

**TRANSPORTATION PLAN
FOR THE TRANSFER OF CLASSIFIED MATERIAL**

AUTHORIZATION: [Insert FMS Case Designator, Export License Number, Authorization Letter, or ITAR Exemption]

A. PURPOSE

This Transportation Plan describes procedures for the transfer by commercial carrier of the [Insert the name and military nomenclature (if applicable) of the defense article or technical data] between the United States and [Insert recipient country] as authorized by [Insert the FMS Case Designator, License Number, Authorization Letter, or Exemption, as applicable. If an ITAR Exemption is cited, identify the underlying FMS Case, License, etc.].

[Guidance: If there is to be a single shipment under the FMS case or license, the format and requirements of this basic plan should be used. If there are to be recurring shipments, this format should be used as a generic plan to describe the requirements and terms of reference that are standard to all recurring shipments (such as packaging, procedures for handling searches by port security and Customs officials); the details for each shipment will appear in an annex to the basic plan, using the format for a Notice of Consignment at the annex. If this plan is to be a generic plan that provides the standard requirements and general terms of reference for recurring shipments, with the individual consignments described in detail in an attachment, that fact should be so stated here. Also see section B, below, and the annex, "Notice of Classified Consignment", which is to be used for the shipment of each individual consignment. A Transportation Plan will be used for consignments only up to the Secret classification level; Top Secret material must always be transferred via government courier.]

B. DESCRIPTION OF CONSIGNMENT [Provide a specific, detailed description of the material to be transferred (list end items, parts, sub-assemblies, software, test equipment, technical documents, etc., together with nomenclature (when applicable) and serial numbers). No classified information should appear in the description. The description of items of material to be transferred under this plan may be appended to the plan as an attachment when the plan is used for a single shipment, or included in a Notice of Classified Consignment (see annex) for recurring shipments.]

C. IDENTIFICATION OF RESPONSIBLE GOVERNMENT AND/OR COMPANY REPRESENTATIVES

[This section will identify by name and/or title (when a specific named person is not appropriate) and organization, the government and/or company security or licensing officials who will participate in the activities related to the transfer, together with the nature of their responsibilities (e.g., actions to verify shipment against the license, verify security arrangements, coordinate with airport security and Customs officials). The list will include depot or company security and licensing officials and the Designated Government Representatives of the dispatching country who will verify the adequacy of the arrangements for the transfer and approve release of the consignment, and those of the receiving country who will sign receipts for, and assume final security responsibility for the classified consignment. Mailing addresses, telephone, telefax, and cell phone numbers (both for business and non-business hours) and e-mail addresses are to be listed for each country's representatives. *Freight forwarders and other commercial agents will not be designated to act as a government representative; they are transfer agents.* This information also may be included as an attachment or in the "Notice of Classified Consignment" when there are to be recurring shipments and the information will be different for each shipment.]

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D. IDENTIFICATION OF COMMERCIAL ENTITIES TO BE INVOLVED IN EACH SHIPMENT.

[Identify fully all commercial entities, such as freight forwarders, customs brokers, and commercial carriers (trucking companies, airlines, surface ships, etc.), including DTS contracted carriers, that will be involved. Include the level of facility security clearance and storage capability of each entity's facility. For each listed entity, include names of points of contact and their alternates and their addresses, telephone, telefax, and cell phone numbers (for business and non-business hours), e-mail addresses, and the specific functions that named persons will perform (a position may be identified when it is not appropriate to cite a person by name). This information must include the name of the captain of the aircraft or vessel or other on-board representative who has been briefed on the shipment and is to provide assistance. If there will be recurring shipments and the information will vary for each shipment, the details will be placed in the "Notice of Classified Consignment".]

E. PACKAGING THE CONSIGNMENT. [Fully describe how the material is to be packaged. Packaging requirements will conform to the national security rules of the dispatching organization. The requirements for dispatch documents, inventories, seals, receipts, storage, and security containers will be explained. Any unique requirement of the sending and receiving governments also should be stated. When there are to be recurring shipments and the details would be different, the specific requirements will be placed in the Notice of Consignment.]

F. ROUTING OF THE CONSIGNMENT. [Briefly identify in the basic paragraph the route to be taken, including the point of origin (e.g., identity of a military depot, contractor facility, etc.), any locations other than the destination where there will be stops or layovers, or the transfer of custody will occur, (e.g. names and addresses of freight forwarder facilities, ports, railheads, airports, airline terminal, etc.), and the final destination. Then describe the specific activities at each individual location for which handling and/or security oversight arrangements must be undertaken (e.g., the movement of a shipment from a Constant Surveillance Service truck to the hold of an aircraft), as indicated in subparagraphs 1 through 5, below. The establishment of these arrangements will require advance coordination between the shipper and airline or surface transport officials, and local security officials (e.g., airport and airline security and Customs) at the point of origin, at stops or layovers, and transfer points, and similar coordination at the destination by officials of the receiving government. The courier or escort must be provided with a written description of the arrangements that have been made, to include the identities of the points of contact and alternates (see section G, below), and the courier's or escort's responsibilities for each occurrence (e.g., observing the loading or unloading of a shipment to ensure maintenance of security). Also describe any special security arrangements that will be required because of the unique nature of a transfer, stop or layover, or processing point (e.g., an airport freight terminal or port receiving station), and the specific duties of persons who will be responsible for each action. For example, if a programmed layover is required, arrangements must be made for security storage of the consignment; this might entail arrangements with local government officials. Contingency stopover locations must be anticipated and arrangements made for such situations (e.g., an unexpected landing in a third country). Provide the specific information described below regarding the specific activities that are necessary at each location that is listed. For recurring shipments, any information that is different for a specific shipment may appear in the "Notice of Classified Consignment" for each shipment.

1. Procedures and responsibility for notifying the Designated Government Representatives and the carrier and port security officials, and Customs in each country of the arrangements and schedule for the shipment (e.g., date, time, carrier, flight number, port, etc.).

2. Procedures and responsibility for verifying and overseeing the loading and sealing/locking the consignments on the carrier. Describe procedures at the loading points and any transfer points, to include verifying tally records, surveillance responsibilities, and witnessing of the counting and loading arrangements.

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3. Procedures for arranging accessibility by the courier to the consignment en route (e.g., layovers, stops, diversions, etc.), such as priority disembarking from an aircraft at a stop. These procedures must be arranged in coordination with any freight forwarder/transfer agent and port and carrier security authorities.

4. Procedures for unloading at the destination, to include identification of a pre-arranged representative of the dispatching government in country who will provide assistance (if applicable) and the recipient government's Designated Government Representative, and procedures for change of custody, and receipt arrangements. If there are to be shipments to various locations and/or the arrangements are to be different for each shipment, this section may be very brief and the "Notice of Classified Consignment" annex will be used for the details.

5. Emergency communication procedures. List telephone, telefax, and cell phone numbers (for business and non-business hours) and email addresses for dispatching and recipient government points of contact to be notified at each location (including stopovers) in the event of emergency. For recurring shipments, this information will be placed in the "Notice of Classified Consignment" annex.

G. COURIERS/ESCORTS. [This section will describe the procedures for the use of couriers or escorts from the point of origin to the ultimate destination. When couriers or escorts are to be used, they must be identified by name and title, organization, and passport number and/or other secondary identification, and include the identity of a dispatching company or government official who may be contacted to verify the identity of the courier/escort. Documentation required by or to be provided to the courier or escort will be described here. The section will include procedures for ensuring that the courier or escort is aware of the rules necessary to comply with Customs and security requirements. Provide in this section the procedures for handling Customs searches, and identify points of contact and alternates (the names and telephone, telefax and cell phone numbers (for business and non-business hours) and email addresses of government officials who may be called upon for assistance, together with the identity of the Customs and port security officials with whom prior arrangements have been made).]

[Guidance: A courier (term used for a person who is carrying the material in his or her possession) or escort (term used for a person who is responsible for overseeing the security of material that is shipped as freight and stowed in the carrier) must accompany the consignment unless the commercial carrier possesses a Facility Security Clearance and agrees in the contract to provide a courier or escort who has the necessary personnel security clearance. Couriers and escorts may not be third-party persons (i.e., contract couriers). They must be cleared at the classification level of the material to be shipped and be briefed on their security responsibilities. Briefings of couriers or escorts will be tailored to the mode of transfer (e.g. commercial air, ships, truck, rail etc.). The courier must be provided the identity, by name, of the specific person who is designated as the receiving government's DGR, as well as the means by which such person will be identified (e.g., a specified type of picture identification card). Each courier or escort will be issued a "Courier Certificate" and will be provided a list of possible secure storage locations and points of contact and emergency phone numbers (for business and non-business hours). The Courier Certificate and security responsibility briefings from MISWG Document No. 1, "Arrangements for the International Hand Carriage of Classified Documents, Equipment and/or Components", both contained in the International Programs Security Requirements Handbook available on the Defense Security Service and Defense Institute of Security Assistance Management websites, should be used and included as an enclosure to the Transportation Plan. For recurring shipments, this section will describe the standard requirements for use of the courier or escort and the details for each shipment, including the identity of couriers or escorts, will appear in the "Notice of Classified Consignment".]

H. RECIPIENT RESPONSIBILITIES. [Describe the specific responsibilities of the recipient government for making arrangements with its port security and Customs officials to facilitate entry of the shipment into the recipient country, including the identification of points of contact

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and alternates at the debarkation location. Indicate where the government-to-government transfer will be completed. If the location is other than the port of debarkation, explain how the consignment will be moved to the specified location and the responsibility and procedures for such movement. Also describe the responsibility of the recipient government's Designated Government Representative to inventory the material and receipt for the consignment and its contents at the specified location, including specifically how:

1. The recipient organization will notify its government security authority and the Designated Government Representative of the dispatching organization of any deviation in the routes or methods prescribed in the Transportation Plan.

2. The recipient organization will notify its security authority and the Designated Government Representative of the dispatching organization of any discrepancies in the documentation, damage or tampering with the packaging, or shortages in the consignment.

3. The recipient organization or government will advise the Designated Government Representative of the dispatching organization of any known or suspected compromise of classified material or any other exigencies that may have placed the consignment in jeopardy.

4. The recipient Designated Government Representative will sign for the contents of the package and return a copy of the receipt to the dispatching organization.]

I. TRANSFER DOCUMENTATION: [Identify the documentation that is related to the shipment, including packing list, receipts, inventories, letter of offer and acceptance, export license, bill of lading, air waybill, signature and tally record, and declarations that may be required by law or regulation, etc.]

J. RETURN OF MATERIAL. [This section will identify any requirements for the return of classified material to the manufacturer or government entity in the dispatching country (e.g. for warranty, repair, test, calibration etc.). The information provided will of necessity be general in nature. However, the basic requirement for a return Transportation Plan and methods to be used will be documented in the original Transportation Plan. The specific information required for an individual return shipment subsequently may be described in a Notice of Classified Consignment.]

**NOTICE OF CLASSIFIED CONSIGNMENT
TO
TRANSPORTATION PLAN
FOR**

[Insert name and military nomenclature of the defense article or technical data]

AUTHORIZATION: [Insert the FMS Case Designator, License Number, Authorization Letter, or ITAR Exemption.]

1. **PURPOSE.** This annex describes procedures for the transfer by commercial carrier of the below listed items sold pursuant to **[cite the FMS Case Designator, Export License, Authorization Letter, or Exemption. If an ITAR Exemption is cited, identify the underlying authorization; e.g., FMS Case, License, etc.]** between **[Insert the name and address of the U. S. military depot or contractor facility]** and **[Insert the name and address of the government organization, contractor facility, or international organization]** in **[Insert the identity the country]**.

2. **DESCRIPTION OF CONSIGNMENT.** **[Insert a specific, detailed description of the end-items, parts, assemblies, sub-assemblies, software, test equipment, components, technical documents, etc. to be transferred under the annex, including the military nomenclature when applicable, and serial numbers; the number of packages or containers; a description of the packages or containers (e.g., the material of which they are constructed and the size and weight); and the numerical count of each item to be transferred in each package or container.]**

3. **IDENTIFICATION OF RESPONSIBLE GOVERNMENT AND/OR COMPANY OFFICIALS.**

[If the information was covered in the basic Transportation Plan, and has not changed, refer to the applicable section of the basic Transportation Plan. If the identity or other information related to any the persons in the basic Transportation Plan has changed, or the information was not covered in the basic Transportation Plan, include in this paragraph all of the information specified for section C of the Transportation Plan.]

4. **IDENTIFICATION COMMERCIAL ENTITIES INVOLVED IN EACH TRANSFER.** **[If the information was covered in the basic Transportation Plan, and has not changed, refer to the basic Transportation Plan. If the identity or other information related to any the carriers, facilities or persons in the basic Transportation Plan has changed, or the information was not covered in the basic Transportation Plan, include in this paragraph all of the information specified for section D of the Transportation Plan.]**

5. **ROUTING OF CONSIGNMENT.** **[Unless the information is specifically covered in the basic approved Transportation Plan, the following information must be provided for each shipment. If the information is covered in the basic Transportation Plan, reference the applicable section of that Plan.]**

a. **Identity of Mode of Transport:** **[For each segment of the transfer (from point of origin to ultimate destination), identify the carriers to be used and include the name and address and the identity of a point of contact and an alternate (including telephone, cell phone, and telefax numbers, and e-mail addresses, both business and non-business hours) at all carriers. Include the flight, rail, or ship number, or other means of identifying the specific aircraft, vessel, or vehicle to be used, as well as the identity of the captain or other on-board representative who has been briefed on the arrangements for the shipment and is to provide assistance.]**

b. Routes: **[Describe the routes to be used between the point of origin of the shipment, the point of export from the country of origin, the point of import into the recipient country and the ultimate destination point (identify any specific programmed stops, layovers or transfer points; use codes that appear in transportation plan, if applicable).]**

c. Dates and Times of Departure: **[Provide the established date and time for each segment of the transfer.]**

d. Date and Estimated Time of Arrival: **[Provide the estimated date and time of arrival of the final carrier at the port in the country of destination.]**

e. Freight Forwarders/Transfer Agents/Customs Brokers: **[Identify the companies and their names and addresses, and the identity of a point of contact and an alternate (including the telephone, cell phone, and telefax number and e-mail address, both business and non-business hours) at the companies to be used, if they are not specified in the approved basic Transportation Plan. If the information is in the approved Plan, reference the applicable section. The security officer or Designated Government Representative at the releasing depot or facility must verify the clearance and safeguarding capability of these entities, prior to the release of the consignment.]**

f. Customs and Port Security Contacts: **[Provide the name of a point of contact and an alternate at all ports, together with their telephone, cell phone, and telefax numbers and email addresses (for business and non-business hours), if they are not listed in the approved Transportation Plan. If they are so listed, reference the applicable section of the Plan.]**

g. Emergency Procedures: **[Provide the procedures to be followed for each segment of the transfer, and the names of points of contact and alternates in each country who are to be contacted in the case of an emergency. Provide telephone, cell phone, and telefax numbers and email addresses (for business and non-business hours).]**

6. NAME(S) AND IDENTIFICATION OF COURIER/ESCORT. **[Provide their full names, passport numbers and secondary identification, courier orders number and issuing authority, and the name and telephone and telefax number and e-mail address of an official that Customs or security authorities may contact, if further identification is necessary.]**