Compliance
Karen Wrege, Chief Information Officer



Overview



- Mission Statement
- Delegation of Authority
- Organizational Overview
- Licensing Presentation
- Policy Presentation
- Compliance Presentation
- IT Modernization Presentation
- Contact Information
- Q & A



Mission Statement



Ensure commercial exports of defense articles and defense services are consistent with U.S. **national security** and **foreign policy** objectives.



Delegation of Authority



- Arms Export Control Act (AECA)
 - President of the United States (AECA Section 38)
 - Secretary of State (Executive Order 13637)
- International Traffic in Arms Regulations
 - Under Secretary for Arms Control and International Security
 - Assistant Secretary for Political Military Affairs
 - Deputy Assistant Secretary for Defense Trade Controls



Department of State

**Under Secretary for Arms
Controls & International
Security (T)**

Tom Countryman (A)

**Assistant Secretary for
International Security and
Non Proliferation (ISN)**

Tom Countryman

**Assistant Secretary
for
Political-Military Affairs (PM)**

Amb Tina Kaidanow (A)

**Assistant Secretary for
Arms Control Verification and
Compliance (AVC)**

Frank Rose

**Deputy Assistant Secretary
for
Regional Security and
Security Assistance**

Bill Monahan

**Deputy Assistant Secretary
for
Defense Trade Controls**

Brian Nilsson

**Deputy Assistant Secretary
for
Plans, Programs, and
Operations**

Maj Gen Mike Rothstein



DDTC Organization



**Deputy Assistant Secretary
Of Defense Trade Controls**

Brian Nilsson

**Senior Advisors
and
Staff**

Managing Director

Lisa Aguirre

**Office of Defense
Trade Controls
Compliance**

**Arthur Shulman
(A)**

**Office of Defense
Trade Controls
Licensing**

Tony Dearth

**Office of Defense
Trade Controls
Policy**

Ed Peartree

**Office of Defense
Trade Controls
Management**



Office of Licensing

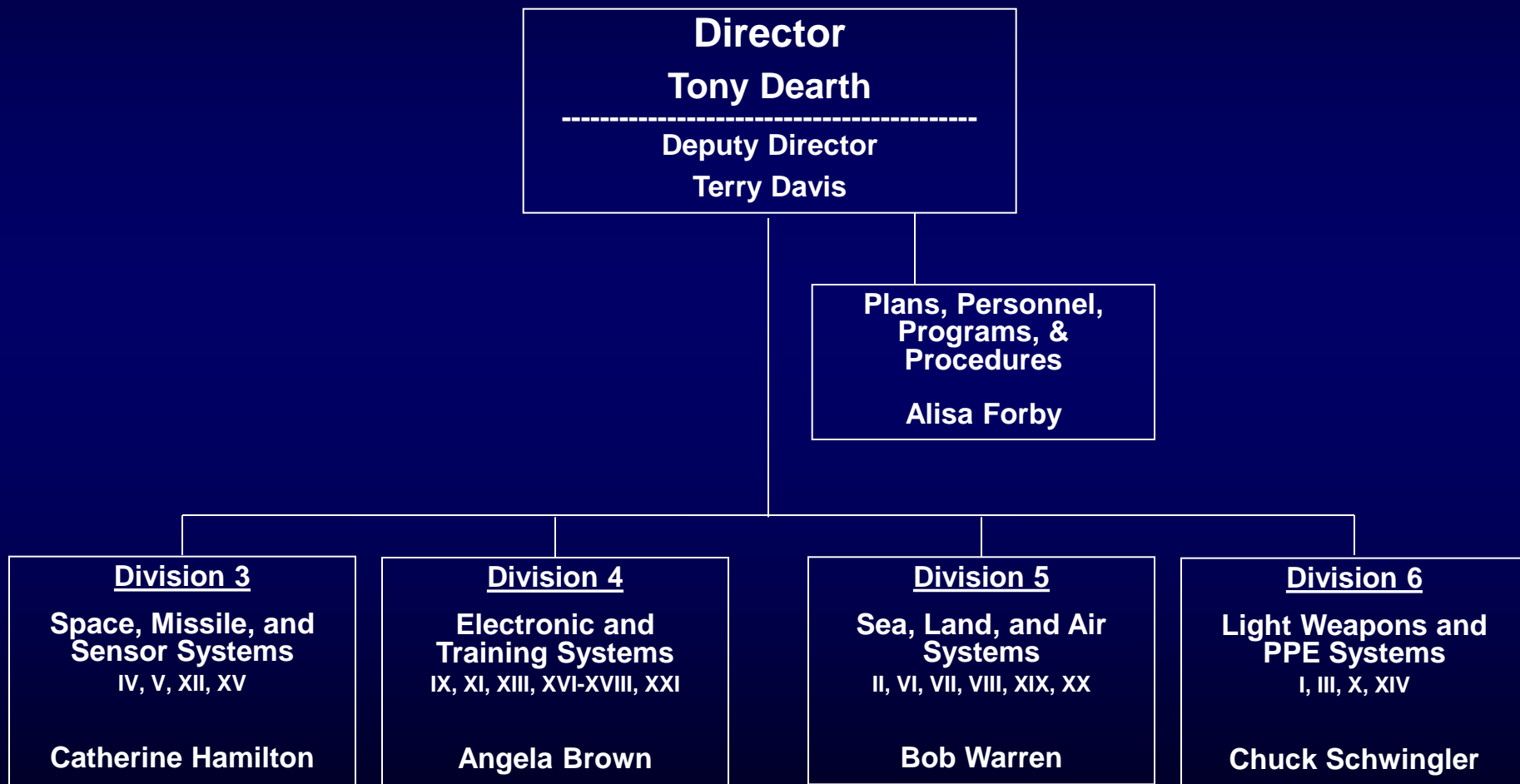


Core Responsibilities

- Respond to licensing requests from industry
- Confirm answers to the following questions on every export request – Who, What, When, Where, Why, and How
- Determine if the export is consistent with U.S. foreign policy and national security objectives (seek referrals)
- Make a final determination (approve, limit, deny, or RWA)

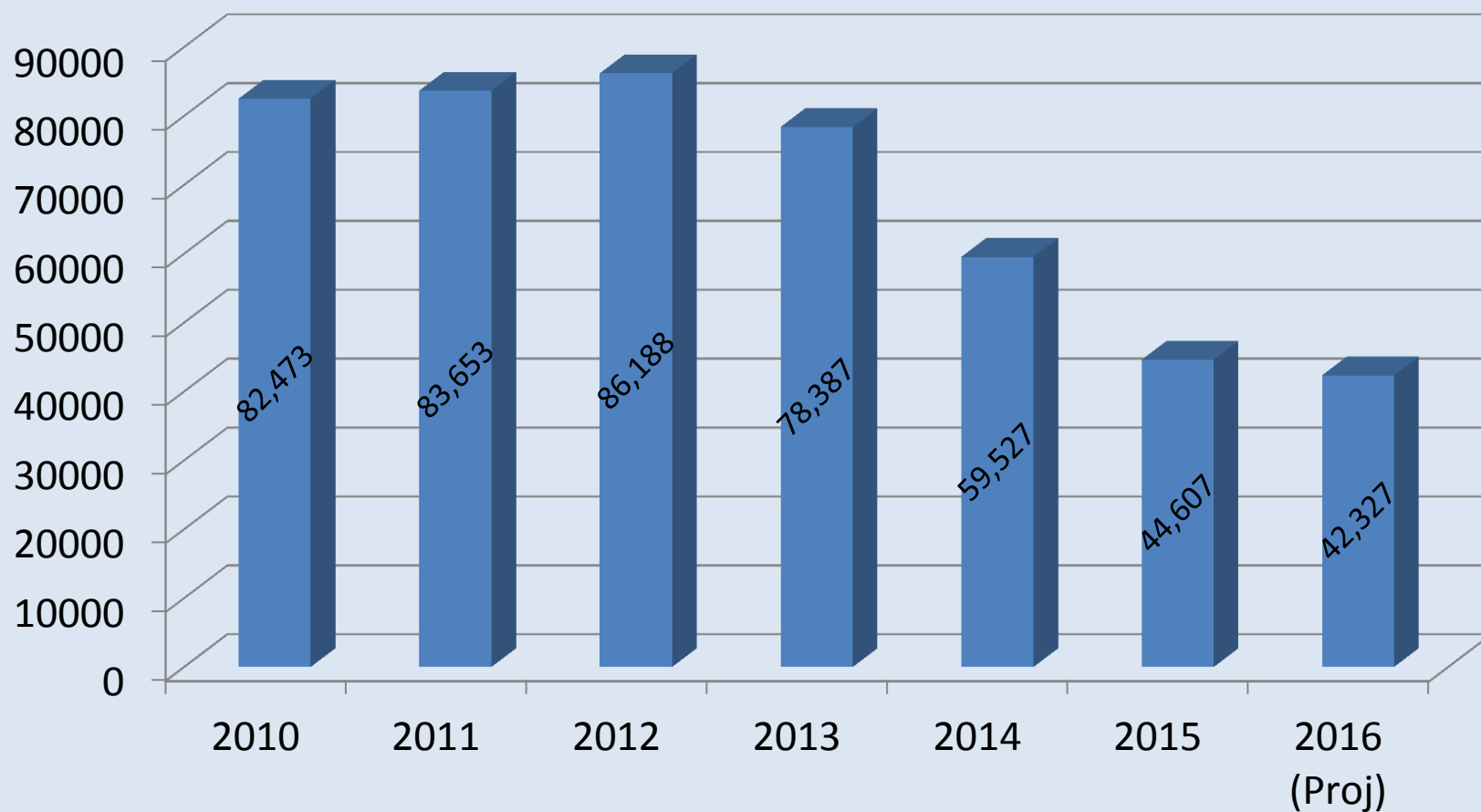


Office of Defense Trade Controls Licensing (PM/DTCL)





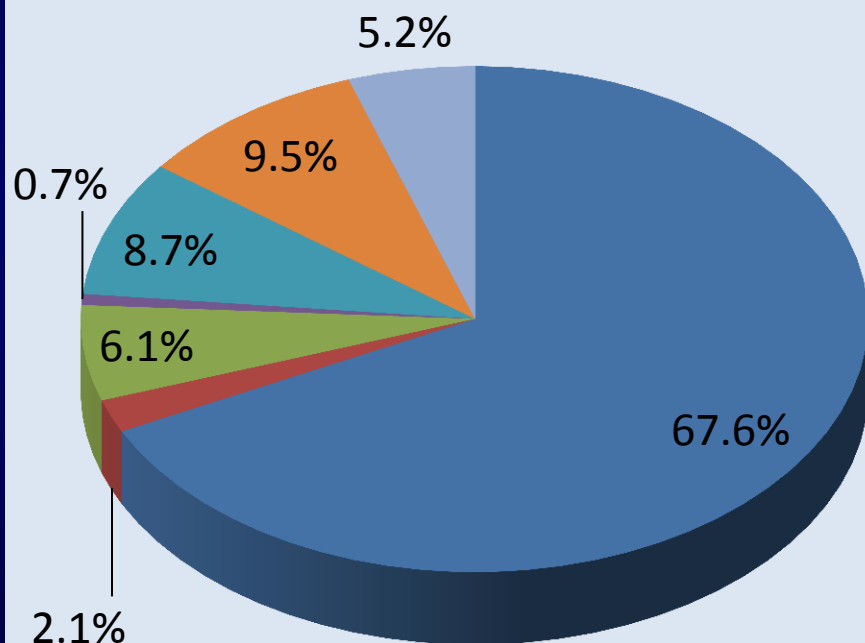
Licenses Submitted to DDTC by Calendar Year



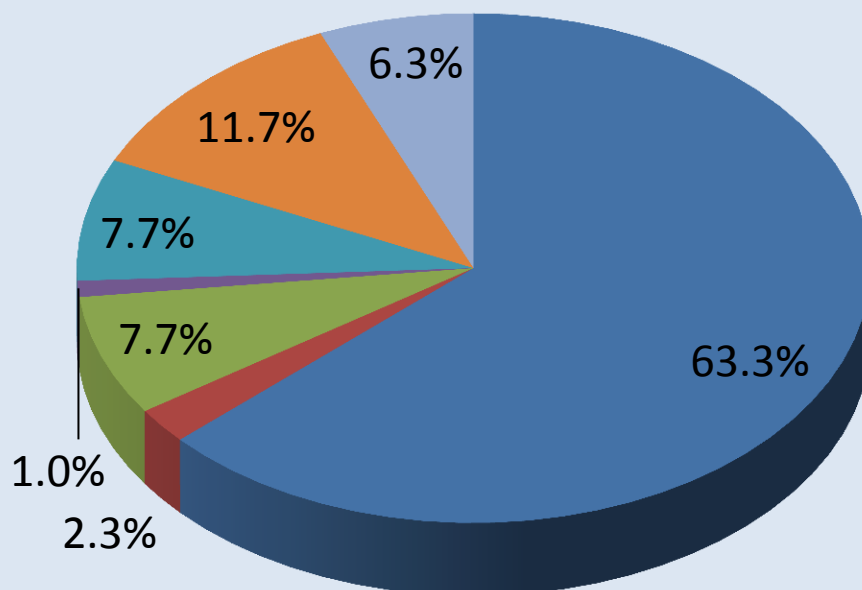


Cases Received

2013 Total Cases: 78,810



2015 Total Cases: 44,607

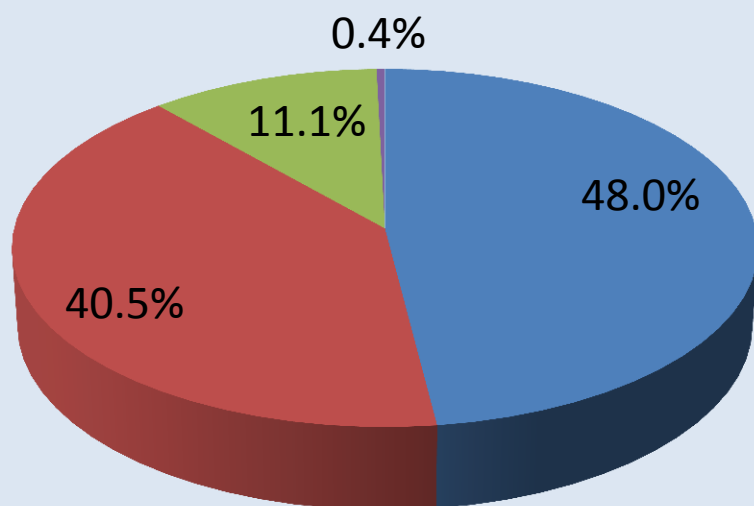


DSP-5 DSP-61 DSP-73 DSP-85
Amend. AGs GC/BL

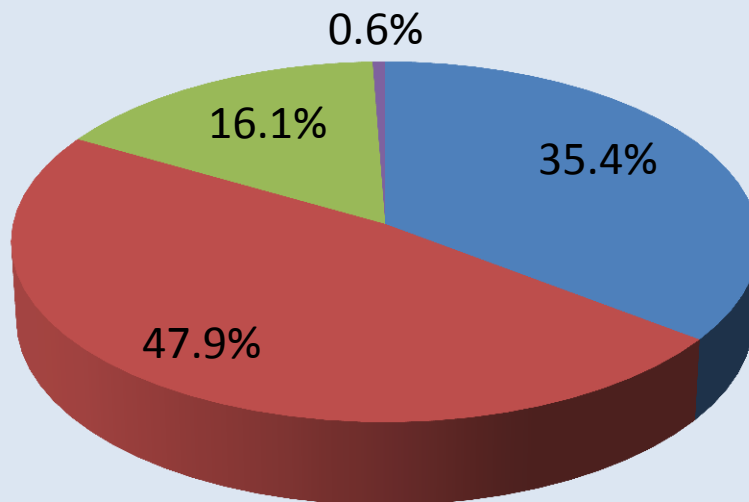


Licensing Decisions

2013



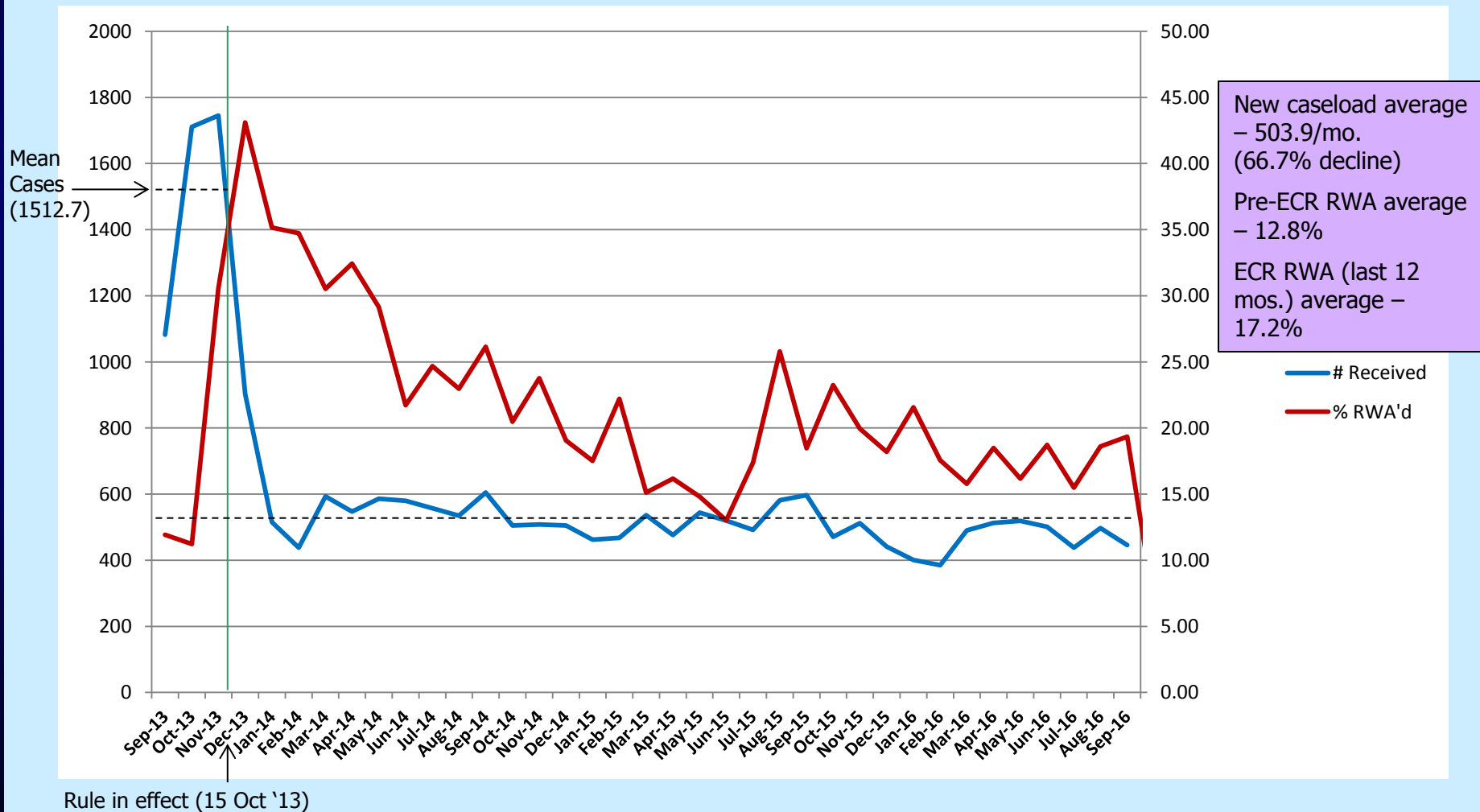
2015



■ Approve ■ Approve w/Provisos ■ RWA ■ Deny

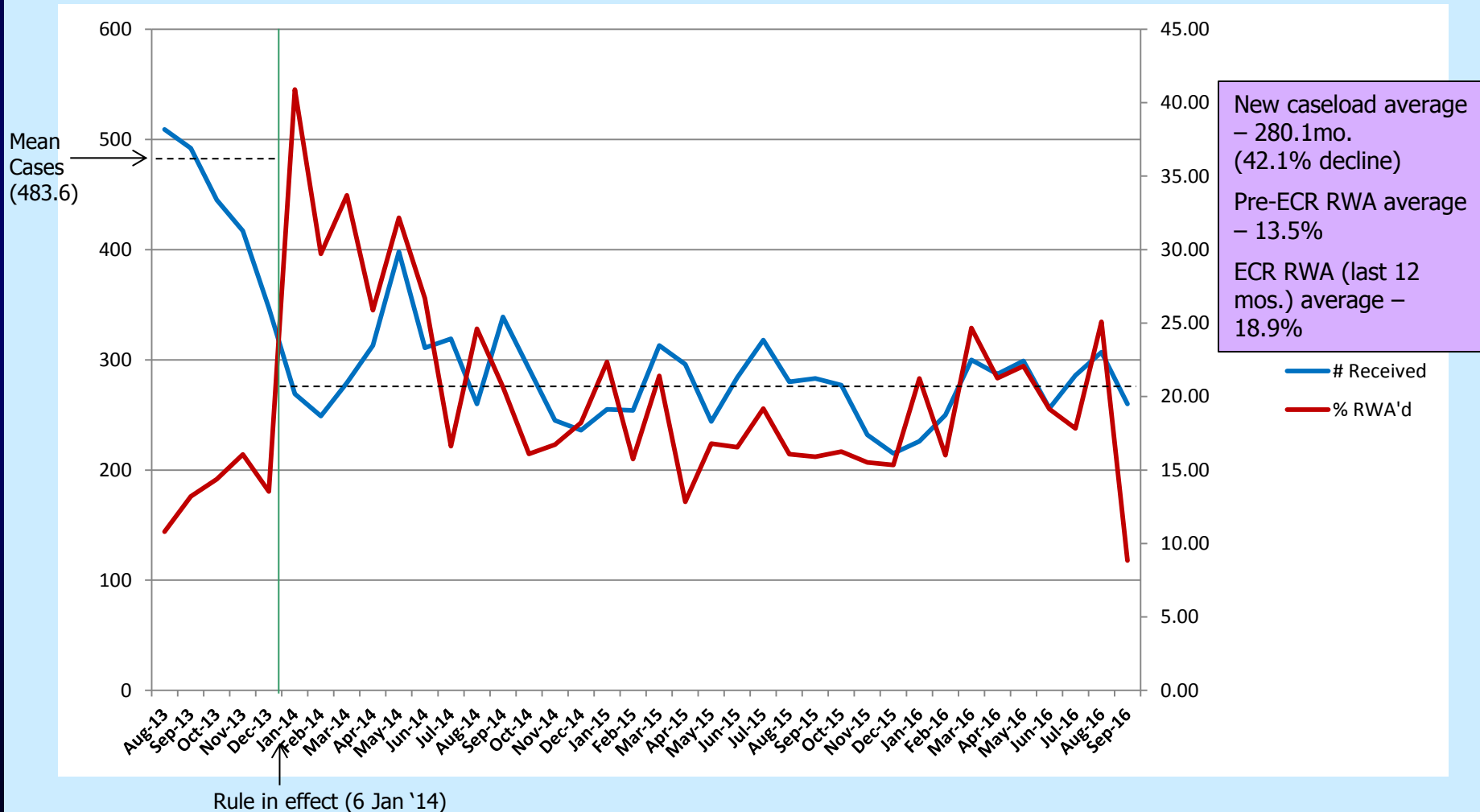


Cat VIII & XIX Trends



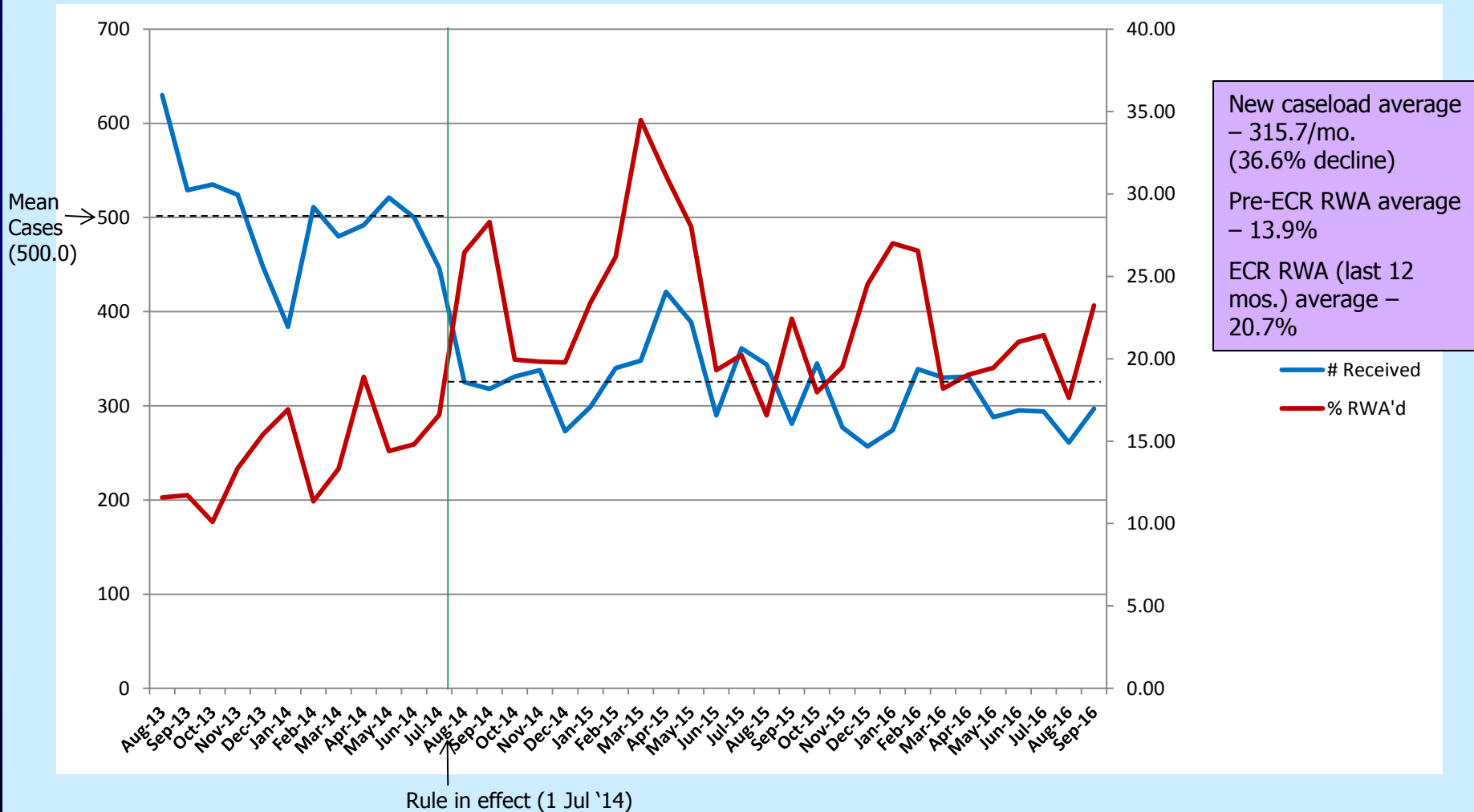


Cat VI, VII, XIII, XX Trends



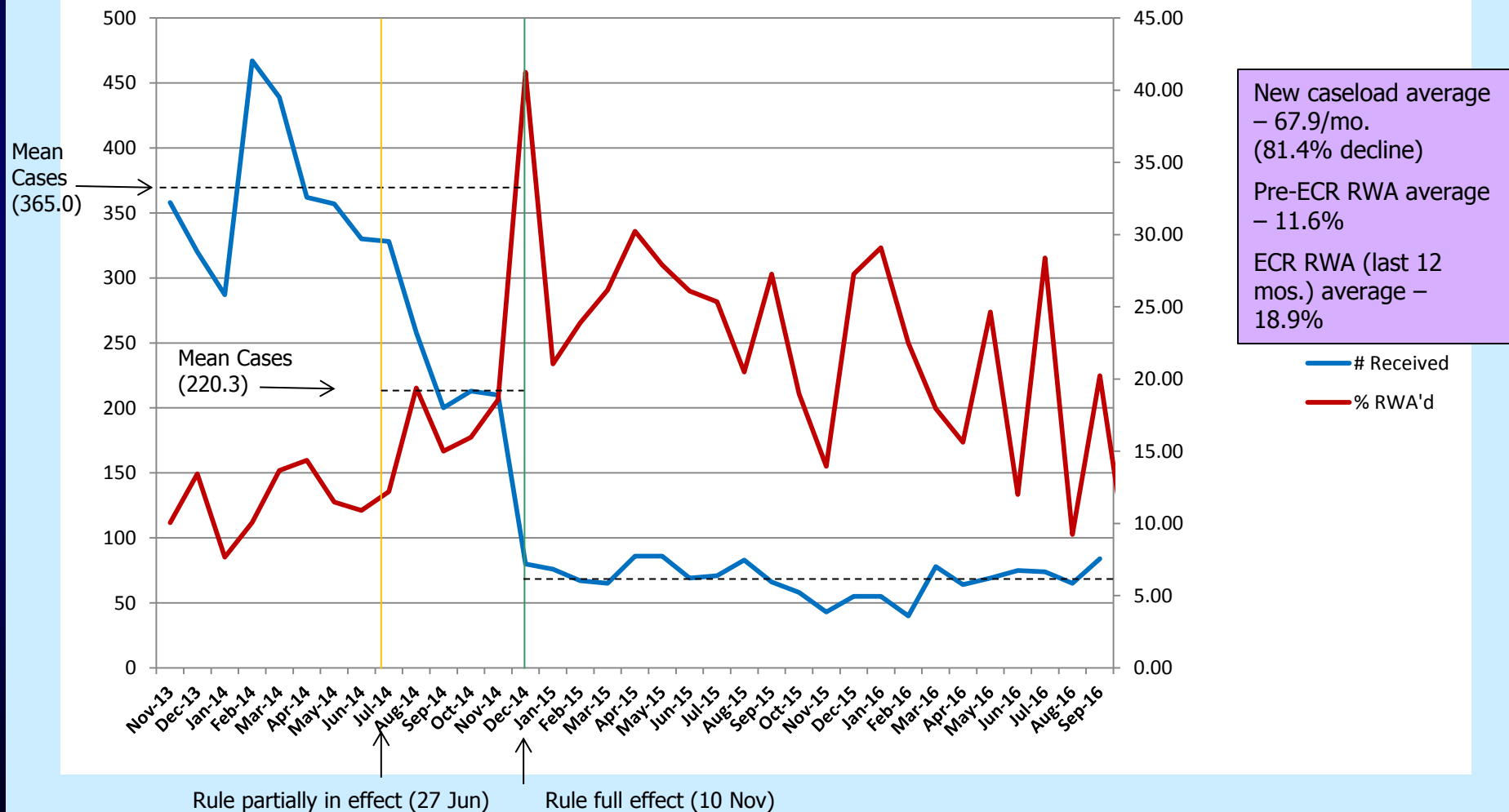


Cat IV, V, IX, X, XVI Trends



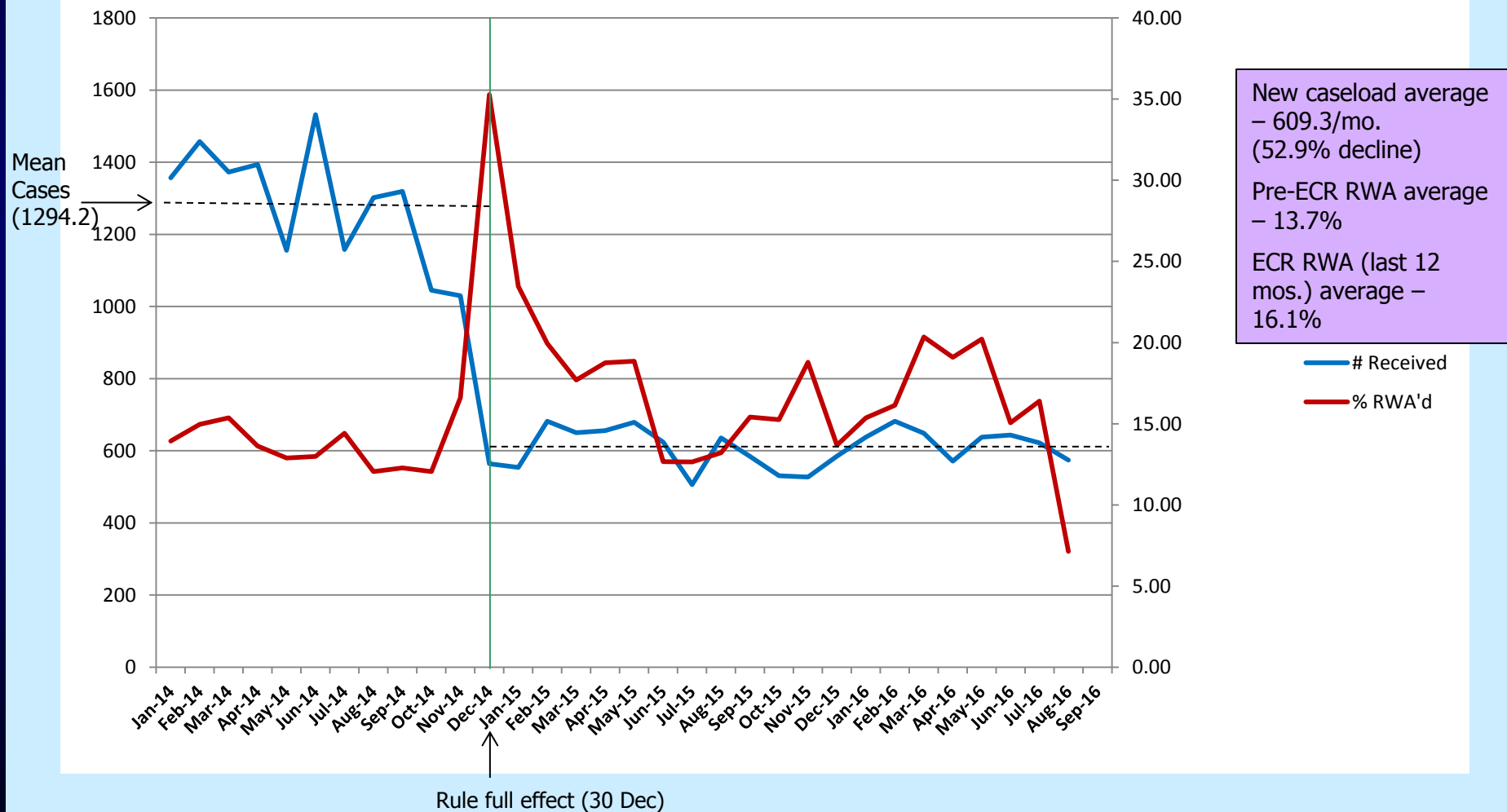


Cat XV Trends





Cat XI Trends





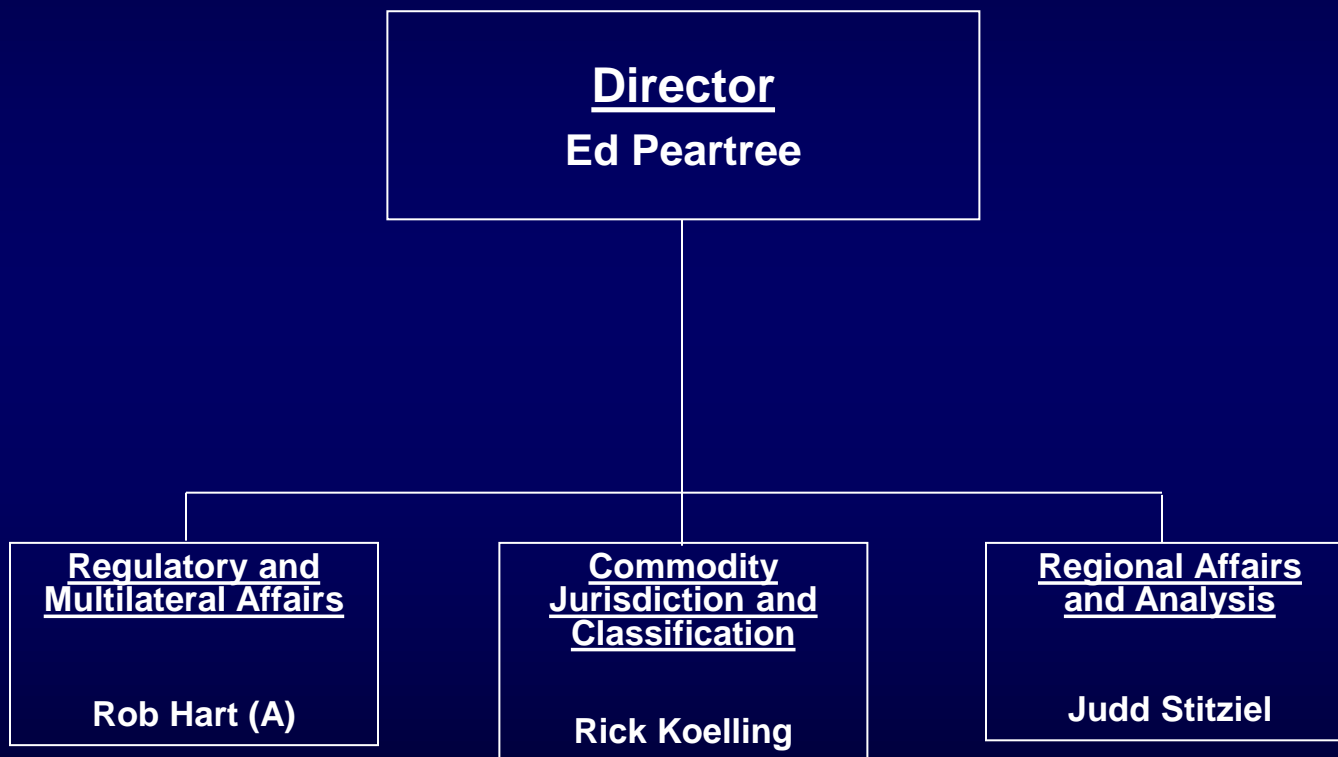
Overall ECR Statistics

Average Annual Stats

<u>YEAR</u>	<u>CASES</u>	<u>AVG AGE</u>	<u>AVG RWA</u>
2012	86,188	18.6	10.6%
2013	78,387	19.2	11.3%
2014	59,527	21.9	14.5%
2015	44,523	26.58	16.0%
2016 (Proj)	41,604	27.78	16.2%



Office of Defense Trade Controls Policy (PM/DTCP)





Office of Policy



Core Responsibilities

- Maintain and update the ITAR (including ECR implementation for Department of State)
- Respond to requests from industry and USG for Commodity Jurisdiction determinations and classification
- End-use monitoring of exports, research and risk analysis support to licensing
- Develop and implement policy and guidance for exporters, USG, and foreign allies



ECR Rules: Where are we?



USML:

- 18 of 21 USML Categories Revised
 - Category XII published; Categories VIII and XIX “2.0” forthcoming; final revisions to Category XV
 - Categories I, II, III: still outstanding
- USML Re-review:
 - Notice of Inquiry Process
 - Categories VI, VII, XIII, XX – public comments received



ECR Rules: Where are we?



- Definitions: Updating and harmonizing (with EAR)
 - Proposed “definitions rule” published July 2016
 - HEAVY public comment
 - Partial final rule published September 2016
 - Goal: complete rule in early 2017
- Destination control statement
 - Harmonized with EAR
- 126.1 Revisions/updates



ECR: What's Next?

- New CJ Form 4076 "go live" (mid November)
- Case Management System/"One Form" (early 2017)
- Complete 126.4 (80 FR 29565)
- Publish revised Cats VI, VII, XIII, & XX
- Program licensing
- Complete U.S. persons abroad rule (80 FR 30001)
- Overhauling exemptions/structure

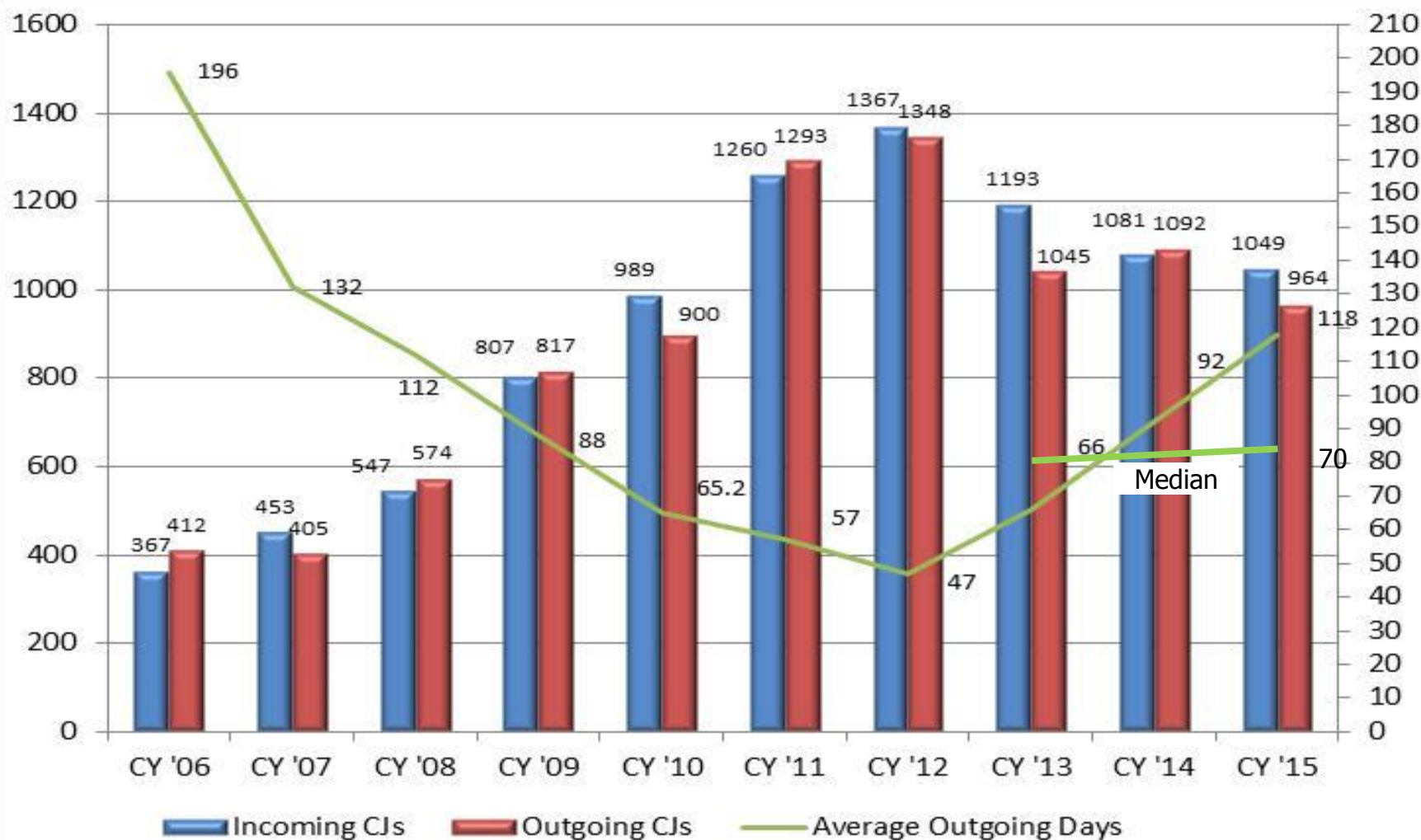


Other Policy Notes

- New process for advisory opinions
 - Increased volume/decreased processing times
 - Nexus with FAQs, regulatory process
- CJs: slight decline in cases overall, huge reduction in escalated cases
 - ECR going “mainstream,” improved interagency review process
 - Nexus with regulatory process
- Blue Lantern outreach/training
- Working with partner countries and international organizations on regulatory questions/harmonization
- Work to harmonize the DCS and FMS processes

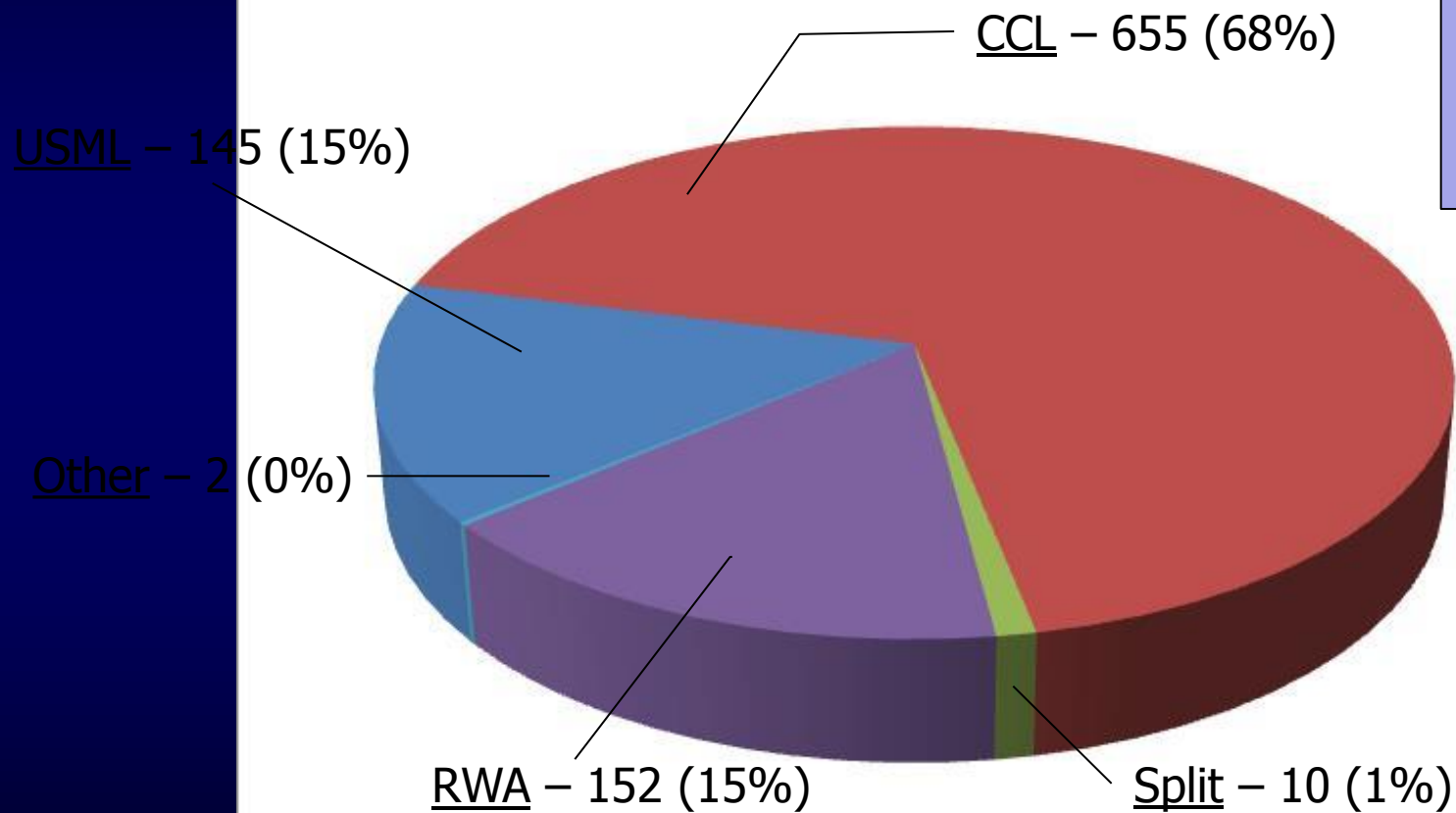


CY 06 – 15 Commodity Jurisdiction Determinations





CJ Decisions CY 2015



Most Prolific USML Categories:

1. Cat XII (33)
2. Cat XI (28)
3. Cat VIII (26)



Concluding Thoughts

- ECR doesn't end: dynamic regulatory process
"now business as usual"
 - Pace/absorption rate: can the regulated keep up?
- Continued harmonization of USG export controls infrastructure, regulations, policy (and culture)
- Partnership with public
 - Feedback/comment from industry, academia, foreign partners is essential
 - GCs, CJs, public comments



Office of Compliance



Core Responsibilities

- Process registrations for arms manufacturers, exporters, brokers
- Ensure ITAR compliance through various means, including company visits/outreach, voluntary and directed disclosures, criminal referrals, and administrative/civil actions when warranted
- Coordinate with law enforcement



Enforcement & Compliance Responsibilities



- U.S. government exercises broad authority for civil and criminal enforcement
 - Civil enforcement cases
 - Adjudicated by the Department of State, Office of Defense Trade Controls Compliance (DTCC)
 - Criminal enforcement cases
 - Investigated by the Department of Homeland Security, Homeland Security Investigations (HSI)
 - Prosecuted by the Department of Justice, U.S. Attorney's Offices
 - Counter-intelligence cases
 - Investigated by the Federal Bureau of Investigation (FBI)
 - Prosecuted by the U.S. Department of Justice, U.S. Attorney's Offices

U.S. and foreign individuals and corporations may be held liable for criminal and civil offenses under the AECA and its enumerated statutes



Civil Compliance & Enforcement



- Voluntary and directed disclosures
 - Processed ~1,000 disclosures in FY 2016
 - Vast majority of disclosures are voluntary
- Civil enforcement actions: charging letters, consent agreements and monitoring, debarment
 - Monitoring 6 active consent agreements
 - Several potential consent agreements under consideration
 - Current consent agreements have not concluded at anticipated end-dates
- Statutory debarments and ineligibility, exceptions, reinstatements

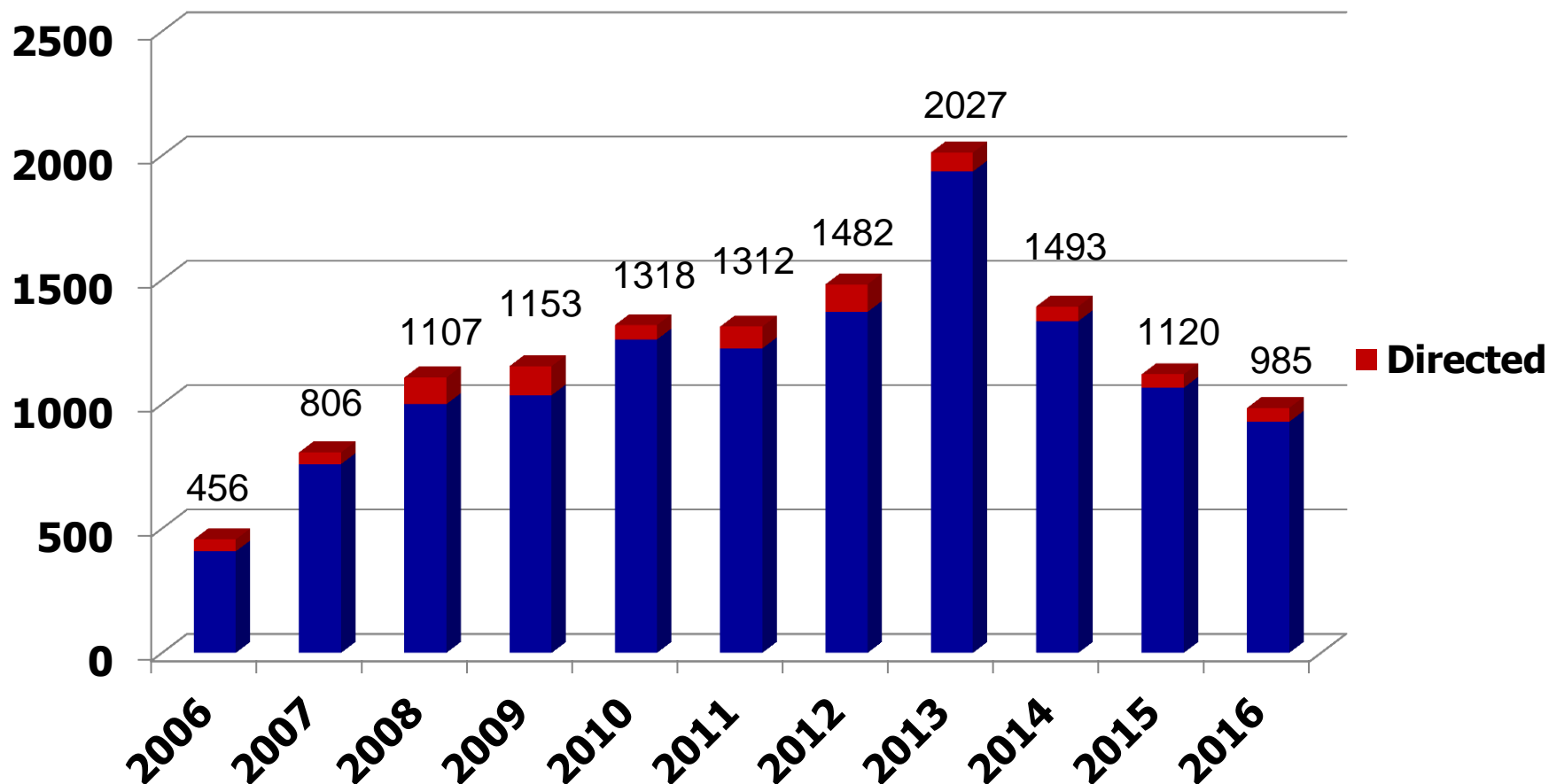


Registration, MAD, etc. in FY2016

- Total Registrants: 12,824 (FY2015: 12,503)
 - Manufactures/Exporters: 11,657 (FY2015: 11,385)
 - Brokers: 1,167, 88% U.S. (FY2015: 1,118, 85 % U.S.)
- Mergers, Acquisitions, & Divestitures (MAD)
 - Reviewed 374 MADs (FY2015: 324)
 - Reviewed 88 Foreign MADs (FY2015: 82)
 - 45 transactions reviewed under CFIUS process (FY2015: 42)
- Committee on Foreign Investment in the U.S. (CFIUS)
 - About 35-40% of CFIUS cases involve ITAR equities
- Reporting retransfer violations to Congress (pursuant to AECA Section 3)



Disclosure Trends by FY





Assessing Disclosures



- Harm to U.S. foreign policy or national security
- Adherence to law, regulations, and DDTC's licensing and compliance policies
- Severity of violations
 - Minor/administrative versus pervasive/substantive
 - Procedural or judgmental
 - Isolated incident or repeated violation
 - Number of locations, programs, and business units affected



Assessing Disclosures



- Destinations (proscribed countries) and other persons involved
- Whether transaction would have been authorized
- Company's approach and commitment to compliance
 - Unclear or incomplete disclosure
 - Nature of investigation; root causes identified
 - Remedial measures implemented
 - Improved company compliance program



Assessing Disclosures



- Majority of disclosure cases closed without further action
- When warranted, most common DTCC actions include:
 - Request additional information
 - Review company compliance program
 - Recommend additional compliance measures
 - Recommend audit of compliance program
 - Recommend commodity jurisdiction (CJ) submission
 - Disclosure resolved under a consent agreement



Consent Agreements

- Agreements include a proposed charging letter (PCL), monetary penalty, and enforceable conditions, such as:
 - Appointment of a Special Compliance Official (SCO)
 - Review, audit, and reporting requirements
 - Compliance program improvements
 - Typically 3-4 years (substantial self-initiated measures often implemented before Agreement)
- Monitoring by DTCC
 - Review of audits and SCO reports
 - Company visits
- All PCLs and Consent Agreements are posted on DTCC website for public review



Consent Agreements

Active DTCC Consent Agreements (CA)					
Name	Term	Proposed Charges	Penalty Total (Mil)	Suspended Amount (Mil)	Debarment
BAE	2011-2015*	2,591	\$79	\$10	Statutory (rescinded) & policy of denial
Sikorsky/ Lockheed Martin**	2012-2016	N/A	N/A	N/A	N/A
Esterline	2014-2017	282	\$20	\$10	None
Turi/TDG	2016-2020	2	\$.2	\$.2	Non-debarment preclusion from ITAR activities
Raytheon	2013-2017	125	\$8	\$4	None
Aeroflex	2013-2015*	158	\$8	\$4	None

* CA has not yet concluded

** UTC CA concluded; terms/requirements followed Sikorsky divestment to Lockheed Martin, remain in effect



Key Facets of A Compliance Program



- Company/organization commitment
- Management support of ITAR compliance
- Sufficient human, financial, and infrastructure resources
- Compliance policies, procedures, implementation
- Broad education and training for all; detailed education and training for some



Compliance -- A Corporate Ethos



- AECA/ITAR compliance is the underpinning of all defense trade activities
 - A competent compliance program is *essential* to maintain the Department's trust and obtain the export authorizations required to successfully conduct and grow business
 - Compliance shouldn't be relegated to the legal or global trade compliance organizations for sole responsibility – everyone is responsible for compliance!
 - Poor compliance will impede business development
 - Direct correlation between a solid compliance program and success in this industry



Tailored Program

- Best compliance programs are tailored to the company and its business
- Don't need to be complicated – they need to work
- For general guidelines, see:
http://www.pmddtc.state.gov/compliance/documents/compliance_programs.pdf



DDTC IT MODERNIZATION Industry Briefing

Directorate of Defense Trade Controls

Karen Wrege, Chief Information Officer

November 2016



What is the objective?

- **IT Modernization aims to improve industry users' experience by providing:**
 - Single, simplified interface for all DDTC online services
 - Improved availability
 - Enhanced security
 - Streamlined DDTC business processes and automated workflow
 - Automation for data reuse



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Where are we going?

- **DECCS instead of DTrade/EFS**
 - Defense Export Control and Compliance System (DECCS)
 - Single, simple online interface
 - Government cloud with improved availability
- **Better User Experience (UX):**
 - Browser based web application vs form fill/file/submit
 - Ability to copy submissions
 - Required data fields indicated
 - Dashboard to track work items
 - Rich industry homepage
 - Anonymous User Access
- **Improved Security:**
 - Logon/Password
 - Digital Certificate
 - Multiple layers of technology
 - Secure online [Pay.gov](https://www.pay.gov)
- **Streamlined Processes**
 - Consolidate data collection down to 4 forms w/new numbers



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What will change?

- Electronic Filing System (EFS)
 - DTrade
 - MARY
 - ELLIE
-
- ❖ ELISA will continue to be used for tracking CJs



What progress has been made?

✓ Defense Export Control and Compliance System (DECCS)

- Micropact entellitrak software acquired
- Agile development underway
- Sprints are progressing
- Batch processing test

✓ DDTC Processes Revamped:

- Commodity Jurisdiction
- Registration
- Fees
- Material Changes
- General Correspondence

✓ OMB Approvals:

- Registration (DS-2032)
- Commodity Jurisdiction (DS-4076)
- Licensing (approval pending)

✓ Forms Updated:

DS-7787 – Disclosures

Internal Comment Review

DS-7789 - Material Change

Internal Comment Review

DS-7788 - Licensing

Internal Comment Review

DS-7786 - Advisory Opinions

Public Comment



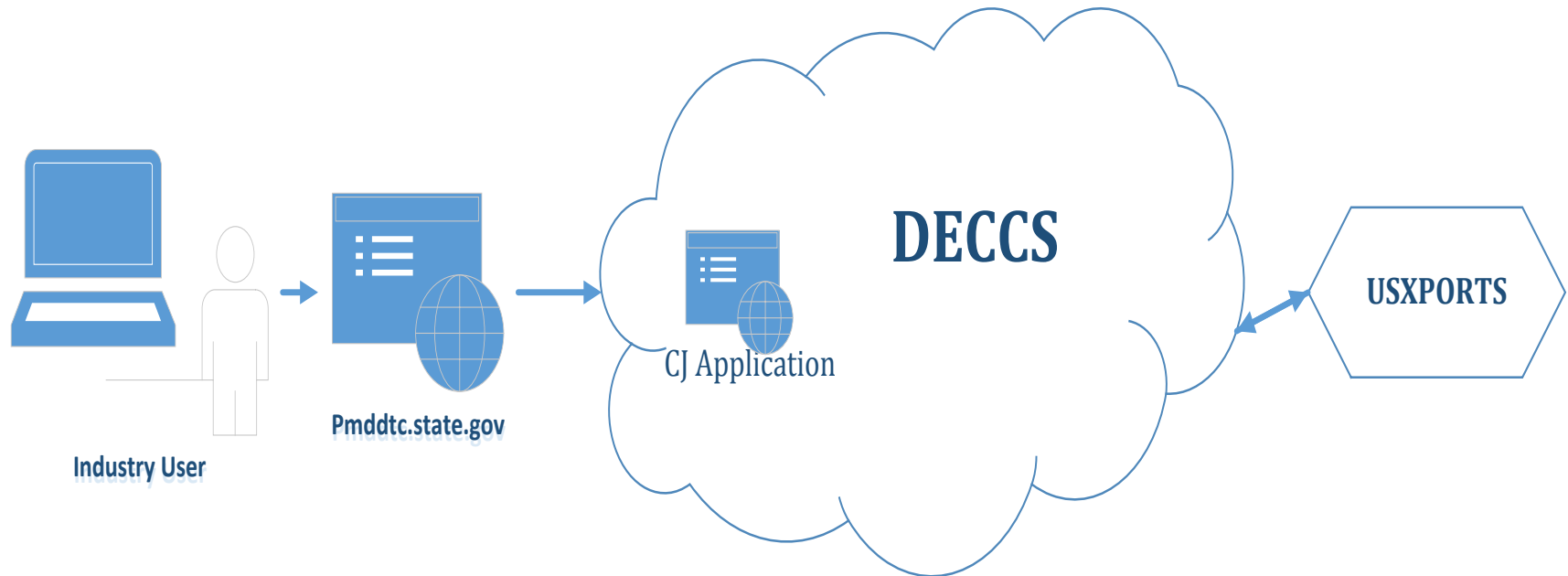
What's Next?

- **New Commodity Jurisdiction (CJ) application - November 2016**
- **Defense Export Control Compliance System (DECCS) Release #1**
 - *One Stop Shopping* – no more downloading a form, completing it offline and returning to EFS for submission
 - *Web Based* - No more Adobe PDF forms
 - *Digital Signature* – No more pen and ink signatures
- **What will stay the same?**
 - ELISA – continue to track case status in ELISA (<http://elisa.dtsa.mil/>)
 - Determination Letter – will remain a paper letter mailed to the filer.

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Defense Export Control and Compliance System



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CJ Timeline

- ✓ Industry testers invited to test new CJ process (9/29)
- ✓ Industry testing underway (10/3 – 10/7)
- ✓ Webinar for Industry (10/14 2pm EST)
- ✓ Web Notice announcing new CJ process (10/24)
- Last day to use EFS for CJ submissions (Wed 11/16 6pm EST)
- No CJ requests will be accepted (11/16 6pm – 11/21 8am EST)
- Final setup CJ application in DECCS (11/18 – 11/20)
- New CJ Process GO LIVE - DECCS R#1 (target 11/21 8am EST)

DDTC IT Contacts

Karen Wrege, CIO:

WregeKM@state.gov

PM/DDTC Project Team:

PM_DDTCProjectTeam@state.gov *(include underscore)*

Website:

pmdrtc.state.gov



What should you do?

- ☐ **Stay informed** - check pmddtc.state.gov for updates
- ☐ **Participate in testing** — Email contact info to PM_DDTCProjectTeam@state.gov
- ☐ **Submit comments** - review proposed new data collections/forms
- ☐ **Email suggestions** — tell us how you think we can improve the systems
- ☐ **Attend webinars** — [Oct 14 Webinar on New CJ Process \(DECCS Release #1\)](#)



New CJ Process

DECCS Release 1

 The screenshot shows the top portion of the DS-4076 Commodity Jurisdiction (CJ) Determination Form. At the top left is the U.S. Department of State seal. To its right, the text "U.S. DEPARTMENT OF STATE" and "DIRECTORATE OF DEFENSE TRADE CONTROLS" is visible. A white box labeled "Site Navigation" points to a navigation bar containing buttons for "Home", "New", "Open", "Prev", "Next", "Save", "Delete", and "Submit". Below this bar is a status bar with 15 numbered blocks. Block 1 is green with a checkmark, and block 2 is yellow with a warning triangle. Below the status bar, the text "Electronic Form Version Number: 2.0" is on the left, and "OMB APPROVAL NO. 1405-0163", "EXPIRATION DATE: 3/31/2019", and "* ESTIMATED BURDEN: 4 HOURS" are on the right.

Status Bar
highlights
completeness of
blocks

Save & Submit

U.S. Department of State

DS-4076 Commodity Jurisdiction (CJ) Determination Form

(SEE INSTRUCTIONS PAGE)

* PAPER WORK REDUCTION ACT STATEMENT: Public reporting burden for this collection of information is estimated to average 4 hours per response, including time required for searching existing data sources, gathering the necessary data, providing the information required, and reviewing the final collection. Send comments on the accuracy of this estimate of the burden and recommendations for reducing it to: Department of State (PM/DDTC) Washington, D.C. 20037.

Classified Information must not be included, or referred to, in the form. For issues that may pertain to classified information, contact the DDTC Response Team.

Form Blocks

1. [Filer Information](#)
2. [CJ Determination Type](#)
3. [Commodity/Service Type](#)
4. [Commodity/Service Basic Information](#)
5. [Commodity/Service Detailed Description](#)
6. [Special/Unique Characteristics and Capabilities](#)
7. [Commodity Origin](#)
8. [Product Development Stage](#)
9. [Funding History](#)
10. [Sales Information](#)
11. [Export/Classification Information](#)
12. [Reason for Submitting CJ Request](#)
13. [Publication](#)
14. [Other](#)
15. [Applicant/Submitter's Certification](#)



CJ – Instructions

**Instructions are provided as
guidance for the data collection**

U.S. Department of State
Directorate of Defense Trade Controls

DS-4076 COMMODITY JURISDICTION (CJ) DETERMINATION REQUEST FORM

GENERAL NOTES:

- A "ITAR" refers to the International Traffic in Arms Regulations (22 CFR parts 120-130).
- B "USML" refers to the United States Munitions List (§ 121.1 of the ITAR).
- C "EAR" refers to the Export Administration Regulations (15 CFR parts 730 through 774).
- D "CCL" refers to the Commerce Control List within the EAR.
- E "Jurisdiction" refers to the placement of a commodity (i.e., item, information, or service) under the control of a specific set of regulations (e.g., ITAR or EAR).
- F "Classification" refers to the specific placement of that commodity within its respective set of regulations (e.g., Category VIII(a)(1) of the ITAR, or Paragraph 9A610.x of the EAR).
- G Unless specified otherwise, all entries are required. Incomplete submissions may be Returned Without Action (RWA).
- H Provide descriptions in all applicable text fields and attach additional information when requested.
- I Do not state "see attached" in any block, as this will cause a submission to be rejected.
- J Do not provide replies in all caps.
- K All relevant materials and supporting documentation must be filed with the DS-4076 form at time of submission.
- L Each Commodity Jurisdiction (CJ) determination request must be accompanied by a cover letter, on the filer's letterhead, providing an executive summary of the request for determination.
- M Classified information shall not be included in the CJ determination request.
- N A filer need not register with the Directorate of Defense Trade Controls (DDTC) at the time a CJ determination request is submitted. However, in the event a filer is registered with DDTC, that information must be entered on the form.
- O Commodities and/or services may be exported or temporarily imported concurrent with a commodity jurisdiction submission. However, the filer is strongly encouraged to treat the export as subject to the ITAR and to obtain any required licensing approvals prior to export. Doing so may avoid export violations should the item or service be determined to be subject to the ITAR.
- P For assistance in completing this form, contact the DDTC Response Team at 202-663-1282 or by email at DDTCResponseTeam@state.gov.

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<http://pmdtdc.azurewebsites.us/cj>

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Supporting Slides

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CJ – Home Page

**U.S. DEPARTMENT OF STATE**
DIRECTORATE OF DEFENSE TRADE CONTROLS

Home New Open Prev Next Save Delete Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Electronic Form Version Number: 2.0

OMB APPROVAL NO. 1405-0163
EXPIRATION DATE: 3/31/2019
* ESTIMATED BURDEN: 4 HOURS

U.S. Department of State
DS-4076 Commodity Jurisdiction (CJ) Determination Form
(SEE INSTRUCTIONS PAGE)

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- [8. Product Development Stage](#)
- [9. Funding History](#)
- [10. Sales Information](#)
- [11. Export/Classification Information](#)
- [12. Reason for Submitting CJ Request](#)
- [13. Publication](#)
- [14. Other](#)
- [15. Applicant/Submitter's Certification](#)



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CJ – Block 1

Home New Open Prev Next Save Delete Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Block 1. Filer Information

✖ Registration Code: ☐ Not registered with PM/DDTC

✖ Filer Type:

☐ Manufacturer ☐ Exporter ☐ U.S. Government ☐ Foreign Government

☐ Manufacturer's Representative ☐ Other

✖ Company or Organization:

"Doing Business As" Name:

✖ Address:

Address:

✖ City: ✖ Country:

State/Province: Zip/Postal Code:

☐ Please provide documentation authorizing you to file on the manufacturer's behalf and to publicly release the information provided in Block 4. Additionally, this documentation must include the manufacturer's name and contact information.

Point of Contact:

Point of Contact 1:

✖ Point of Contact:

✖ POC Telephone: ✖ POC E-Mail:

Technical Point of Contact:

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CJ – Block 1 Complete



U.S. DEPARTMENT OF STATE
DIRECTORATE OF DEFENSE TRADE CONTROLS

Home New Open Prev Next Save Delete Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Block 1: Filer Information ✓

Registration Code: ☒ Not registered with PM/DDTC

Filer Type:

☒ Manufacturer ☐ Exporter ☐ U.S. Government ☐ Foreign Government
☐ Manufacturer's Representative ☐ Other

Company or Organization:

"Doing Business As" Name:

Address:

City: **Country:**

State/Province: **Zip/Postal Code:**

☐ Please provide documentation authorizing you to file on the manufacturer's behalf and to publicly release the information provided in Block 4. Additionally, this documentation must include the manufacturer's name and contact information.

Point of Contact:

Point of Contact 1:

Point of Contact:

POC Telephone: **POC E-Mail:**

Technical Point of Contact:

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CJ – Block 2

A screenshot of the U.S. Department of State Directorate of Defense Trade Controls (DDTC) web application. The header shows the DDTC logo and name. Below the header is a navigation bar with buttons for "Home", "New", "Open", "Prev", "Next", "Save", "Delete", and "Submit". A progress bar shows 15 steps, with steps 1, 2, and 3 marked as complete (green checkmarks), and step 4 marked as the current step (yellow triangle). The main content area is titled "Block 2: CJ Determination Type" with a green checkmark. Below this is a section titled "Determination Type" with three radio button options: "New Submission", "Resubmission", and "Related to a U.S. Government request". The "New Submission" option is selected.

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CJ – Block 3

A screenshot of the U.S. Department of State Directorate of Defense Trade Controls (DDTC) web application. The header shows the DDTC logo and name. Below the header is a navigation bar with buttons: Home, New, Open, Prev, Next, Save, Delete, and Submit. A progress bar below the navigation bar shows 15 steps, with steps 1, 2, and 3 marked as completed (green checkmarks) and step 4 marked as the current step (yellow triangle). The main content area is titled "Block 3. Commodity/Service Type" with a green checkmark. Below this title is a section labeled "Commodity/Service Type" with a red circle icon. It contains a list of checkboxes for selecting the commodity or service type:

- ☒ End Item
- ☐ Component/Major
- ☐ Component/Minor
- ☐ Part
- ☐ Accessory/Attachment
- ☐ Firmware
- ☐ Software
- ☐ System
- ☐ Service
- ☐ Information

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CJ – Block 4

A screenshot of the U.S. Department of State Directorate of Defense Trade Controls (DDTC) Block 4 form. The form is titled "Block 4. Commodity/Service Basic Information" and is part of a multi-step process. The top navigation bar includes buttons for "Home", "New", "Open", "Prev", "Next", "Save", "Delete", and "Submit". Below the navigation bar is a progress indicator with 15 steps, where step 4 is currently selected and highlighted in green. The form itself is titled "Commodity 1" and contains several fields for data entry. The fields are: "Product Name:" (text: test), "Generic Description:" (text: test), "Model and Version Number:" (text: test), "Part Number:" (text: test), "National Stock Number:" (text: test), "Other Identifier:" (text: test), "Military/Intelligence Specification:" (text: test), "Patent Information:" (text: test), "Cost Per Unit:" (text: 1.00), "Manufacturer's Website:" (text: www.test.com), "Commodity/Service Website:" (text:), and "Explain if restricted for public release by the U.S. Government:" (text: The text block like all the others does expand to allow for expansion.). Each field has a small "test" button next to it. At the bottom of the form, there are "Remove" and "Add" buttons.



CJ – Block 5

A screenshot of the U.S. Department of State Directorate of Defense Trade Controls (DDTC) web application. The header shows the DDTC logo and name. Below the header is a navigation bar with buttons: Home, New, Open, Prev, Next, Save, Delete, and Submit. A progress bar shows 15 blocks, with block 5 highlighted in yellow. The main content area is titled "Block 5. Commodity/Service Detailed Description" with a green checkmark. It contains a red icon and a text box with the instruction: "Provide a detailed description of the item, software, information, or service. At a minimum, describe what it does, how it operates, the components and/or systems that are used in or with it, and identify the end use platform in which the item is to be integrated, incorporated, etc. If it is a minor component." Below the instruction is a text input field containing the word "test".



CJ – Block 6



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DIRECTORATE OF DEFENSE TRADE CONTROLS

Home Now Open Prev Next Save Delete Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Block 6. Special/Unique Characteristics and Capabilities

☐ Ballistic Protection

☒ Chemical, Biological Weapon

Explain:

☐ Civil Applications

☐ Hard Points

☐ Intelligence Applications

☐ Low Observable/Counter-Low Observable

☐ Military Applications

☐ Radiation Hardened

☐ Surveillance or Intelligence Gathering Capability

☐ Space Applications

☐ Specialty Designed

☐ TEMPEST Capability

☐ Thermal or Infrared Signature Reduction Capability

☐ Other



CJ – Block 7



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Home Now Open Prev Next Save Delete Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Block 7. Commodity Origin

1 Was or is this commodity being developed with knowledge for use in or with a particular commodity (e.g., F/A-18 or HMMWV)?
☐ Yes ☒ No

2 Was or is this commodity being developed with knowledge for use in or with a type of commodity (e.g., aircraft or machine tool)?
☐ Yes ☒ No

3 Was or is this commodity being developed with knowledge that it would be used in or with defense articles enumerated on the U.S. Munitions List?
☐ Yes ☒ No

4 Was or is this commodity being developed with knowledge that it would be used in or with commodities not on the U.S. Munitions List?
☐ Yes ☒ No

5 Regardless of form or fit, is this commodity a fastener, washer, spacer, insulator, grommet, bushing, spring, wire, or solder?
☐ Yes ☒ No

6 Does this commodity have the same function and performance capabilities as another commodity used in or with an item that is both (a) currently or formerly in production and (b) not enumerated on the U.S. Munitions List?
☐ Yes ☒ No ☐ Unknown

7 Are identical or comparable products available through foreign means?
☐ Yes ☒ No ☐ Unknown



CJ – Block 8

A screenshot of the U.S. Department of State Directorate of Defense Trade Controls (DDTC) web application. The header shows the DDTC logo and name. Below the header is a navigation bar with buttons for "Home", "New", "Open", "Prev", "Next", "Save", "Delete", and "Submit". A progress bar below the navigation bar shows 15 steps, with steps 1 through 8 highlighted in green and steps 9 through 15 in blue. Step 8 is currently selected. The main content area displays "Block 8: Product Development Stage" with a green checkmark. Below this is a question: "What is the current stage of product development for this item?". There are four radio button options: "Blueprint/Design Stage", "Design complete/No sales yet", "Design complete/Prototype/No sales yet", and "Design complete/Sales". The "Design complete/No sales yet" option is selected.

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Home New Open Prev Next Save Delete Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Block 8: Product Development Stage

What is the current stage of product development for this item?

☒ Blueprint/Design Stage ☐ Design complete/No sales yet ☐ Design complete/Prototype/No sales yet

☐ Design complete/Sales ☐ Other



CJ – Block 9

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Home New Open Prev Next Save Delete Submit

1 ✓ 2 ✓ 3 ✓ 4 ✓ 5 ✓ 6 ✓ 7 ✓ 8 ✓ 9 ✓ 10 11 12 13 14 15

Block 8. Funding History ✓

Funding History

- ☐ U.S. Government (USG) Agency
- ☐ Foreign Government Agency
- ☐ U.S. or Foreign Contractor
- ☐ University Funded
- ☒ Self-funded



CJ - Block 10

A screenshot of the U.S. Department of State Directorate of Defense Trade Controls (DDTC) web application. The header shows the DDTC logo and name. Below the header is a navigation bar with buttons for Home, New, Open, Prev, Next, Save, Delete, and Submit. A progress bar shows 15 blocks, with Block 10 highlighted. The main content area is titled "Block 10. Sales Information" and contains a form with the following questions and input fields:

- Have there been any sales in the past 5 years?
 - ☐ Yes ☐ No
- If no, there have been no sales:
 - ☐ If fully developed, please explain why there have not been any sales:
 - Text input field containing "Text"

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CJ Block 11

A screenshot of the U.S. Department of State Directorate of Defense Trade Controls (DDTC) web application. The header shows the DDTC logo and name. Below the header is a navigation bar with buttons: Home, New, Open, Prev, Next, Save, Delete, and Submit. A progress bar shows 15 blocks, with block 11 highlighted. The main content area is titled "Block 11. Export/Classification Information" and contains two questions, each with radio button options for Yes, No, or Unknown.

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Home New Open Prev Next Save Delete Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Block 11. Export/Classification Information

Has this commodity been previously exported?
☐ Yes ☐ No ☐ Unknown

Has this commodity been subject to a Department of Commerce Classification Request?
☐ Yes ☐ No ☐ Unknown

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CJ – Block 12



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Home New Open Prev Next Save Delete Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Block 12: Reason for Submitting CJ Request

Explanation:
Test

Order of Review analysis:
Test

Suggested U.S. Munitions List (USML) category and/or subcategory: (if applicable)
|

Suggested Export Administration Regulations, Export Control Classification Number (ECCN): (if applicable)

Rationale for recommended classifications, to include specially designed analysis: (if applicable)

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CJ – Block 13

A screenshot of the U.S. Department of State Directorate of Defense Trade Controls (DDTC) Block 13 Publication form. The form is titled "U.S. DEPARTMENT OF STATE" and "DIRECTORATE OF DEFENSE TRADE CONTROLS". It features a navigation bar with buttons for "Home", "New", "Open", "Prev", "Next", "Save", "Delete", and "Submit". Below the navigation bar is a row of numbered tabs from 1 to 15, with tab 13 highlighted. The main content area is titled "Block 13. Publication" and contains a red warning icon and text stating: "The Directorate of Defense Trade Controls reserves the right to post a description of the commodity and final DDTC action on its website to provide the public access to the information in Block 4 and any other descriptive information provided below. If you believe that any information contained in Block 4 is proprietary, please specifically identify the information below and provide a summarized rationale for DDTC to consider withholding the information from public notice." Below this text is a text input field containing the word "test".

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CJ – Block 14



The screenshot shows the U.S. Department of State Directorate of Defense Trade Controls (DDTC) form interface. At the top, the DDTC logo and name are displayed. Below this is a navigation bar with buttons for "Home", "New", "Open", "Prev", "Next", "Save", "Delete", and "Submit". A progress bar shows 15 blocks, with block 14 highlighted. The form content for Block 14, titled "Block 14. Other", includes a text area for "Please provide any other information that should be considered and is not otherwise included in this form." with the word "test" entered. Below this is a section for "Describe supporting documentation attached:" with an "Add Additional Document" button.

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CJ - Block 15



U.S. DEPARTMENT OF STATE
 DIRECTORATE OF DEFENSE TRADE CONTROLS

Home New Open Prev Next Save Delete Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Block 15. Applicant/Submitter's Certification

Under Penalty According to Federal Law (See 22 CFR 127, 22 U.S.C. 2778, and 18 U.S.C. 1001).

I am the authorized employee of the company cited in Block 1, or a third party as described in Block 1 authorized to submit on behalf of the company in Block 1, and certify as to the accuracy and completeness of the information provided and have not knowingly omitted information that could have an impact on the final determination issued by the U.S. Department of State. Furthermore, I have specific authority to release for publication the text contained in Block 4.

Test Person

Owner

10/05/2016

Signature

Title

Date

I'm not a robot

Unless requested otherwise, DDTC will e-mail the Commodity Jurisdiction determination as well as any other information associated with this case.

Privacy Act Statement

AUTHORITY: The information is sought pursuant to Exec. Order No. 13637, 22 U.S.C. 2778, 22 CFR § 120.3, 22 CFR § 120.4, and 22 CFR Part 121.

PURPOSE: The purpose of a commodity jurisdiction determination request is to provide the U.S. Government with information concerning the design, manufacture, export, brokering, and sale of certain defense articles which may or may not be controlled under the United States Munitions List (USML, 22 CFR Part 121) and are therefore subject to the export licensing jurisdiction of the Department of State. This information will be used to determine the correct classification of items under the USML.

ROUTINE USE: The information supplied on this form is made available to appropriate agencies for law enforcement or pursuant to a court order. It may also be used to send required reports to Congress about certain defense transactions. More information on the Routine Uses for the system can be found in the System of Records Notice State-42, Munitions Records.

DISCLOSURE: Providing this information is voluntary and designed to assist individuals and companies to properly determine the classification of certain defense articles. Failure to provide the information requested on this form may result in adverse determinations by the U.S. Government as regards the proper classification of defense articles manufactured, sold, or brokered by the respondent.



CJ - reCaptcha

U.S. DEPARTMENT OF STATE
DIRECTORATE OF DEFENSE TRADE CONTROLS

Home Now Open Prev Next Save Delete Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Block 15. Applicant/submitter's Certification ✓

Under Penalty According to Federal Law (See 22 CFR 127, 22 U.S.C. 2778, and 18 U.S.C. 1001).

I am the authorized employee of the company cited in Block 1, or a third party as described in Block 1 authorized to submit on behalf of the company in Block 1, and certify as to the accuracy and completeness of the information provided and have not knowingly omitted information that could have an impact on the final determination issued by the U.S. Department of State. Furthermore, I have specific authority to release for publication the text contained in Block 4.

Test Person Owner Title 10/05/2016

Signature Date

✓ I'm not a robot reCAPTCHA Privacy - Terms

Unless requested otherwise, DDTC will e-mail the Commodity Jurisdiction determination as well as any other information associated with this case.

Privacy Act Statement

AUTHORITY: The information is sought pursuant to Exec. Order No. 13637, 22 U.S.C. 2778, 22 CFR § 120.3, 22 CFR § 120.4, and 22 CFR Part 121.

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ROUTINE USE: The information supplied on this form is made available to appropriate agencies for law enforcement or pursuant to a court order. It may also be used to send required reports to Congress about certain defense transactions. More information on the Routine Uses for the system can be found in the System of Records Notice State-42, Munitions Records.

DISCLOSURE: Providing this information is voluntary and designed to assist individuals and companies to properly determine the classification of certain defense articles. Failure to provide the information requested on this form may result in adverse determinations by the U.S. Government as regards the proper classification of defense articles manufactured, sold, or brokered by the respondent.



CJ – Submission Response

U.S. DEPARTMENT OF STATE
DIRECTORATE OF DEFENSE TRADE CONTROLS

Home New Open Prev Next Save Cancel Submit

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

Block 16. Applicant/Submitter's Certification

Under Penalty According to Federal Law (See 22 CFR 127, 22 U.S.C. 2778, and 18 U.S.C. 1001):

I am the authorized employee of the company cited in Block 1, or a third party as described in Block 1 authorized to submit on behalf of the company in Block 1, and certify as to the accuracy and completeness of the information provided and have not knowingly omitted information that could have an impact on the final determination issued by the U.S. Department of State. Furthermore, I have specific authority to release for publication the text contained in Block 4.

Full Person Owner 10/05/2016

Signature Title Data

☐ I'm not a robot

reCAPTCHA
Block 16

Unless requested otherwise, DDTC will email the Commodity Jurisdiction determination as well as any other information associated with this case.

Privacy Act Statement

AUTHORITY: The information is so collected pursuant to 22 CFR Part 121.

PURPOSE: The purpose of a commodity jurisdiction determination is to determine whether the design, manufacture, export, brokering, sale, or transfer of defense articles, defense services, or munitions is controlled under the United States Munitions List (USML), 22 CFR Part 121. Information will be used to determine whether the design, manufacture, export, brokering, sale, or transfer of defense articles, defense services, or munitions is controlled under the United States Munitions List (USML), 22 CFR Part 121.

ROUTINE USE: The information supplied on this form is made available to appropriate agencies for law enforcement or pursuant to a court order. It may also be used to send required reports to Congress about certain defense transactions. More information on the Routine Uses for the system can be found in the System of Records Notice State-42, Munitions Records.

DISCLOSURE: Providing this information is voluntary and designed to assist individuals and companies to properly determine the classification of certain defense articles. Failure to provide the information requested on this form may result in adverse determinations by the U.S. Government as regards the proper classification of defense articles manufactured, sold, or brokered by the respondent.

Success

Your CJ application has been received and assigned to CJ-1160-16. To track the status of your CJ application visit <http://elisa.dtsa.mil/>

Close



Contact Information



- DDTC's website: www.pmddtc.state.gov (lots of resources)
- Generic Questions: DDTC Response Team, 202-663-1282
DDTCResponseTeam@state.gov
- DTC IT Issues: DDTC Help Desk, 202-663-2838
dtradehelpdesk@state.gov
- Case status: <http://elisa.dtsa.mil/>



Q & A



Questions?