



DEFENSE SECURITY COOPERATION AGENCY

WASHINGTON, DC 20301-2800

APR 02 2004

In reply refer to:

I-04/001278-P3-P2

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Golden Sentry End-Use Monitoring (EUM) Visit Policy (DSCA Policy Memorandum 04-11) [SAMM E-Change 6]

DSCA Policy Memorandum 02-43, 4 December 2002, delineated DoD responsibilities in support of the Golden Sentry End-Use Monitoring (EUM) program. This policy was incorporated into Chapter 8 of the Security Assistance Management Manual (SAMM). In-country visits to assess and evaluate EUM compliance programs are an important part of the Golden Sentry program. Since publication of this policy, the security cooperation community has requested clearer guidance on the execution of these visits. The purpose of this memorandum is to clearly identify the types of visits that might be conducted as part of the Golden Sentry program and the requirements and timelines for the execution of each type of visit.

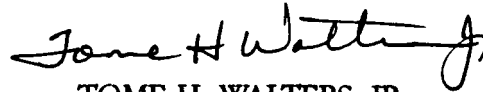
There are three types of visits that comprise the Golden Sentry EUM program: (1) EUM Familiarization Visit, (2) EUM Tiger Team Visit, and (3) EUM Investigation Visit. Attachments 1-3 provide the requirements and notional timelines for each of these visits. Some of these visits include actual physical checks of articles/services. Attachment 4 provides a checklist used to review requirements for Stinger Missiles. Additional checklists, containing similar information, are being developed for all Enhanced EUM articles/services and will be provided in subsequent policy memoranda for future incorporation into the SAMM.

After each visit, DSCA and other team members are required to publish after action reviews and reports as indicated on Attachments 1-3. Attachment 5 is a sample format for an after action report.

This policy is the product of lessons-learned from conducting EUM Tiger Team Visits to Japan and Egypt and Familiarization Visits to several of the Unified Combatant Commands. We recognize that EUM visits may have a significant impact on the relationship of the host nation and the U.S. country team. Therefore, it is critical that every effort be made to (1) demonstrate respect for the host nation's sovereignty through proper and timely coordination by USG representatives, and (2) keep each EUM visit as short and non-intrusive as possible to achieve the mission.

Effective immediately, the SAMM, located on the DSCA web site, is updated to incorporate this information in Chapter 8, new paragraph C8.2.4. If you have any questions regarding these changes, my point of contact is Mr. Leon N. Yates at (Voice) 703-601-3865

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**TOME H. WALTERS, JR.
LIEUTENANT GENERAL, USAF
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Attachments:

1. EUM Familiarization Visit Guidance
2. EUM Tiger Team Visit Guidance
3. EUM Investigation Visit Guidance
4. DSCA Enhanced End-Use Monitoring Checklists for Stinger Missiles
5. EUM Visit After Action Report Format

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ATTACHMENT 1

EUM Familiarization Visit Guidance

The purpose of an EUM Familiarization Visit is to assist the host nation, the Security Assistance Organization (SAO) (or equivalent organization/office), and the Unified Command with the development of effective End Use Monitoring (EUM) compliance plans. It provides an opportunity for the DSCA EUM representative to determine what will be necessary to plan and conduct a future EUM Tiger Team Visit in that country should a Tiger Team Visit be required. A Familiarization Visit may be prompted by several different events. Some examples include: The host nation or SAO may request a Familiarization Visit to help them develop their EUM compliance plan; DSCA may determine a Familiarization Visit is needed based on the introduction of specific types of equipment into the region/country; The Unified Command may request a Familiarization Visit to validate EUM programs within their theater; DSCA may determine a Familiarization Visit is needed to ensure an upcoming Tiger Team Visit is on-track; etc. While a Familiarization Visit may oftentimes precede a Tiger Team Visit, it is not necessary to conduct a Familiarization Visit before conducting a Tiger Team Visit.

Each EUM Familiarization Visit will be unique to the country and equipment being assessed. For planning purposes, below is the recommended timeline and formal action requirements for EUM Familiarization Visits. While informal correspondence will likely occur prior to these actions, these “formal” requirements will ensure the processes are well coordinated and documented.

EUM Familiarization Visit Requirements and Timeline

Event No.	Timeframe	Description
1	Not later than 30 days prior to visit	DSCA/Policy, Plans, and Programs Directorate transmit a Country/Theater Clearance Message in accordance with Foreign Travel Guidance. This message is coordinated with the DSCA Regional Director and identifies major topics to be discussed.
2	Upon receipt of Country/Theater clearance message (Event #1)	<ul style="list-style-type: none">• SAO acknowledges confirmation for the Familiarization Visit and identifies points of contact (POC) for each subject to be discussed.• SAO ascertains if the visit will be limited to U.S. members only or if host nation participation is warranted.
3	15 days prior to visit	<ul style="list-style-type: none">• SAO finalizes itinerary with DSCA/Policy, Plans and Programs Directorate and, if applicable, the host nation.• SAO finalizes requirements for the visit, confirms entry information for each site to be visited, and assures that

Event No.	Timeframe	Description
		<p>affected unit commanders have received the required authorization and understand the nature and purpose of the visit.</p>
4	Familiarization Visit	<ul style="list-style-type: none"> • SAO ensures someone is at the airport to assist the EUM Familiarization Visit participants when requested by the team. • An SAO representative meets with visit participants upon arrival at the hotel and/or duty location, if required. • Each Familiarization Visit must include the following: <ul style="list-style-type: none"> ➢ Meeting with EUM Familiarization Visit Team members and the U.S. country team ➢ Meeting with EUM Familiarization Visit Team members and the host nation (if applicable) ➢ Update of Golden Sentry Program by DSCA ➢ Discussions regarding type and quantity of enhanced EUM articles transferred to the host nation ➢ Discussions regarding SAO and host nation’s current compliance with EUM requirements ➢ Discussions regarding development of a compliance plan commensurate with the SAO’s unique manning ➢ Discussions regarding possibility for a future Tiger Team Visit ➢ Site visits if required ➢ Out-briefing for US country team and host nation as appropriate • While the Familiarization Visit is not intended for accomplishing physical inventories or compliance verification, the EUM Familiarization Visit Team may observe problems during the visit that must be addressed immediately. If during the Familiarization Visit evidence of a possible AECA Section 3 or FAA Section 505 violation is uncovered, see Event #5. If the Familiarization Visit does not uncover any evidence of an AECA Section 3 or FAA Section 505 violation, see Event #6.
5	Immediately upon discovery of a potential AECA Section 3 or FAA Section 505 violation	<ul style="list-style-type: none"> • The EUM Familiarization Team notifies the SAO and country-team with details about the potential violation. • The EUM Familiarization Team notifies the Director, Policy, Plans, and Programs Directorate with details about the potential violation and SAO/country-team response. • If there is a possible violation, the Policy, Plans, and Programs Director, in coordination with the appropriate Regional Director and the U.S. Department of State, will prepare talking points to be used by the country-team to (1)

Event No.	Timeframe	Description
		<p>notify the host nation of the possible violation and (2) request that the host nation respond to the issue within 30 days.</p> <ul style="list-style-type: none"> • If the host nation's response and subsequent assessments confirm the potential violation, DSCA formally forwards information regarding the potential violation to the U.S. Department of State for appropriate action.
6	No later than 15 days after return to CONUS	<ul style="list-style-type: none"> • DSCA EUM lead provides back brief to DSCA/Policy, Plans and Programs and Regional Directorates. • DSCA EUM lead prepares an after action report for distribution to DSCA, the SAO, and the Unified Command.

ATTACHMENT 2

EUM Tiger Team Visit Guidance

The purpose of an EUM Tiger Team Visit is to review and evaluate the Security Assistance Organization (SAO) (or equivalent organization/office) and host nation’s overall EUM compliance program. The EUM Tiger Team will assess a country’s compliance with specific physical security and accountability agreements, provisos, and other terms of sale. Activities during an EUM Tiger Team Visit may include facility visits, record reviews, review of local security policies and procedures, routine or special inventories of U.S. origin defense articles and/or services, etc. EUM Tiger Team Visits require advance planning. The purpose is not to surprise the Unified Command, SAO, or the host nation---the visit should be coordinated well in advance to ensure the EUM Tiger Team is able to successfully conduct its review. When possible, EUM Tiger Team Visits should be scheduled to coincide with a host nation’s requisite scheduled inventory or other planned events related to the defense articles or services to be assessed.

Each EUM Tiger Team Visit will be unique to the country and equipment being reviewed. For planning purposes, below is the recommended timeline and formal action requirements for EUM Tiger Team Visits. While informal correspondence will likely occur prior to these actions, these “formal” requirements will ensure the processes are well coordinated and documented.

EUM Tiger Team Visit Requirements and Timeline

Event No.	Timeframe	Description
1	180 days prior to the visit	DSCA/Policy, Plans, and Programs Directorate transmits an EUM Advisory to the SAO and their respective Unified Combatant Commands to notify them of an impending EUM Tiger Team visit with possible EUM items of interest. This message is coordinated with the appropriate DSCA Regional Director or Acting Director.
2	Upon receipt of the Advisory (see Event #1)	<ul style="list-style-type: none">• SAO notifies U.S. country team and the Host Nation of the impending EUM Tiger Team Visit.• SAO confirms receipt of the advisory message and provides DSCA/Policy, Plans, and Programs Directorate a tentative listing of Enhanced EUM items to be reviewed by the Tiger Team.
3	90 days prior to the visit	DSCA/Policy, Plans, and Programs Directorate, in coordination with the DSCA Regional Directorate, recommends to the SAO the list of defense articles/services to be evaluated by the upcoming EUM Tiger Team Visit.
4	70-89 days prior to visit	<ul style="list-style-type: none">• In accordance with the Security Assistance Management

Event No.	Timeframe	Description
		<p>Manual, Chapter 8, the SAO should be aware of all Letters of Offer and Acceptance (LOAs) for assigned countries and any special security or accountability notes included in those documents. Based on the recommended list of items provided by DSCA, the SAO will review these LOAs and/or other appropriate transfer documents for unique physical security and accountability notes or special provisos.</p> <ul style="list-style-type: none"> • If the SAO requires additional information regarding serial numbers, LOAs, etc., they should contact the Military Departments for assistance at this time. • SAO determines the location of the articles within the host nation. • SAO develops a tentative itinerary for the upcoming visit.
5	70 days prior to visit	<ul style="list-style-type: none"> • SAO provides feedback to DSCA/Policy, Plans, and Programs Directorate on the following: <ul style="list-style-type: none"> ➤ Any U.S. country-team concerns. ➤ The SAO representative on the Tiger Team. ➤ Unified Command Tiger Team members (if desired by the Unified Command). ➤ Recommended additions/deletions from the proposed list of items to be evaluated during the visit. ➤ Draft itinerary based on the locations of the items within the host nation. ➤ The SAO's last inventory list(s) for the item(s) to be reviewed complete with serial numbers.
6	60 days prior to visit	<ul style="list-style-type: none"> • DSCA/Policy, Plans, and Programs Directorate issues an Announcement message that: <ul style="list-style-type: none"> ➤ Identifies the Tiger Team members. ➤ Confirms the list of defense articles and/or services that will be evaluated during the Tiger Team Visit and their physical location(s). ➤ Provides the commodity checklist for each item to be assessed (Example - See Attachment 4 for Enhanced EUM article checklist for Stinger missiles).
7	Not later than 30 days prior to visit	<p>DSCA/Policy, Plans, and Programs Directorate transmits a Country/Theater Clearance Message in accordance with Foreign Travel Guidance. This message is coordinated with the DSCA Regional Directorate and will cover any in-country support requirements (e.g., transportation). Any changes to information provided in the Announcement message are identified in the Country/Theater Clearance Message.</p>
8	Upon receipt of Country/Theater	<ul style="list-style-type: none"> • SAO acknowledges receipt of the message and identifies points of contact (POC) for each area to be evaluated (to

Event No.	Timeframe	Description
	Clearance Message (Event #7)	<p>include names, phone numbers and email addresses).</p> <ul style="list-style-type: none"> • SAO conducts final coordination with host nation for site clearance for EUM Tiger Team members. • SAO confirms host nation’s preparation for the EUM Tiger Team Visit.
9	15 days prior to visit	<ul style="list-style-type: none"> • SAO finalizes itinerary with DSCA/Policy, Plans and Programs Directorate and the host nation. • SAO finalizes requirements for the visit with the host nation to: <ul style="list-style-type: none"> ➤ Confirm entry information for each site to be visited. ➤ Ensure that affected unit commanders have received the required authorization. ➤ Ensure everyone understands the standards of the evaluation (e.g., 100% serial number inventory with containers open; 5% random open containers with remainder container serial number verification; etc.).
10	Tiger Team Visit	<ul style="list-style-type: none"> • SAO ensures someone is at the airport to assist the EUM Tiger Team participants when requested by the team. • An SAO representative meets with visit participants upon arrival at the hotel and/or duty location, if required. • Each Tiger Team Visit must include the following: <ul style="list-style-type: none"> ➤ Meeting with EUM Tiger Team members and the U.S. country team. ➤ Meeting with EUM Tiger Team members and the host nation. ➤ Update of Golden Sentry Program by DSCA. ➤ Evaluate SAO and host nation’s current compliance with EUM requirements. ➤ Review the records for the specific items identified in the Announcement message (Event #6). ➤ Conduct site visits to evaluate facility physical security and accountability procedures for the locations identified in the Announcement message (Event #6) ➤ Out-briefings for US country team and host nation. Preliminary observations and findings will be discussed. • If the EUM Tiger Team is unable to complete the visit for any reason, see Event #11. • If during the Tiger Team Visit evidence of a possible AECA Section 3 or FAA Section 505 violation is uncovered, see Event #12. • If the EUM Tiger Team Visit does not uncover any evidence

Event No.	Timeframe	Description
		of an AECA Section 3 or FAA Section 505 violation and is able to be completed, see Event #13.
11	Immediately upon identification of problems	<ul style="list-style-type: none"> • The DSCA EUM Tiger Team lead notifies the SAO and country-team with details about why they are unable to successfully complete the visit. • The DSCA EUM Tiger Team lead notifies the Director, Policy, Plans, and Programs Directorate with details about the problem precluding a successful visit, and SAO/country team response. • The Policy, Plans and Programs Director, in coordination with the appropriate Regional Director, will determine appropriate course of action and notify the EUM Tiger Team lead during the visit. • After return to CONUS, the EUM Tiger Team lead will work with the Regional Directorate to develop a follow-up course of action as required.
12	Immediately upon discovery of a potential AECA Section 3 or FAA Section 505 violation	<ul style="list-style-type: none"> • The EUM Tiger Team notifies the SAO and country-team with details about the potential violation. • The EUM Tiger Team notifies the Director, Policy, Plans, and Programs Directorate with details about the potential violation and SAO/country-team response. • If there is a possible violation, the Policy, Plans, and Programs Director, in coordination with the appropriate Regional Director and the U.S. Department of State, will prepare talking points to be used by the country-team to (1) notify the host nation of the possible violation and (2) request that the host nation respond to the issue within 30 days. • If the host nation's response and subsequent assessments confirm the potential violation, DSCA formally forwards information regarding the potential violation to the U.S. Department of State for appropriate action.
13	No later than 15 days after the visit	<ul style="list-style-type: none"> • DSCA EUM Tiger Team lead provides back brief to DSCA/Policy, Plans and Programs and Regional Directorates. • DSCA EUM Tiger Team lead prepares Interim Team After-Action Report (TAR) and distributes to DSCA, the SAO, and the other EUM Tiger Team members for coordination and comment. (See attachment 5 for TAR format.)
14	Upon receipt of Interim TAR (no later than 20 days after the visit)	<ul style="list-style-type: none"> • SAO reviews Interim TAR and provides input to the DSCA EUM Tiger Team lead. • EUM Tiger Team members review Interim TAR and provide input to the DSCA Tiger Team lead.

Event No.	Timeframe	Description
15	Upon receipt of comments (no later than 25 days after the visit)	<ul style="list-style-type: none">• DSCA EUM Tiger Team lead prepares Final TAR.• Final TAR is approved by the Director, DSCA and sent to the Commander of the appropriate Unified Combatant Command.

ATTACHMENT 3

EUM Investigation Visit Guidance

The purpose of an EUM Investigation Visit is to investigate possible violations of the Arms Export Control Act, Section 3 and the Foreign Assistance Act, Section 505. These visits may be prompted by intelligence reports and/or other sources that indicate a host nation may be using U.S.-origin defense articles and services in ways that do not comply with U.S. laws and policies. EUM Investigation Visits will be conducted as expeditiously as possible within the required coordination for foreign travel from the United States. Because of the unique nature and political sensitivity associated with this type of visit, each EUM Investigation Visit will be handled on a case-by-case basis in concert with the Department of State.

Tiger Team After Action Review (TAR)
Golden Sentry End Use Monitoring (EUM) Assessment Visit

TIGER TEAM AFTER ACTION REVIEW (TAR) COMMODITY	
SAMPLER NAME/ORG/PHONE	
HOST NATION PROCEDURES	
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USG PROCEDURES	
.	
SAMPLE	
DSCA PROCEDURES (IF ANY)	
.	
CONCLUSION	
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