

04-228

AGREEMENT BETWEEN  
THE GOVERNMENT OF THE UNITED STATES OF AMERICA  
AND  
THE GOVERNMENT OF UKRAINE  
ON PROTECTION OF CLASSIFIED DEFENSE INFORMATION

## PREAMBLE

The Government of the United States of America and the Government of Ukraine, hereinafter referred to as "the Parties" and separately as "a Party;"

With the goal of ensuring mutual protection of classified defense information which has been classified by one of the Parties and released to the other Party or created in the process of cooperation between the Parties;

Have agreed as follows:

### ARTICLE 1

Classified defense information provided by one Party to the other Party, or to an officer or other representative of the other Party, shall be protected according to the terms set forth herein and in accordance with the laws and applicable regulations of the country of the recipient Party.

### ARTICLE 2

Each Party shall promptly notify the other of any changes to its laws and regulations that would affect the protection of classified defense information under this Agreement. In such case, the Parties shall consult, as provided in Article 23, to consider possible amendments to this Agreement. In the interim, classified defense information shall continue to be protected as described in this Agreement, unless otherwise agreed in writing by the releasing Party.

### ARTICLE 3

For the purpose of this Agreement, classified defense information is information that is generated by or for the Department of Defense of the United States of America or the Ministry of Defense of Ukraine or that is under their jurisdiction or control, and which requires protection in the interests of national security of the Party by or for whom the information was generated. The information may be in oral, visual, electronic, magnetic or documentary form, or in the form of equipment or technology. The Parties shall, consistent with their national laws and regulations, employ the following equivalent classification levels and markings:

For the United States of America

TOP SECRET  
SECRET  
CONFIDENTIAL

For Ukraine

ОСОБЛИВОЇ ВАЖЛИВОСТІ  
ЦІЛКОМ ТАЄМНО  
ТАЄМНО

### ARTICLE 4

Supplemental annexes under this Agreement may be concluded by the designated implementing agencies, subject to written agreement by both Parties. For the Government of the United States of America, the designated implementing agency shall be the Department of Defense. For the Government of Ukraine, the designated implementing agency shall be the Ministry of Defense of Ukraine.

### ARTICLE 5

No individual shall be entitled to access to classified defense information solely by virtue of rank, appointment, or security clearance. Access to the information shall be granted only to those individuals whose official duties require such access and who have been granted a personnel security clearance in accordance with the prescribed national laws, regulations, and standards of the recipient Party. The Parties shall ensure that:

A. The recipient Party shall not release the information to a government, person, firm, institution, organization or other entity of a third country without the prior written approval of the releasing Party;

B. The recipient Party shall afford the information a degree of protection equivalent to that afforded by the releasing Party;

C. The recipient Party shall not use the information for any other purpose than that for which it was provided, without the prior written approval of the releasing Party;

D. The recipient Party shall respect private rights, such as patents, copyrights, or trade secrets, which are involved in the information; and

E. Each facility or establishment that handles classified defense information received from the other Party shall maintain a registry of the clearance of individuals at the facility or establishment who are authorized to have access to such information.

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#### ARTICLE 6

The determination on the granting of a personnel security clearance to an individual shall be consistent with the interests of national security and shall be based among other factors upon all available information indicating whether the individual is of unquestioned loyalty, integrity, trustworthiness, and excellent character, and of such habits and associates as to cast no doubt upon his or her discretion or good judgment in the handling of classified defense information.

This Agreement the protection of communications of the Government

#### ARTICLE 7

An appropriate investigation, in sufficient detail to provide assurance that the above criteria have been met, shall be conducted by the Parties with respect to any individual to be granted access to classified defense information covered by this Agreement.

This information will be made available to that Party

#### ARTICLE 8

Before a representative of a Party releases classified defense information to an officer or representative of the other Party, the recipient Party shall provide to the releasing Party an assurance that the officer or representative possesses the necessary level of security clearance and requires access for official purposes to the aforementioned information, and that the information will be protected by the receiving Party in accordance with Article 1 of this Agreement.

Authorized by the President of the United States. Concluded Section 1 amended, Export Control

#### ARTICLE 9

Authorizations for visits by representatives of one Party to facilities and establishments of the other Party, where access to classified defense information is required, shall be limited to those necessary for official purposes. Authorizations to visit a facility or establishment shall be granted only by the Party on whose territory the facility or establishment is located or by government officials designated by that Party. The visited Party or the designee shall be responsible for advising the facility or establishment of the proposed visit, and the scope and highest level of classified defense information that may be furnished to the visitor. Requests for visits by representatives of the Parties shall be submitted in advance through the United States Defense Attaché Office in Kiev, in the case of United States visitors, and through the Ukraine Defense Attaché Office in Washington, D.C., in the case of Ukrainian visitors.

#### ARTICLE 10

Each Party shall be responsible for safeguarding all classified defense information of the other Party from the moment it is officially received, while the information is in transit, transmission, or storage within its territory.

#### ARTICLE 11

Each Party shall be responsible for the security of all government and private facilities and establishments where the information of the other Party is kept and shall assure that for each such facility or establishment qualified individuals are appointed who shall have the responsibility and authority for the control and protection of the information.

#### ARTICLE 12

The information shall be stored in a manner that assures access only by those individuals who have been authorized access pursuant to Articles 5, 6, 7 and 8 of this Agreement.

#### ARTICLE 13

Classified defense information shall be transmitted between the Parties through government-to-government channels by authorized government officials, consistent with criteria and standards specified in Articles 5, 6, 7, 8, 9, and 10 of this Agreement. The minimum requirements for the security of the information during transmission shall be as follows:

##### A. Documents.

(1) Documents or other media containing classified defense information shall be transmitted in double, sealed envelopes, the innermost envelope bearing only the classification of the documents or other media and the organizational address of the intended recipient, the outer envelope bearing the organizational address of the recipient, the organizational address of the sender, and the registry number.

(2) No indication of the classification of the enclosed documents or other media shall be made on the outer envelope. The sealed envelope shall then be transmitted according to the prescribed regulations and procedures of the releasing Party.

(3) Receipts shall be prepared for packages containing classified documents or other media that are transmitted between the Parties, and a receipt for the enclosed documents or other media shall be signed by the final recipient and returned to the sender.

##### B. Classified equipment.

(1) Classified equipment shall be transported in sealed, covered vehicles, or be securely packaged or protected in order to prevent identification of its details, and kept under continuous control to prevent access by unauthorized persons.

(2) Classified equipment which must be stored temporarily awaiting shipment shall be placed in protected storage areas. The areas shall be protected by intrusion-detection equipment or guards with security clearances who shall maintain continuous surveillance of the storage areas. Only authorized personnel with the requisite security clearance shall have access to the storage areas.

(3) Receipts shall be obtained on every occasion when classified equipment changes hands en route.

(4) Receipts shall be signed by the final recipient and returned to the sender.

C. Electronic Transmissions. Classified defense information transmitted by electronic means shall be encrypted.

#### ARTICLE 14

Accountability and control procedures shall be established to manage the dissemination of and access to classified defense information.

#### ARTICLE 15

A. Each Party shall stamp or mark the name of the originating government on all classified defense information received from the other Party. The information shall be marked with a national security classification marking of the recipient Party that will afford a degree of

protection equivalent to that afforded to it by the releasing Party, in accordance with Article 3 of this Agreement.

B. The recipient Party shall not downgrade or cancel the classification level of the received classified defense information without prior written consent of the releasing Party.

#### ARTICLE 16

A. Classified documents and other media containing classified defense information shall be destroyed by burning, shredding, pulping, or other means preventing reconstruction of the classified defense information contained therein.

B. Classified equipment shall be destroyed beyond recognition or modified so as to preclude reconstruction of the classified defense information in whole or in part.

#### ARTICLE 17

When classified documents or other media are reproduced, all original security markings thereon shall also be reproduced or marked on each copy. Such reproduced documents or media shall be placed under the same controls as the original document or media. The number of copies shall be limited to that required for official purposes.

#### ARTICLE 18

All translations of classified defense information shall be made by individuals with appropriate level of security clearances pursuant to Articles 6, 7, and 8. The number of copies shall be kept to a minimum and the distribution thereof shall be controlled. Such translations shall bear appropriate security classification markings and a suitable notation in the language into which it is translated, indicating that the document or media contains classified defense information of the releasing Party.

#### ARTICLE 19

Prior to the release to a contractor or prospective contractor of any classified defense information received from the other Party, the recipient Party shall:

A. Ensure that such contractor or prospective contractor and the contractor's facility have the capability to protect the information;

B. Grant to the facility an appropriate facility security clearance;

C. Grant appropriate personnel security clearances for all individuals whose duties require access to the information;

D. Ensure that all individuals having access to the information are informed of their responsibilities to protect the information in accordance with applicable laws and regulations, and that these responsibilities are specified in respective contracts;

E. Carry out periodic security inspections of cleared facilities to ensure that the information is protected as required herein; and

F. Ensure that access to classified defense information is limited to those persons who have a need to know for official purposes.

#### ARTICLE 20

The releasing Party shall be informed immediately of all losses or compromises, as well as possible losses or compromises, of its classified defense information, and the recipient Party shall conduct an investigation to determine the circumstances. The results of the investigation and information regarding measures taken to prevent recurrence shall be forwarded to the releasing Party by the Party that conducts the investigation.

ARTICLE 21

Implementation of the foregoing security requirements can be advanced through reciprocal visits by security personnel of the Parties. Accordingly, security representatives of each Party, after prior consultation, shall be permitted to visit the other Party, to discuss and view firsthand the implementing procedures of the other Party in the interest of achieving reasonable comparability of the security systems. Each Party shall assist the security representatives in determining whether classified defense information provided by the other Party is being adequately protected.

ARTICLE 22

Expenses incurred by a Party in activities pursuant to implementing of this Agreement are not subject to compensation by the other Party.

ARTICLE 23

Disputes which can arise from interpretations or application of the provisions of this Agreement shall be resolved through consultations or negotiations between the Parties. During such negotiations, the Parties shall continue to fulfill their obligations under this Agreement.

ARTICLE 24

A. This Agreement shall enter into force upon an exchange of notes between the Parties indicating that their respective internal procedures necessary for its entry into force have been completed.

B. Amendments to the present Agreement shall be made in writing with the mutual consent of the Parties and shall enter into force in accordance with procedure stipulated for this Agreement.

C. This Agreement shall remain in force for a period of five years and shall be automatically extended annually thereafter, unless either Party notifies the other in writing through diplomatic channels, ninety days in advance, of its intention to terminate the Agreement.

D. Notwithstanding the termination of this Agreement, all classified defense information provided pursuant to this Agreement shall continue to be protected in accordance with the provisions set forth herein.

IN WITNESS WHEREOF the undersigned, being duly authorized by their respective Governments, have signed this Agreement.

DONE in Kiev on this 4th day of August, in the year Two Thousand and Three, in duplicate, each in the English and Ukrainian languages, both texts being equally authentic and having equal legal force.

FOR THE GOVERNMENT OF THE  
UNITED STATES OF AMERICA

Carlos Pascual

FOR THE GOVERNMENT OF UKRAINE

[Signature]