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SECRETARY OF THE AIR FORCE**

**AIR FORCE INSTRUCTION 16-110**

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**Operations Support**

**US AIR FORCE PARTICIPATION IN  
INTERNATIONAL ARMAMENTS  
COOPERATION (IAC) PROGRAMS**

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

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This instruction covers the standards, policies, and procedures that govern the management of International Armaments Cooperation (IAC) programs throughout the United States Air Force (USAF). As used herein, IAC applies to international requirements harmonization, research, development, test, evaluation, acquisition, production and support of weapons and weapons-related technology. This instruction does not cover joint military arrangements and operations with allied nations, which are under the purview of the Joint Chiefs of Staff and the various unified, specified, and component commands, nor does it address Security Assistance programs, including Foreign Military Sales. Refer to Air Force Manual 16-101, *International Affairs and Security Assistance Management*, for a thorough treatment of Security Assistance policy and procedures.

The authority for this instruction is derived from Titles 10 and 22, United States Code (U.S.C.), DoD Directive (DoDD) 5000.1 and DoD Instruction (DoDI) 5000.2, Air Force Policy Directive (AFPD) 16-1, Executive Orders, the International Traffic in Arms Regulations (ITAR), Federal Acquisition Regulations (FAR), DoD FAR Supplements, and US National Disclosure Policy. It applies to all USAF personnel who prepare, manage, review, or participate in IAC projects. This instruction also adheres to national security strategy requirements and guidance derived from the Office of the Secretary of Defense (OSD) Memorandum *Research and Technology Protection within the DoD* of 25 Mar 02, DoDD 5200.39, and AFPD 63-17, which reflect the need to include foreign allies and friendly foreign countries as partners in the research and development, acquisition, and life-cycle management of defense systems. Send comments, changes, or suggested improvements to SAF/IAPQ, 1080 Air Force Pentagon, Washington, DC 20330-1080.

The reporting requirements in this publication (**Chapter 2**, Paragraph **2.2.6.**, **Chapter 5**, Paragraph **5.6.**, **Chapter 6**, Paragraphs **6.5.** and **6.6.**, **Chapter 7**, Paragraphs **7.4.** and **7.5.**, **Chapter 8**, Paragraphs **8.4.** and **8.5.**, and **Chapter 9**, Paragraph **9.3.** are exempt from licensing in accordance with Paragraph 2.11.12. of

AFI 33-324, *The Information Collections and Reports Management Program; Controlling Internal, Public, and Interagency Air Force Information Collections.*

**SUMMARY OF REVISIONS**

All areas of the Instruction have been updated. Chapter additions include *International Other Transactions (OTs) and Non-domestic Cooperative Research and Development Agreements (CRADAs)* (**Chapter 4**), the *International Cooperative Research and Development (ICR&D) Program* (**Chapter 7**), the *Coalition Warfare Program (CWP)* (**Chapter 8**), and *DoD Technology Booths at International Air and Trade Shows* (**Chapter 12**). The previous chapter titled *Participation in International Armaments Cooperation Forums* now comprises **Chapter 9**, *USAF Participation in NATO Forums*, **Chapter 10**, *USAF Participation in Bilateral IAC Forums*, and **Chapter 11**, *USAF Participation in Other Forums*.

An extensively revised **Chapter 6**, formerly the *Defense Personnel Exchange Program and the Cooperative Personnel Program*, now addresses only *The Engineer and Scientist Exchange Program (ESEP)* with a respective attachment on ESEP (**Attachment 5**). Further, this revision removes the prior attachments *USAF IAC Offices Overseas* and *International Program Reviews (IPR)*.

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## Chapter 1

### INTERNATIONAL ARMAMENTS COOPERATION (IAC) PROGRAMS

**1.1. Purpose and Objectives.** The USAF participates in numerous IAC programs. Armaments cooperation applies to international requirements harmonization, research, development, test, evaluation, acquisition, production, and support of weapons and weapons-related technology. All USAF components should promote participation in International Agreements (IAs) with allied and friendly countries in support of the following objectives:

- 1.1.1. Deploying and supporting common, or at least interoperable, equipment with US friends and allies.
- 1.1.2. Achieving cost savings through cost sharing and economies of scale afforded by coordinated research, development, production, and logistics support programs.
- 1.1.3. Pursuing the best technologies, military or civilian, available for equipping the US, its allies, and other friendly nations.
- 1.1.4. Supplying the best available defense material to the US, its allies, and other friendly nations in the most timely and cost effective manner.

**1.2. Armaments Cooperation Overview.** Armaments cooperation is accomplished through the following modes of government-to-government interaction:

- 1.2.1. Research, development, test, and evaluation (RDT&E) of defense articles.
- 1.2.2. Joint or concurrent production (including follow-on support) of a defense article developed by one or more participants.
- 1.2.3. Data, information, and personnel exchanges conducted under approved programs.
- 1.2.4. US Government procurement of foreign defense articles (including software), technology (including manufacturing rights), or services (including logistic support).
- 1.2.5. Test and evaluation (T&E) of conventional defense equipment, munitions, and technology.

Required and related publications, abbreviations, acronyms, and definitions used in this volume are listed in [Attachment 1](#).

**1.3. USAF Armaments Cooperation Participation.** The Deputy Under Secretary of the Air Force for International Affairs (SAF/IA), through the Armaments Cooperation Division (SAF/IAPQ), is responsible for IAC policies and procedures. The Director of Policy, International Affairs, (SAF/IAP) assists SAF/IA in the overall supervision and direction of IAC policies and procedures. SAF/IAPQ directs and manages USAF IAC activities, develops procedures for evaluating and implementing cooperative programs, guides USAF participation in IAC activities, and conducts reviews to continually assess the overall health and effectiveness of IAC programs, program areas, and processes.

#### 1.4. IAC Categories.

- 1.4.1. **International Agreements (IAs).** Any agreement concluded with one or more foreign governments or with an international organization ([Chapter 2](#)).

1.4.2. **Information/Data Exchange Programs (IEAs/DEAs).** The exchange of reports, technical documents, and related information ([Chapter 3](#)).

1.4.3. **International Other Transactions (OTs) and Non-domestic Cooperative Research and Development Agreements (CRADAs).** OTs and CRADAs enable the USAF to enter into cooperative agreements with foreign non-government entities ([Chapter 4](#)).

1.4.4. **Foreign Comparative Testing (FCT).** The FCT Program tests and evaluates foreign Non-Developmental Items (NDI) military equipment that demonstrates potential to satisfy US military requirements ([Chapter 5](#)).

1.4.5. **Exchange of Personnel.** The Engineer and Scientist Exchange Program (ESEP) promotes assignment of USAF personnel to facilities in allied and friendly countries and foreign personnel to USAF facilities ([Chapter 6](#)).

1.4.6. **International Cooperative Research and Development Program (ICR&D) and Coalition Warfare Program (CWP).** The ICR&D and CWP Programs promote standardization and interoperability ([Chapter 7](#) and [Chapter 8](#)).

1.4.7. **International Armaments Cooperation Forums.** The USAF participates in many international forums and activities that promote IAC. These activities highlight opportunities that may result in International Agreements ([Chapter 9](#), [Chapter 10](#), [Chapter 11](#)).

**1.5. Armaments Cooperation Policy.** The implementing policies and directives for IAC are: Secretary of Defense (SECDEF) Policy Memorandum 23 March 1997, *DoD International Armaments Cooperation Policy*; DoDD 5000.1, *The Defense Acquisition System*, and DoDI 5000.2, *Operation of the Defense Acquisition System*; DoDD 5530.3, *International Agreements*; DoDD 3100.3, *Cooperation with Allies in Research and Development of Defense Equipment*; DoDD 2000.9, *International Coproduction Projects and Agreements between the United States and Other Countries or International Organizations*; DoDI 2010.4, *US Participation in Certain NATO Groups Relating to Research, Development, Production, and Logistic Support of Military Equipment*; and DoDD 2010.6, *Standardization and Interoperability of Weapon Systems and Equipment within the North Atlantic Treaty Organization*.

1.5.1. **DoDD 5000.1 and DoDI 5000.2.** These documents provide guidance and procedures for engaging in international cooperation under the auspices of the Defense Acquisition System. They provide policies for DoD acquisition programs and applicable management principles, and establish a management framework for translating mission needs and technologic opportunities into acquisition programs that include weapon systems and automated information systems.

1.5.2. **DoDD 5530.3.** This directive provides procedures and authorities for processing international agreements. It establishes approval procedures for negotiating and concluding agreements with foreign governments and international organizations.

1.5.3. **DoDD 5200.39.** This directive establishes policy and assigns responsibilities to security, intelligence, and counterintelligence activities that provide support to acquisition organizations after critical acquisition program information, technologies, and/or systems have been identified. Such information is hereafter referred to as critical program information (CPI). CPI requires protection to prevent its unauthorized or inadvertent disclosure, or loss.

**1.6. Armaments Cooperation Process.** The general procedures and requirements for the majority of IAC agreements are described in detail in [Chapter 2](#). Later chapters and their accompanying attachments

detail unique requirements for particular IAC programs. Basic considerations prior to engaging in any type of IAC program process are provided below.

1.6.1. **Considerations.** In general, several factors are vital to the ultimate success of an IAC program and must be weighed before proceeding with the IAC agreement process. They are:

- 1.6.1.1. A firm commitment by the operational, technical, and financial communities of the US and the prospective foreign partners to the project and to international cooperation;
- 1.6.1.2. Harmonized requirements, in both performance specification and the project schedule, among all participants;
- 1.6.1.3. Resolution of technology transfer issues;
- 1.6.1.4. Mitigation of adverse impacts on the US defense industrial base;
- 1.6.1.5. The availability of industrial participation for all participants;
- 1.6.1.6. The ability of all participants to make equitable contributions to the project.

1.6.2. **Means of Engagement** . If a careful analysis of the above-listed factors concludes that a successful IA is feasible, the proponent should pursue an IA in accordance with the guidelines and procedures outlined in [Chapter 2](#). If, however, the analysis concludes that a successful IA is not likely but foreign interest exists, the proponent may consider the following alternative means to meet the mission need:

- 1.6.2.1. A contract with a foreign non-government entity;
- 1.6.2.2. Foreign Military Sales;
- 1.6.2.3. Direct Commercial Sales.

## 1.7. HQ USAF and MAJCOM Responsibilities.

### 1.7.1. SAF/IA will:

- 1.7.1.1. Support the best interests of the US and increase the capability of the USAF warfighter.
- 1.7.1.2. Oversee USAF approaches to and involvement with foreign representatives in potential and existing IAC programs.
- 1.7.1.3. Review and approve the transfer of technology, classified information, and defense materiel and services associated with IAC projects.
- 1.7.1.4. Promote and ensure USAF participation in IAC programs.
- 1.7.1.5. Approve USAF participation in all IAC programs.
- 1.7.1.6. Ensure fulfillment of valid USAF requirements by IAC programs.
- 1.7.1.7. Access the best technologies of allied and friendly governments, including foreign NDI, to identify potential cost effective projects to meet warfighter needs.
- 1.7.1.8. Use US, allied, and friendly government IAC resources efficiently to reduce costs and avoid duplication of effort.

1.7.1.9. Promote common, standardized, or at a minimum, interoperable equipment; uniform or compatible logistic support arrangements; and harmonized operational requirements, concepts, doctrine, and tactics.

1.7.1.10. Foster a more efficient market for trade in defense technology, goods, and services among US, allied, and friendly governments by working with the Office of the Secretary of Defense (OSD) to exploit economies of scale and improve industry-to-industry collaboration.

1.7.1.11. Ensure IAC provides benefit to the US that outweighs potential risks to US operational capabilities, or to US technology, industrial, or manufacturing bases.

**1.7.2. SAF/IAPQ will:**

1.7.2.1. Serve as the Office of Primary Responsibility (OPR) for USAF participation in IAC programs, projects, and forums.

1.7.2.2. Provide overall USAF policy guidance for IAC participation.

1.7.2.3. Develop and disseminate guidance on the implementation and management of IAC programs, projects, and related activities.

1.7.2.4. Monitor and oversee MAJCOM implementation of IAC programs, projects, and associated agreements.

1.7.2.5. Communicate with foreign representatives to identify needs, objectives, projects, procedures, and capabilities of mutual interest.

1.7.2.6. Consult with appropriate HQ USAF organizations and MAJCOMs regarding IAC opportunities for defense materiel acquisition and strategic plans.

1.7.2.7. With HQ USAF/XO and SAF/AQ assistance, administer the Foreign Comparative Testing (FCT) Program for the USAF.

1.7.2.8. Act as the lead Service for the Engineer and Scientist Exchange Program (ESEP) and the Administrative and Professional Exchange Program (APEP) for assigned countries.

1.7.2.9. Issue International Program Directives (IPDs) to implement IAC programs requiring budget authority. Attachment 26 of the Air Force Manual 16-101, *International Affairs and Security Assistance Management*, provides detailed guidance and instructions on how to prepare an IPD.

1.7.2.10. Evaluate USAF Initial Capabilities Documents (ICD) and Capabilities Development Documents (CDD) for IAC potential and international considerations.

1.7.2.11. Review and coordinate on USAF Major Defense Acquisition Program (MDAP) Acquisition Decision Memorandums (ADMs).

1.7.2.12. Evaluate Single Acquisition Management Plans (SAMPs) prepared for USAF Acquisition Category (ACAT) I and II programs to assess evaluation of international cooperative opportunities.

1.7.2.13. Evaluate Analyses of Alternatives (AoA) to assess IAC opportunities.

1.7.2.14. Review and coordinate on Program Management Directives (PMDs) that involve international cooperation.

- 1.7.2.15. Assist in harmonizing US and foreign military requirements to foster IAC projects by coordinating with MAJCOMs, HQ USAF/XO, and other HQ USAF offices.
- 1.7.2.16. Coordinate with MAJCOMS and other HQ USAF offices to identify candidate IAC projects.
- 1.7.2.17. Coordinate with MAJCOMS and other HQ USAF offices to identify foreign Non-Developmental Items (NDI) to meet established USAF requirements with commercial off-the-shelf equipment.
- 1.7.2.18. Review, staff, and obtain HQ USAF approval for agreements for the exchange of scientific and technical information under the auspices of the Defense Data Exchange Program (DDEP).
- 1.7.2.19. Support USAF delegates to international forums promoting IAC and coordinate HQ USAF responses to action items resulting from such forums.
- 1.7.2.20. Oversee USAF participation in the US/Canada Defense Development Sharing Program (DDSP).
- 1.7.2.21. Review and staff proposed IAC projects and supporting documentation for HQ USAF approval and forward to the Office of the Under Secretary of Defense, Acquisition, Technology, and Logistics, International Cooperation (OUSD(AT&L)/IC) as appropriate.
- 1.7.2.22. Consult with the Department of Commerce (DoC) and Department of State (DoS) concerning the industrial base and international competitive implications of proposed IAC projects as appropriate.
- 1.7.2.23. Develop IAC agreements supporting the best interests of the USAF warfighter.
- 1.7.2.24. Negotiate and conclude IAC agreements when delegated authority to do so.
- 1.7.2.25. Plan, program, budget, and administer the International Activities Program Element to pursue and support IAC opportunities and programs.
- 1.7.2.26. Provide an annual report on USAF ICR&D projects to SAF/IA, SAF/AQR, MAJCOMs, Unified Command Directorates of Logistics, and Congress.
- 1.7.2.27. Manage the USAF Five-Power Future Air Capabilities (FAC) effort, including development and execution of structure, plans, processes, and projects.
- 1.7.2.28. Serve as the USAF OPR and manager for the USAF portion of international air and trade show DoD Technology Booth (DTB).
- 1.7.2.29. Serve as USAF OPR for IAC Integrated Logistics Support (ILS) policies and procedures.
- 1.7.2.30. Periodically conduct a management review with partner nations of the status of all IAs under USAF purview.
- 1.7.2.31. Ensure that all International Project Officers (IPOs) and Information Exchange Annex/Data Exchange Annex Technical Project Officers (TPOs) receive training commensurate with their responsibilities.

**1.7.3. Air Force Program Executive Officer (PEO), Technology Executive Officer (TEO), MAJ-COM, Direct Reporting Unit (DRU), and Field Operating Agency (FOA) Commanders will:**

- 1.7.3.1. Ensure that program managers, project officers, and staffs evaluate opportunities for IAC via institutional processes, such as the Defense Acquisition Board (DAB), the Planning, Programming, and Budgeting System (PPBS), and milestone reviews.
- 1.7.3.2. Harmonize US and allied military requirements, in concert with HQ USAF/XO, and other HQ USAF offices.
- 1.7.3.3. Investigate the capabilities of foreign equipment or materiel to satisfy USAF requirements.
- 1.7.3.4. Identify and assess opportunities for potential IAC projects by:
  - 1.7.3.4.1. Giving full consideration to pursuing IAC projects with allied and friendly governments when these programs are in the best interest of the US.
  - 1.7.3.4.2. Evaluating cooperative opportunities within the program acquisition strategy for review at milestone reviews according to DoDD 5000.1 and DoDI 5000.2.
  - 1.7.3.4.3. Ensuring that opportunities for IAC are considered, evaluated, and properly documented in the acquisition strategy for non-MDAP programs in accordance with DoDD 5000.1 and DoDI 5000.2.
- 1.7.3.5. Pursue opportunities for new or expanded IAC initiatives based on USAF requirements and foreign technology strengths.
- 1.7.3.6. Execute IAC programs in accordance with existing international agreements.
- 1.7.3.7. Designate an IAC focal point.

## Chapter 2

### DEVELOPING AND IMPLEMENTING INTERNATIONAL ARMAMENTS COOPERATION AGREEMENTS

**2.1. Purpose and Objectives.** This chapter contains guidelines and procedures for initiating, developing, coordinating, and implementing the following basic IAC agreements: Memoranda of Agreement (MOAs), Memoranda of Understanding (MOUs), Project Agreements/ Arrangements (PAs) under “umbrella” MOAs/MOUs, and Loan Agreements (LAs). MOAs/MOUs, PAs and LAs are sometimes referred to by the general term “IA” (see definition for “International Agreement” in [Attachment 1](#)).

**2.2. International Agreements Background.** IAs are legally binding documents. Whenever possible the IAC document should be described in terms of an “Agreement”, such as “Memorandum of Agreement”. MOAs may pertain to the full range of acquisition activity, from basic research to production and cooperative logistics. The use of a different term such as “Memorandum of Understanding” may indicate the parties do not intend their commitments to be legally binding. If another nation’s negotiator suggests a different term, the reason for the change should be ascertained, and should not be accepted without the concurrence of the Secretary of the Air Force, Office of the Deputy General Counsel for International Affairs (SAF/GCI).

**2.2.1. MOUs.** The term “Memorandum of Understanding” is currently used with only Australia, Canada, New Zealand, the United Kingdom (UK) (also known as the “Chapeau” countries), and Japan. Australia, Canada, New Zealand, and the UK do not view MOUs as legally binding; rather, they are politically binding. As a consequence, one-time legally binding IAs were executed separately between the US Government and each of the “Chapeau” Governments. These bilateral “Chapeau” agreements established legally binding commitments affecting major aspects of cooperation. The Chapeau agreements were executed via diplomatic exchange of notes. USAF personnel must ensure MOUs with “Chapeau” countries invoke or reference their respective Chapeau agreement (usually in the MOU’s introduction or in an exchange of notes).

**2.2.2. Types of MOAs/MOUs (hereinafter referred to as MOAs).** Project officers may draft a MOA to focus on a specific program of work referred to as a “project” MOA or an “umbrella” MOA composed of several phases or projects. The type of MOA chosen depends upon the nature of the cooperative effort. The USAF must request authority to develop MOAs from OUSD(AT&L)/IC; however, PAs under an existing umbrella MOA need only SAF/IA authority. MOAs should only be proposed for projects that cannot be conducted as a PA under an existing umbrella MOA.

**2.2.2.1. Project MOAs.** A project MOA covers cooperation on a defined scope of work and provides all of the specific terms and conditions of the arrangement. Any related subsequent work can only be accomplished by amending the current MOA to expand its scope or by negotiating and concluding an entirely new MOA.

**2.2.2.2. Umbrella MOAs.** An umbrella MOA covers cooperation across a broad scope of related work, and establishes the general principles that will govern cooperation among the parties. Although the umbrella MOA defines the general terms and conditions for anticipated cooperative efforts, project-specific details are defined in implementing arrangements concluded concurrently with, or subsequent to, conclusion of the MOA. There are three basic types of umbrella MOAs:

2.2.2.2.1. Program MOAs. Program MOAs are appropriate when the parties envision cooperation over several phases of a particular weapon system's development (e.g., Concept & Technology Development, System Development & Demonstration, Production & Deployment). To initiate each phase, the parties conclude an implementing arrangement (sometimes called a "Phase", "Supplement", "Addendum", or "Amendment"), which specifically describes the scope of work, responsibilities of the parties, and other pertinent issues for that phase. The parties execute the supplement, addendum, or amendment for a subsequent phase to complete more work.

2.2.2.2.2. Technology, Research, and Development Project (TRDP) MOAs. TRDP MOAs are appropriate when parties envision cooperation across a variety of disparate scientific/technical areas. A separate implementing arrangement, generally called a PA, is written describing the scope of work and other pertinent issues for each specific project. Depending upon the countries or program involved, these MOAs may be called TRDP MOAs, Research and Technology Projects (RTP) MOAs, Research & Development Projects (RDP) MOAs, or Technology Demonstration and System Prototypes (TDSP) MOAs. The Technical Cooperation Program (TTCP) and the Defense Development Sharing Program (DDSP) are further examples of TRDP MOAs.

2.2.2.2.3. Master MOAs. Master MOAs are appropriate when the parties agree to cooperate on a particular technical area (e.g., warheads), capability, or system. The specifics of each cooperative activity are defined with implementing arrangements generally called PAs.

2.2.2.3. Project Agreements/Project Arrangements (PAs). A PA can only be developed under an umbrella MOA; it is not a stand-alone agreement. PAs detail the provisions of binding collaboration on specific projects between two or more participants under an umbrella MOA. The details include the project objectives, scope of work, management structure, financial arrangements, contractual arrangements, security classification, and any additional specific provisions. PAs are expeditious means for the USAF to initiate cooperative activities in basic research, exploratory development, and/or advanced development (budget categories 6.1 through 6.3 and, in some instances, 6.4). System Development and Demonstration or production programs that evolve from cooperative efforts under one or more PAs generally require separate agreements, usually another MOA, as such work is usually outside the scope of the original umbrella MOA. To reduce the time necessary to bring these cooperative projects from concept to conclusion, OSD has delegated SAF/IA the authority to develop and negotiate PAs. However, SAF/IA must obtain OSD approval through a Request for Final Approval (RFA) process before entering into the agreement.

2.2.2.4. Loan Agreements (LA). LAs provide a means for the USAF to loan or borrow defense equipment or material for RDT&E purposes. Under the provisions of Section 65 of the Arms Export Control Act (22 U.S.C. 2796d), the USAF may enter into bilateral loan agreements with a country that is a North Atlantic Treaty Organization (NATO) or major non-NATO ally, as designated under Section 517 of the Foreign Assistance Act (22 U.S.C. 2321k), to loan, or accept as a loan or gift, material, equipment, and supplies without charge for cooperative RDT&E purposes. The USAF cannot expend any funds in support of such a loan. The loan or lease of equipment may be part of an MOU or PA. The sharing of test results or exchange of technical information generated from the use of the loaned equipment represents equitability for these no-cost loans. SAF/IAPQ must provide a copy of the negotiated LA and supporting documentation to OSD for review before entering into the agreement.

**2.2.3. Documentation Requirements for IAs.** Following exploratory discussions, the IA proponent, with the assistance of an International Cooperative Agreement Team (ICAT), will prepare the following documentation required to obtain authority to develop and negotiate an IA:

2.2.3.1. Draft Summary Statement of Intent (SSOI). The SSOI is a US Government-only document that describes the scope and content of the proposed IA. The SSOI is used to request authority to develop an IA. The SSOI facilitates the drafting of the IA and other appropriate documentation. The format for the SSOI and the instructions for completing it are shown in [Attachment 2](#). An abbreviated SSOI containing only pertinent, revised information will be submitted for proposed amendments to existing MOAs, PAs, and LAs. The original, approved SSOI must be provided with abbreviated SSOIs. In developing the SSOI, USAF personnel will identify and assess the technology and/or information to be included in the program so that reviewers may understand its sensitivity and the parameters of the proposed program.

2.2.3.2. Draft Agreement. When drafting a MOA/MOU or LA, proponents are required to use the IA Generator (IA GEN) in coordination with and supported by an established ICAT (see paragraph [2.5.2.](#)). The IA GEN is DoD-sponsored, US Government-only software containing approved language and guidance for drafting MOAs/MOUs and LAs. The IA GEN contains specific language and guidance for drafting MOUs and LAs with Chapeau and non-Chapeau countries. Note: For PAs, the DoD and foreign MoD(s) agreed to a standard PA format during umbrella MOA negotiations. The PA format is attached as an annex to the umbrella MOA.

2.2.3.3. Draft Delegation of Disclosure Authority Letter (DDL). The DDL sets forth the scope of the MOA or PA and provides guidance regarding releasability of all elements of the system, information, or technology in question. A DDL is required even if the project involves only unclassified information. DDLs are not required for LAs. The format for the DDL is shown in [Attachment 2](#). The scope of the project described in the DDL will be fully consistent with that set forth in the agreement. The DDL will also provide guidance to support evaluation of any proposed exports and releases of defense articles and technical documents by other DoD Components and defense contractors. The approved DDL provides continuous disclosure authority over the life of the IA and may be updated as required. With the SSOI, the DDL supports the USAF position prior to entering into formal negotiations with a foreign government. Regardless of security classification, DDLs will not be disclosed to partner nations. In developing a DDL for classified or controlled unclassified information involving technology with military or space applications, the IA proponent will consult with local foreign disclosure officers (FDOs) to incorporate applicable National Disclosure Policy (NDP-1) and USAF disclosure policy guidelines in accordance with Air Force Policy Directive 16-2, *Disclosure of Military Information to Foreign Governments and International Organizations*.

#### **2.2.4. Pre-Signature Requirements for IAs.**

2.2.4.1. Agreements in a Foreign Language. Per DoDD 5530.3 paragraph 8.11, no IA may be concluded in a foreign language unless the agreement expressly provides that: (1) the English language text will be considered by the parties as the governing text in case of conflict between the different language texts; or (2) the agreement expressly provides that the English language text and the foreign language text are equally authentic. A linguistic certification that these criteria have been met must accompany the text of the agreement. A Certificate of Language Conformity (CLC) will be issued after a thorough review of both the English and foreign language versions of the IA to ensure that both versions are in conformity with each other and have the same meaning

in all substantive respects. In such cases, SAF/IAPQ will obtain the CLC and attach it to the IA. The CLC format is provided in [Attachment 2](#).

2.2.4.2. Certification to the Congress (for IAs falling under Section 27 of the AECA or for designated Friendly Foreign Countries under 10 U.S.C. 2350a). Not less than 30 days before the signing of an MOA or PA for a cooperative project, the DoD is required to submit a numbered certification or report on the proposed cooperative IA to the Speaker of the House of Representatives and to the Chairs of the Senate Committees on Foreign Relations and Armed Services. SAF/IAPQ prepares the certification for transmission to OUSD(AT&L)/IC. The Certification format is provided at [Attachment 2](#).

#### 2.2.5. Post-Signature Requirements for IAs.

2.2.5.1. The Case-Zablocki Act (1 U.S.C. 112b(a)) requires the Secretary of State to report all IAs, other than treaties, to the Congress within 60 calendar days after entry into force. Accordingly, SAF/IAPQ forwards two reproducible copies of each signed MOA, PA, or LA to the USAF Judge Advocate International office, the DoD General Counsel, and to the DoS Assistant Legal Adviser for Treaty Affairs, within 20 days after entry into force. A background statement meeting the requirements of DoDD 5530.3 (enclosures 3 and 6) must accompany the transmitted text of the MOA. If the text of the IA is transmitted more than 20 days after its entry into force, the transmittal document must state the reason for late submission. Unless one of the copies is the signed original, each copy will be certified as a true copy of the original IA (refer to procedures in DoDD 5530.3 and AFI 51-701, *Negotiating, Concluding, Reporting, and Maintaining International Agreements*).

2.2.5.2. SAF/IAPQ will use the above transmittal memo for disseminating the signed IA to the appropriate DoD, HQ USAF, and field-level points of contact. In conjunction with the transmittal memo, SAF/IAPQ will request in a separate memo that SAF/IAPD approve the draft DDL and re-delegate disclosure authority for the IA as appropriate. SAF/IAPQ is responsible for maintaining records of negotiations and concluded agreements.

2.2.6. **Reporting Requirements.** Most IAs contain provisions with specific reporting requirements. US project officers and MOA steering committee representatives must comply with all reporting obligations specified in the IA. IAs that use international funding, such as International Cooperative R&D and Coalition Warfare Program funds, have additional reporting requirements (see [Chapter 7](#) and [Chapter 8](#)). Finally, project officers are generally required to provide annual reports on their IAs for Technical Working Group (TWG), Air Senior National Representative (ASNR), and country agreement review meetings.

**2.3. International Agreements Policy.** This chapter amplifies the procedures contained in AFI 51-701, DoDD 5530.3, DoDD 5000.1 and DoDI 5000.2. The provisions of this chapter do not apply to the preparation and coordination of agreements pursued under either AFM 16-101, *Internal Affairs and Security Assistance Management*, the Air Force Information Exchange Program ([Chapter 3](#)), International Other Transactions or Non-domestic Cooperative Research and Development Agreements ([Chapter 4](#)).

**2.4. Authority.** Congress has enacted several laws authorizing components of the Executive Branch to enter into agreements with foreign nations for the purpose of enhancing mutual defense. Each such law contains specific objectives, grants specific powers, and imposes specific requirements. Accordingly, it is important to select the appropriate legal authority to facilitate the negotiation and execution of the pro-

posed IA. More than one of the following legal authorities may be used or may be required for the execution of a particular IA. SAF/IAPQ will select the appropriate legal authority in consultation with SAF/GCI whose concurrence is required before negotiating or concluding an IA. The primary statutes authorizing IAs are:

2.4.1. **10 U.S.C. 2358.** This statute pertains to general R&D, authorizing the SECDEF or MILDEP to engage in international cooperation in basic research, applied research, advanced research, and development projects with any foreign nation or entity. Project costs must be shared equitably and Foreign Military Funding may be used as all or part of the foreign contribution.

2.4.2. **10 U.S.C. 2350a.** This statute provides authority for cooperative R&D. It authorizes the SECDEF to enter into a formal agreement with members of NATO, NATO organizations, major non-NATO allies and Friendly Foreign Countries (FFCs) (designated annually by the SECDEF) for the purpose of conducting cooperative R&D projects on defense equipment and munitions. Before entering into a formal agreement, the SECDEF must determine that the proposed project will improve, through the application of emerging technology, the conventional defense capabilities of NATO, or the common defense capabilities of the US and its allies. The SECDEF may only delegate this authority to the Deputy Secretary of Defense (DEPSECDEF) or to USD(AT&L). Section 2350a requires sharing of the costs of the project (including the cost of claims) between the participants on an equitable basis. International Cooperative R&D funds made available for such projects may not be used to procure equipment or services from any foreign entity. The allied participant may not use as part of its contribution any funds provided by the US. A 30-day notification to Congress is required prior to signing agreements with FFCs.

2.4.3. **22 U.S.C. 2767.** Section 27 of the Arms Export Control Act (AECA) provides broad authority for research, development, and acquisition. It authorizes the President to enter into cooperative projects with members of NATO and certain other friendly foreign countries. DoD reports annually to Congress on all agreements concluded under Section 27. Section 27 permits partners to contract on behalf of one another; loan material, equipment, and supplies; share the cost of claims, and also authorizes US procurement of foreign defense articles. It requires equitable sharing of the total project costs and joint project management. A 30-day notification to Congress prior to signature of the IA is required.

2.4.4. **22 U.S.C. 2796d.** Section 65 of the AECA authorizes the loan of materials, supplies, or equipment for R&D purposes. It requires a written agreement, either as a stand-alone LA or as part of a broader IA. Section 65 authorizes the SECDEF to make loans to members of NATO or major non-NATO allies, and to accept as a loan or gift from such countries, non-strategic and non-critical materials, supplies, or equipment for the purpose of conducting a cooperative RDT&E program. If the US is the lender, it must incur no costs and must receive a report of the results of the foreign testing or evaluation without charge. If the item loaned is not expendable, it must be returned to the USAF in its original configuration.

**2.5. International Agreements Process.** The DEPSECDEF memorandum of 30 October 2002 contains a streamlined three-stage process for developing R&D IAs. The stages of development are Initiation, Development and Negotiations, and Final Review and Approval. In accordance with DoDI 5000.2, Enclosure 9, Section 4, "*International Cooperative Program Management*", IAC international agreements may use these streamlined procedures rather than the procedures in DoDD 5530.3.

2.5.1. **Initiation of IAs.** The objective of the initiation stage is to obtain the necessary authority to negotiate an IA.

2.5.1.1. Preliminary or Exploratory Discussions. Before and during the process of seeking the authority to develop an IA, proponents may engage in preliminary or exploratory discussions with foreign counterparts. The proponent should consult with SAF/IAPQ concerning the differences between exploratory discussions and negotiations. These preliminary or exploratory discussions are conducted to determine whether the potential project is the most cost-effective alternative to meet a USAF requirement. USAF personnel must make clear to their foreign counterparts that they can not make or accept binding commitments in such exploratory discussions and that the exploratory discussions do not constitute negotiations.

2.5.1.2. Exploratory discussions may take the form of an International Cooperative Agreements Team (ICAT) conducting a technical assessment visit to the foreign country. An ICAT is an integrated product team formed to support the proponent in assessing the merits of the proposal, defining an international project, and drafting the documentation needed for an IA.

2.5.1.3. Initial Discussions. Proponents of an IA should first consult with SAF/IAPQ. Together they will discuss the proposal with other potential stakeholders within the USAF and DoD to identify relevant issues and future composition of an ICAT. During these discussions, the proponent should consult with appropriate USAF disclosure and weapons authorities for guidance regarding releasability of all elements of the information, technology, or system in question.

2.5.2. **International Cooperative Agreement Team (ICAT).** An ICAT is an integrated product team (IPT) formed to support the proponent in defining an international project and in drafting and staffing the documentation needed for an IAC agreement. ICATs are the preferred means for developing and staffing IAC agreements. Through an ICAT, all stakeholders in an IAC project will be given the opportunity to participate in the development and staffing of an IA from early in the process, thereby improving the quality of the agreement and required documentation as well as reducing the overall agreement development and staffing time.

2.5.2.1. Formation of the ICAT. An ICAT will be formed upon identification of an international cooperative project. SAF/IAPQ will form and lead the ICAT. When the proposed project is obviously uncomplicated, minor in scope and significance, and involves little more than a formality in its consummation, then an ICAT would be neither necessary nor practical. Core membership typically includes the proponent, representatives from SAF/IAPQ, appropriate MAJCOM, and USAF field organizations. Foreign Disclosure Office membership from the field and/or higher levels is required. Other members may be added on an as-needed basis. SAF/IAPQ will ensure membership of appropriate USAF offices. Other Services' participation in the ICAT may be required and industry participation may be warranted. In-country personnel (e.g., SAF/IA R&D Liaison Offices, Offices of Defense Cooperation, EOARD, AOARD, etc.) will be members of the ICAT when beneficial to achieving the project's objectives. SAF/IAPQ will provide ICAT leadership throughout the entire agreement development and negotiation process.

2.5.2.2. Meetings. Face-to-face meetings will be held when necessary; other communication means, e.g., teleconferencing, video teleconferencing, e-mail, etc., will be used to the extent practical. Early identification of issues and cooperation between all affected parties will enhance the agreement development and staffing process. ICAT members are responsible for ensuring dissem-

ination of all program information to the ICAT membership. An e-mail roster will be developed and any activity pertaining to the project will be disseminated to the ICAT.

2.5.2.3. **Schedule Development.** An agreement development plan, including staffing schedule, will be prepared by the ICAT. SAF/IAPQ will track progress against the plan and schedule.

2.5.2.4. **Action Items.** SAF/IAPQ is responsible for documenting, tracking, and disseminating action items.

2.5.2.5. **Duration of the ICAT.** The ICAT will remain active until the agreement is signed and copies of the agreement and DDL are provided to the proponent. At this point, the formal ICAT will be disbanded; however, team members will continue to support the execution of the project as required. In the event a problem arises during the execution phase, SAF/IAPQ will be notified and will ensure that in-country USAF personnel, e.g., SAF/IA R&D Liaison Officers, are included in the problem report and given an opportunity to help resolve difficulties.

2.5.3. **Procedures for Staffing IAs.** The USAF must Request Authority to Develop (RAD) MOAs from OUSD(AT&L)/IC. OUSD(AT&L)/IC has delegated the Services authority to develop LAs and PAs under umbrella MOAs. The typical process for developing, staffing, and negotiating IAs is shown in **Figure 2.1**.

2.5.3.1. **Staffing MOAs.** Typically, to initiate the RAD process for MOAs, the proponent, at a high enough management level to demonstrate commitment to the proposed project, formally provides the ICAT-developed SSOI to SAF/IAPQ. Upon receipt, SAF/IAPQ staffs the SSOI with SAF/GCI, SAF/IAPD, SAF/FMBI, SAF/IARW, the appropriate SAF/AQ directorate(s) (including SAF/AQCK if contracting is involved), AF/XO directorate(s), and SAF/IA regional division(s). SAF/IAPQ returns SSOIs that are not approved by HQ USAF to the proponent with detailed guidance on required changes or action. SAF/IAPQ forwards SSOIs that are approved by HQ USAF to OUSD(AT&L)/IC with a formal Request for Authority to Develop (RAD) the MOA. OUSD(AT&L)/IC staffs the RAD to appropriate OSD offices, Military Services, the Department of State, and the Department of Commerce under a 21-day silence procedure. If no objection is made within 21 days, approval is assumed (Note: the OSD Offices of General Counsel and Comptroller are exempt from the 21-day silence procedure). When OSD approves the request, OUSD(AT&L)/IC delegates authority to develop and negotiate the MOA to SAF/IA. If the MOA and DDL were not prepared prior to RAD-approval, the ICAT will develop these documents. The proponent will route the draft MOA, DDL, and SSOI to SAF/IAPQ for HQ USAF review and approval. SAF/IAPQ will staff the draft MOA, SSOI, and DDL with the same offices who coordinated on the RAD.

2.5.3.2. **Staffing PAs and LAs.** OUSD(AT&L)/IC delegates authority to the Services to negotiate both LAs and PAs under umbrella MOAs. Typically, the proponent, at the appropriate management level, formally provides the ICAT-developed draft PA, SSOI, and DDL to SAF/IAPQ. Upon receipt, SAF/IAPQ staffs the documents with SAF/GCI, SAF/IAPD, SAF/FMBI, SAF/IARW, the appropriate SAF/AQ directorate(s) (including SAF/AQCK if contracting is involved), AF/XO directorate(s), and SAF/IA regional division(s). SAF/IAPQ returns agreement packages that are not approved by HQ USAF to the proponent with detailed guidance on required changes or action.

2.5.4. **Development and Negotiation.** AFI 51-701, *Negotiating, Concluding, Reporting, and Maintaining International Agreements*, implements DoDD 5530.3. USAF personnel must obtain appropriate written approval before they negotiate or conclude IAs. USAF personnel may not enter into formal

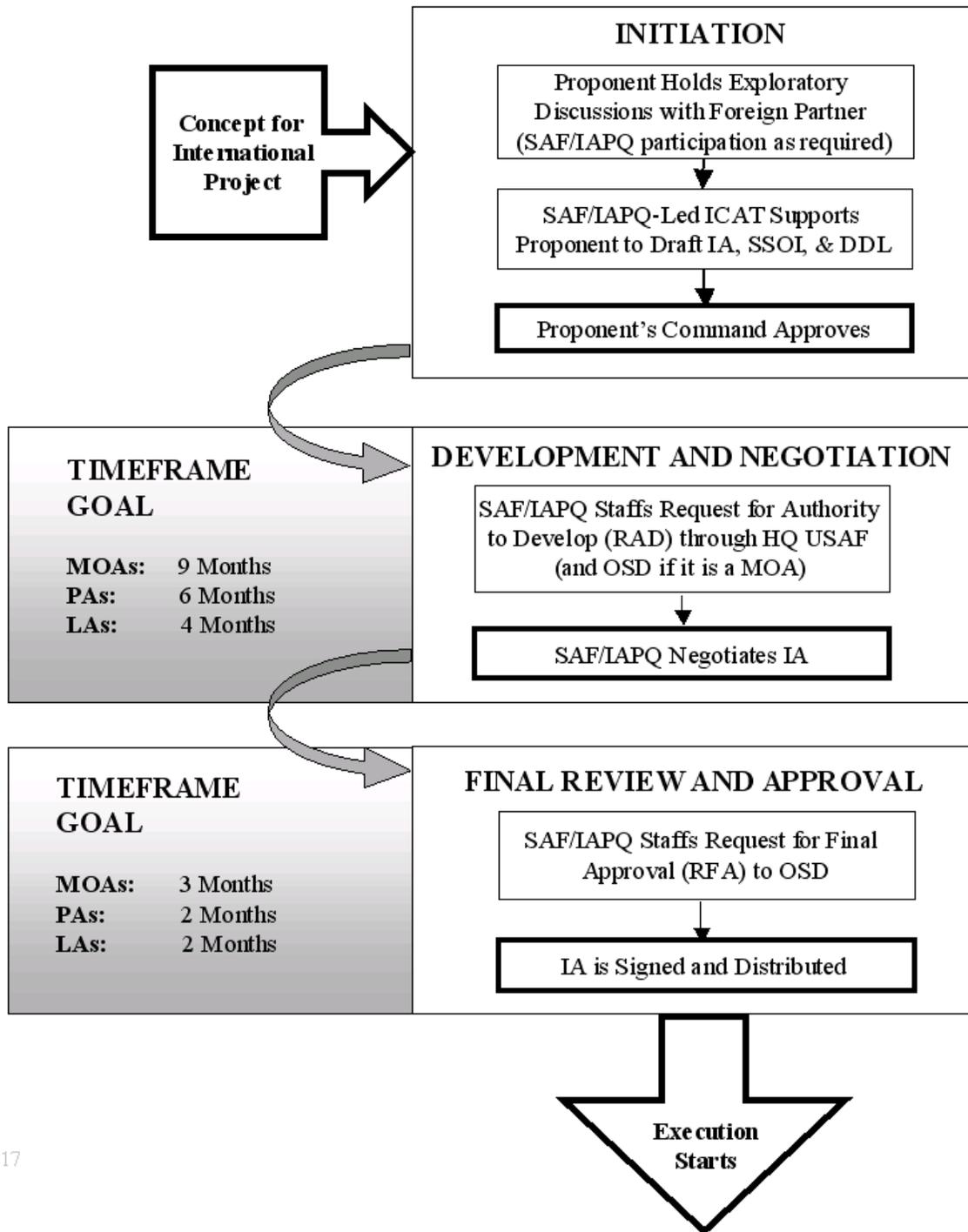
negotiations on IAC programs with foreign representatives unless they have received formal authorization from SAF/IA. SAF/IAPQ obtains approval from OUSD(AT&L)/IC when required. SAF/IAPQ is the HQ USAF organization responsible for negotiating IAC agreements and will only conduct negotiations after it has obtained approval from the appropriate HQ USAF offices and OUSD(AT&L)/IC, when required, of a draft IA and supporting documentation. After SAF/IAPQ has obtained approval from the necessary authorities, SAF/IAPQ will formally propose the draft IA to the foreign government(s) for negotiation. The objective of the negotiation phase is for the USAF to reach agreement with the foreign partner(s) on the terms of the international project and the text of the IA.

2.5.4.1. Negotiation Guidance. SAF/IAPQ will conduct negotiations in accordance with the IA GEN and will submit any proposed deviations to OSD for approval. Timeframe goals for developing and negotiating MOAs, PAs, and LAs are shown in [Figure 2.1](#). Each IA negotiation is unique and is affected by the nature of the project, the number and identity of foreign partners, and other domestic and international considerations.

2.5.4.2. Negotiating Team. SAF/IAPQ approves the membership of the negotiation team, which usually consists of a principal negotiator from SAF/IAPQ, a SAF/GCI representative, and technical experts, including the proponent project office and the US MOA Steering Committee representative, if appropriate. ODC representatives and SAF/IA R&D Liaison Officers stationed in the UK, Germany, and France should be invited to participate in negotiations. The principal negotiator is the spokesperson for, and manager of, the team. The parties will negotiate PAs and LAs through regular mail, e-mail, fax, or telephone. Face-to-face negotiations are only conducted if necessary.

2.5.4.3. Non-binding Nature of Negotiations. During the negotiation process, the US negotiators will make it clear to potential partners that they cannot make binding commitments until the negotiated agreement is approved by appropriate higher authorities.

Figure 2.1. Typical Process for International Agreements



**2.5.5. Final Review and Approval.** The objectives of the final review and approval stage are to obtain approval to conclude the IA from OUSD(AT&L)/IC and signature of the IA by the parties. Once negotiations are complete, SAF/IAPQ will submit a Request for Final Approval (RFA) to OUSD(AT&L)/IC, who will staff the IA with all appropriate OSD functional offices, the Military Services, and the Departments of State, Commerce, and Treasury, as appropriate, under a 21-day silence

procedure (Note: OSD Offices of General Counsel and Comptroller are exempt from the 21-day silence procedure). The RFA package must contain at a minimum the IA and SSOI. The DDL is not included in the staffing package. RFA packages with IAs using Section 27 of the AECA or 10 U.S.C. 2350a with FFCs as their legal authority must also include a Section 27 notification to Congress. During the final review, SAF/IAPQ may need to provide OSD additional information, coordinate proposed changes within the USAF, or renegotiate recommended changes to the IA with the foreign partner. If no issues are identified, OUSD(AT&L) or OUSD(AT&L)/IC will authorize SAF/IA to sign the IA in a formal memorandum. Upon receipt of the memorandum from OSD approving SAF/IA's RFA, SAF/IAPQ will prepare two original IA documents for USAF signature and the foreign party's signature. SAF/IA, SAF/IAP, and SAF/IAR are authorized signatories for USAF IAC agreements. The IA enters into force on the last signature date.

#### **2.5.6. Implementing, Amending, Withdrawing From, and Terminating MOAs, PAs, and LAs.**

2.5.6.1. Implementation. SAF/IAPQ will coordinate proposed implementing arrangements and other subsidiary arrangements to an MOA, PA, or LA with the appropriate HQ USAF offices (at a minimum SAF/GCI) to determine consistency with the MOA, PA, or LA. Examples of implementing arrangements include a project plan, financial management procedures document, and a position description for Cooperative Project Personnel.

2.5.6.2. Amendments. Substantive amendments to a MOA, PA, or LA must be approved via the same procedures used to develop the original MOA, PA, or LA. Substantive amendments include those provisions which by themselves might form the basis of a separate agreement, such as a new phase or task, or that propose a new or altered obligation not previously contemplated by the parties or contained in the IA, e.g., changes in scope, task, contributions, classification, and duration of the IA. The required IA supporting documents for an amendment are the same as for the original MOA, PA or LA (paragraph 2.2.3.), except that the proponent will submit an abbreviated SSOI containing only pertinent, revised information for the proposed amendment to accompany the SSOI for the original agreement. Proponents should notify SAF/IAPQ of proposed amendments as soon as possible to ensure that the appropriate documents are prepared.

2.5.6.3. Withdrawal and Termination. If the USAF is considering unilateral withdrawal from an existing agreement, the proponent's MAJCOM focal point will consult with SAF/IAPQ at least 90 days before the anticipated announcement date. If the decision to withdraw is approved, SAF/IAPQ, after consultation with SAF/GCI, will inform the other signatories according to the procedures outlined in the agreement. Under the terms of most agreements, withdrawing parties retain certain obligations after withdrawal. Generally, responsibility for financial costs incurred up to the date of withdrawal, and for continued compliance with security, intellectual property rights, or other provisions continue after withdrawal from the agreement. The proponent will ensure that these obligations are fully discharged and will report non-compliance to SAF/IAPQ. Similar procedures will be followed to jointly terminate the agreement.

## **2.6. HQ USAF and MAJCOM Responsibilities.**

### **2.6.1. SAF/IA will:**

2.6.1.1. Develop and issue overall IAC policy to USAF personnel in accordance with AFPD 16-1, *International Affairs*, and other documents.

2.6.1.2. Conclude IAs after obtaining OUSD(AT&L)/IC approval.

2.6.1.3. Direct USAF proponent development of MOAs, PAs or LAs, or amendments, withdrawals, and terminations when authorized by OSD.

2.6.1.4. Use OSD-delegated authority to conclude PAs, LAs, or any appropriate amendments, withdrawals, and terminations to PAs or LAs.

**2.6.2. SAF/IAPQ will:**

2.6.2.1. Prepare and disseminate USAF policies and guidelines concerning development, negotiation, and conclusion of MOAs, PAs, and LAs.

2.6.2.2. Form and lead ICATs throughout the IA development and negotiation process and with the proponent develop the IAC documentation package.

2.6.2.3. Review proposed MOAs, PAs, LAs, and supporting documentation to ensure consistency with approved DoD language and formats.

2.6.2.4. Coordinate proposed MOAs, PAs, LAs, and supporting documentation with appropriate HQ USAF staff elements.

2.6.2.5. Request authority from OUSD(AT&L)/IC to develop and negotiate MOAs or appropriate amendments, withdrawals, and terminations on behalf of the USAF.

2.6.2.6. For IAs that use AECA Section 27 (22 U.S.C. 2767), or for IAs with FFCs that use 10 U.S.C. 2350a legal authority, provide timely certification to OSD to allow for the required 30-day Congressional notification prior to entering into the agreement.

2.6.2.7. Serve as principal negotiator for all USAF IAC agreements.

2.6.2.8. Submit a RFA to OUSD(AT&L) to conclude MOAs.

2.6.2.9. Forward two reproducible copies of each signed MOA, PA, or LA to the DoD General Counsel, the DoS Assistant Legal Adviser for Treaty Affairs, and the USAF Judge Advocate General Operations Law (HQ USAF/JAI) office, plus copies to other appropriate USAF and DoD offices within 20 days after it has entered into force.

2.6.2.10. Transmit signed MOAs and PAs to SAF/IAPD for release with the approved DDL to the appropriate MAJCOM foreign disclosure office.

2.6.2.11. Ensure that a CLC is prepared for MOAs, PAs, and LAs to be concluded in English and other languages, certifying that all texts are equally authentic.

2.6.2.12. Monitor implementation of MOAs, PAs, and LAs for which the USAF is responsible. Track the status of all proposed and in-effect IAC agreements.

2.6.2.13. Coordinate USAF review of other DoD Component-proposed MOAs, PAs, LAs, and their supporting SSOIs.

2.6.2.14. Provide OSD the status of ongoing IAs.

**2.6.3. SAF/IAPD will:**

2.6.3.1. Review MOAs, PAs, LAs, and supporting documentation (in particular the DDL) to ensure consistency with foreign disclosure and export policies.

2.6.3.2. Transmit the approved DDL with the appropriate MOA or PA to the appropriate MAJCOM foreign disclosure office within 10 days of receipt of the signed agreement from SAF/IAPQ.

**2.6.4. SAF/IARW will:**

2.6.4.1. Review MOAs, PAs, LAs, and supporting documentation to ensure USAF operational and technical concerns are considered.

**2.6.5. SAF/IA regional offices will:**

2.6.5.1. Review proposed MOAs, PAs, LAs, and supporting documentation for consistency with USAF international policy and compliance with USAF international objectives.

**2.6.6. SAF/AQ will:**

2.6.6.1. Review proposed MOAs, PAs, LAs, and supporting documentation to ensure consistency with USAF science, technology, and acquisition policies.

**2.6.7. SAF/GCI will:**

2.6.7.1. Review proposed MOAs, PAs, LAs, amendments, withdrawals, terminations, and supporting documentation to ensure consistency with US law, regulations, and policies.

2.6.7.2. Provide legal counsel for IAC related matters and support negotiation of agreements.

**2.6.8. HQ USAF/JAI will:**

2.6.8.1. Function as the USAF repository for all Service MOAs, PAs, and LAs.

**2.6.9. PEO, TEO, and Program Manager Responsibilities.**

2.6.9.1. Initiate preliminary or exploratory discussions for MOAs, PAs, and LAs through liaison with foreign governments.

2.6.9.2. Prepare IAC packages in accordance with the guidance provided in this Chapter.

2.6.9.3. Ensure that releases of information and technology comply with an approved DDL.

2.6.9.4. Assist project offices in implementing and managing approved MOAs, PAs, and LAs.

**2.6.10. MAJCOM Responsibilities.**

2.6.10.1. Transmit the signed IA and approved DDL to the applicable project office and FDO within 10 days of receipt of these documents from SAF/IAPD.

2.6.10.2. Review IAC packages in accordance with the guidance provided in this Chapter.

## Chapter 3

### THE AIR FORCE INFORMATION EXCHANGE PROGRAM

**3.1. Purpose and Objectives.** The exchange of RDT&E information provides the foundation for international cooperation. USAF personnel are encouraged to pursue RDT&E information exchange with allied and friendly countries to:

- 3.1.1. Explore opportunities to promote future technology cooperation to enhance standardization and interoperability between the US, its allies, and other friendly nations.
- 3.1.2. Establish and nurture relationships between the technical communities in the DoD and USAF and those of other countries to promote broader defense relationships and for future acquisitions.
- 3.1.3. Remain abreast of developments outside the US in defense-related technologies.
- 3.1.4. Impart to partner nations current and future US visions of the impact of technology on various defense equipment programs (for acquisition and broader defense planning purposes).

**3.2. Information Exchange Program Background.** The US participates in the Defense RDT&E Information Exchange Program (IEP) through bilateral and multilateral Master Data/Information Agreements (MDEAs/MIEAs) with allied and friendly nations. These master agreements outline the terms, conditions, security classification, and procedures for the reciprocal exchange of scientific and technical information. For the US, MDEAs/MIEAs are negotiated and signed at the OSD level, in accordance with DoDD 5530.3. OSD delegates the authority to negotiate and conclude Data/Information Exchange Annexes (DEAs/IEAs) to SAF/IAP who serves as the Annex Authority for USAF-specific DEAs/IEAs. There is no limit to the number of DEAs/IEAs the USAF may have with a specific country. Provisions negotiated under a master agreement apply to all DEAs/IEAs. [Attachment 3](#) provides sample DEA and IEA format templates. Depending on the country involved, some variations from the templates may be required. The procedures for DEAs and IEAs are the same and for simplicity only the terms MIEA and IEA will be used in the remainder of this Chapter.

- 3.2.1. IEAs are developed for the exchange of R&D information on a reciprocal, balanced basis such that the R&D information exchanged between parties will be of approximately equivalent value, qualitatively and quantitatively. Generally, IEAs are used to exchange generic, non-system specific technology.
- 3.2.2. IEAs exclude transfer of weapon, sensor, or related system computer software and computer software documentation. An IEA may not be used for the exchange of production and manufacturing information, hardware, personnel, or for a cooperative project. Expenditure of funds is limited to administrative and travel costs to support the proper management of the IEA.
- 3.2.3. Industry or university participation is limited to companies or universities under contract to DoD or foreign counterparts. Foreign industry participation is authorized only for countries with which the DoD has an industrial security agreement. In all cases, industry participation must be in compliance with the terms and conditions of the MIEA, the IEA, DoD industrial security export regulations, and US National Disclosure Policy (NDP-1).

**3.3. Information Exchange Program Policy.** It is USAF policy to explore international cooperative RDT&E cooperation through the USAF Information Exchange Program. In addition, releases of informa-

tion must comply with NDP-1, DoDD 5230.11, *Disclosure of Classified Military Information to Foreign Governments and International Organizations*, DoDD 2040.2, *International Transfers of Technology, Goods, Services, and Munitions*, and DoDD 5230.25, *Withholding of Unclassified Technical Data from Public Disclosure*.

**3.4. Authority.** The Military Departments conduct RDT&E information exchanges under DoDI 2015.4, *Defense Research, Development, Test and Evaluation (RDT&E) Information Exchange Program (IEP)*. Master Information/Data Exchange Agreements authorize US participation in information and data exchanges with foreign countries. This is done through specific USAF/Country IEAs, developed under the auspices of the master agreement.

**3.5. Information Exchange Process.** IEAs are developed to support RDT&E exchanges through an equitable exchange of information that is consistent with national and DoD security policy. SAF/IAPQ leads coordination and staffing of draft DoD MIEAs within the USAF and, as directed by OSD, develops and staffs MIEAs among the Services, OSD, and other agencies.

**3.5.1. Actors in the IEA process include:**

3.5.1.1. Authorities. Government officials authorized to act on behalf of the US.

3.5.1.2. Technical Project Officer (TPO). USAF personnel specifically authorized to exchange RDT&E information under an IEA. The TPO (USAF and foreign) appointed by each party is responsible for overall management of information exchange activities under a specific IEA.

3.5.1.3. Associate Technical Project Officer (ATPO). Provides technical assistance to the TPOs to fulfill the objectives of an IEA. ATPOs may also be participants in other Service IEAs. They may also be USAF participants, with the permission of the TPO, who can pursue objectives that fit within the scope and classification of information authorized for exchange under an existing IEA.

3.5.1.4. Research and Development Liaison Officer. Assists Annex Authorities, TPOs, and Establishments in IEA-related efforts.

3.5.1.5. Establishments. Organizations that have an interest in the RDT&E information to be exchanged and in facilitating visits.

3.5.1.6. Project Officers/Project Implementation Authorities (Older terminology used in some MDEAs). Personnel who facilitate distribution of correspondence as needed.

3.5.1.7. Cross-Service use of IEAs. Participation with another Service, in a new or existing IEA, as an ATPO requires a Quid-Pro-Quo (QPQ) Analysis and DDL specifying disclosure guidance for release of USAF-specific technical information. USAF participation in another Service's IEAs, as an Establishment does not require a separate USAF DDL. The TPO will provide his or her Service disclosure policy to the other Service on an as-needed basis. If a USAF organization requests to be listed as an Establishment for an IEA, the request will be forwarded to SAF/IAPQ for action.

**3.5.2. Establishing an IEA.** The USAF, another DoD Component, or an allied or friendly foreign nation may propose an IEA. The following documentation and procedures are involved in establishing an IEA:

3.5.2.1. Proposed IEA. The US TPO will develop the proposed draft IEA with his or her foreign counterpart.

3.5.2.2. A US Government-only QPQ Analysis explaining benefits to the USAF and the foreign country will be provided as supporting documentation for each proposed IEA ([Attachment 3, Paragraph 3.1.5.2.](#)). The US TPO will develop the QPQ with inputs from all participants. The benefits of the proposed information exchange will be clearly identified.

3.5.2.3. A DDL providing disclosure guidance to the TPO and other US participants is required for each IEA. In the event that there is a conflict between the DDL and the MIEA or IEA, the DDL takes precedence as it pertains to the scope and type of US information or data proposed for exchange. The DDL will be prepared in coordination with the TPO's MAJCOM foreign disclosure office. The local FDO must review and approve all technical information proposed for exchange under the IEA before the TPO forwards it to his/her foreign counterpart. Administrative and public domain information and correspondence may be sent directly.

3.5.2.4. DDLs will be classified if the information contained therein is classified, based on derivative classification guidance or the compilation principle. Marking a DDL classified based upon compilation requires endorsement by an original classification authority. The highest security classification level of information to be exchanged in a specific IEA must be consistent with the corresponding DDL and comply with the MIEA. Regardless of its classification, a DDL is not authorized for release or disclosure to any foreign government, representative thereof, foreign national, or international organization. [Attachment 2](#) depicts a sample DDL format.

3.5.2.5. Statement of Objectives. Information exchange objectives may be identified by the US and foreign TPOs if needed to clarify expectations during the life of the established IEA. Annual visits between the US and foreign TPOs are encouraged to maintain awareness of each other's technological advances and activities. All visits must comply with DoDD 5230.20, *Visits, Assignments, and Exchanges of Foreign Nationals*.

3.5.2.6. Technical Assessment. The designated US TPO must accomplish a technical assessment of proposed IEAs. If the assessment includes exploratory visits to the foreign research organizations, in-country SAF/IA R&D Liaison Offices, ODCs, EOARD, and AOARD will be contacted to help establish appropriate points of contact. As a minimum, the following points should be considered during the technical assessment:

- 3.5.2.6.1. Tangible technical benefit to a US program;
- 3.5.2.6.2. Specific US application of the foreign technology;
- 3.5.2.6.3. Unique advantages of the foreign research programs, facilities, and/or personnel;
- 3.5.2.6.4. Impact on the US program without the foreign technology;
- 3.5.2.6.5. Sensitivity or military criticality of proposed US technology to be exchanged;
- 3.5.2.6.6. Potential application of US technology by a foreign country;
- 3.5.2.6.7. Technology availability from other foreign sources; and
- 3.5.2.6.8. Level of damage to the US from disclosure of US technology to a non-participant in the IEA.

3.5.2.7. IEA Approval Process. SAF/IAPQ will review and coordinate the proposed IEA and supporting documentation with SAF/GCI and HQ USAF technical experts, foreign disclosure offices,

country directors and other USAF and DoD component organizations, as appropriate. SAF/IAP will approve the USAF coordinated draft IEA for release to the foreign country for review.

3.5.2.8. SAF/IAPQ will answer questions and/or incorporate changes proposed during the foreign country staffing process with the appropriate HQ USAF office, field-level organization, or TPO. SAF/IAPQ will then forward the IEA to the Department of Commerce, Bureau of Industry and Security, Office of Strategic Industries and Economic Security for review in order to assess the potential impact on the US industrial base.

3.5.2.9. After foreign country and Department of Commerce staffing and any agreed revisions, SAF/IAP will then sign two original IEAs, and forward them to the country concerned for countersignature. (In some instances, the foreign country will prepare and staff IEA documentation to forward to the US for countersignature). Upon receipt of the countersigned originals, SAF/IAPQ will distribute copies of the IEA, Certificate of Authenticity, and Certificate of Language Conformity, if required ([Attachment 2](#)), within ten days to SAF/IAPD, the appropriate DoD agencies, and other activities.

3.5.2.10. SAF/IAPD will issue the approved DDL (US releasable only), with the associated IEA, to the appropriate MAJCOM FDO. The MAJCOM FDO will redelegate the approved DDL to appropriate field FDO.

3.5.2.11. IEAs initiated by a foreign country will be processed in the US in a similar manner to the process outlined in paragraphs [3.5.2.1](#) through [3.5.2.7](#). TPOs or prospective TPOs who receive a proposed IEA will immediately notify SAF/IAPQ and conduct a technical assessment (paragraph [3.5.2.6](#)). If the technical assessment indicates that the IEA should be pursued, a QPQ and DDL will be developed and staffed.

3.5.3. **Revising an IEA.** An IEA must be revised when a change to an IEA's scope or security classification level is proposed.

3.5.3.1. The USAF TPO will evaluate proposed changes using criteria similar to establishing a new IEA.

3.5.3.2. The USAF TPO will contact SAF/IAPQ to develop an updated QPQ Analysis and DDL package.

3.5.3.3. The procedures in paragraphs [3.5.2.1](#) through [3.5.2.7](#) will be followed for revising IEAs.

3.5.3.4. IEA revisions initiated by a foreign country will be processed in a manner similar to paragraphs [3.5.2.1](#) through [3.5.2.7](#).

3.5.4. **Administrative Changes to Establishments and Authorities of an IEA.** Administrative changes to existing IEAs are processed when the Establishments and Authorities are updated.

3.5.4.1. USAF TPOs will forward proposed administrative changes to SAF/IAPQ for approval. After approval, USAF TPOs will inform their foreign counterparts of the changes in writing, with copies to SAF/IAPQ.

3.5.5. **Terminating an Annex.** An IEA may be terminated by either country. Termination procedures will be in accordance with the MIEA and appropriate IEA. A TPO may request SAF/IAPQ to terminate an IEA.

### **3.6. HQ USAF and MAJCOM Responsibilities.**

#### **3.6.1. SAF/IAP will:**

3.6.1.1. Provide executive level oversight for all USAF IEAs as the USAF Annex Authority.

#### **3.6.2. SAF/IAPQ will:**

3.6.2.1. Implement, manage, and advocate the USAF Information Exchange Program.

3.6.2.2. Develop, negotiate, and conclude USAF IEAs, and subsequent revisions, subject to the terms and conditions of each MIEA with the involved country.

3.6.2.3. Distribute copies of signed IEAs, to SAF/IAPD, appropriate DoD agencies, and other activities in accordance with attachment 3 of AFI 51-701.

3.6.2.4. Inform MAJCOM focal points and foreign counterparts in writing of changes in USAF IEA policy, management processes, issues, and other relevant information, as appropriate.

3.6.2.5. Conduct reviews of IEAs to evaluate program effectiveness and identify problem areas for resolution. Conduct annual audits of IEAs to include information exchange activity, equitability, and value. Based upon the results of such audits, recommend revisions or terminations as appropriate.

3.6.2.6. Approve IEA administrative changes to update Establishments and/or Authorities.

#### **3.6.3. SAF/IAPD will:**

3.6.3.1. Issue the approved DDL (US releasable only), with the associated signed IEA, to the appropriate MAJCOM foreign disclosure office.

3.6.3.2. Delegate responsibility for implementing approved DDLs to the MAJCOM FDO.

#### **3.6.4. SAF/AQ will:**

3.6.4.1. Review proposed IEAs and their supporting documentation to ensure consistency with USAF science, technology, and acquisition policies.

#### **3.6.5. MAJCOMs will:**

3.6.5.1. Redelegate approved DDLs to appropriate field FDOs.

#### **3.6.6. US Technical Project Officers (TPOs) will:**

3.6.6.1. Exercise day-to-day management of assigned IEA efforts in accordance with the terms and conditions of the IEA and the approved DDL. Ensure information exchanged is essentially equivalent in volume, criticality, and relevance.

3.6.6.2. Prepare supporting documentation packages for proposed IEAs, revisions, administrative changes, terminations, and potential follow-on cooperative projects.

3.6.6.3. Ensure that ATPOs and Establishments understand, and are in compliance with, the terms and conditions of the IEA and the associated DDL.

3.6.6.4. Within 90 days of TPO assignment, contact SAF/IAPQ for International Armaments Cooperation training.

3.6.6.5. Forward all technical information through the local FDO for release approval prior to forwarding through channels to the foreign counterpart(s).

- 3.6.6.6. Maintain an active dialogue and exchange of information with the foreign TPO(s).
- 3.6.6.7. Endeavor to meet with foreign TPO(s) annually to maintain awareness of foreign technical capabilities, maximize IEA benefits, and explore opportunities for new or expanded cooperation activities. Generally, TPOs travel to each other's countries on alternate years, although more frequent visits are encouraged if benefits are justified.
- 3.6.6.8. Coordinate IEA meetings and trips with ATPOs and Establishments.
- 3.6.6.9. Support technical working groups, workshops, conferences, etc., in their area of expertise to identify future cooperative opportunities as appropriate.
- 3.6.6.10. Maintain a complete set of IEA files to include the latest version of the IEA, all appropriate correspondence, current annual objectives (if appropriate), and a record of visits and information exchanged with the other country.

## Chapter 4

### INTERNATIONAL OTHER TRANSACTIONS (OTS) AND NON-DOMESTIC COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS (CRADAS)

**4.1. Purpose and Objectives.** An International Other Transaction (OT), authorized by 10 U.S.C. 2371, is available for use with foreign non-government entities, primarily industries and universities, and may be considered along with contracts and IAs during the development of an acquisition strategy. OTs are transactions other than contracts, grants, or cooperative agreements, and are used to accomplish various objectives. Non-domestic Cooperative Research and Development Agreements (CRADAs) authorized by 15 U.S.C. 3710a enable the US to benefit from scientific technology developed abroad.

**4.2. International Other Transactions Background.** OTs are not subject to statutes and regulations that apply specifically to contracts, grants, and cooperative agreements (for example, the FAR). Generally, there are two types of OTs: OTs for research and OTs for acquisition of weapon system prototypes. Particular policy guidance is ascribed to each type of OT.

**4.3. Non-domestic Cooperative Research And Development Agreements Background.** Non-domestic CRADAs are instruments qualitatively different from contracts, grants, and cooperative agreements that allow US laboratory personnel to perform R&D in collaboration with foreign industrial or other non-government entities such as universities, without the transfer of US funds.

#### **4.4. International Other Transactions Policy.**

**4.4.1. International OTs for Research .** OTs for Research, authorized by 10 U.S.C. 2371, support basic, applied, and advanced research. They can only be used when a standard contract, grant, or cooperative agreement is not feasible or appropriate. Cost must be shared and the US cannot contribute a value greater than its partner. A determination justifying the use of an International OT for research is required.

**4.4.2. International OTs for Acquisition of Weapon System Prototypes.** OTs authorized by Section 845 of the National Defense Authorization Act for FY 1994, Public Law 103-160, may be used for acquisition of prototype projects relevant to weapon systems proposed to be acquired or developed by the DoD. A “prototype” is an end product that reasonably evaluates the technical feasibility or operational military utility of a concept or system. The use of Section 845 authority eliminates the applicability of some, but not all laws and regulations; and provides a flexible, relatively unstructured environment for the prototype project. For example, commercial practices rather than Government-unique requirements may be used. Accordingly, traditional defense contractors are permitted to consider new ways of doing business and strictly commercial firms are permitted to do business with the DoD without changing their existing business practices. Unlike OTs for research described above, Section 845 OTs do not require cost sharing or a determination justifying their use but must employ competitive procedures to the maximum extent practicable. In addition, if the prototype project is a precursor to a Major Defense Acquisition Program (MDAP), then USD(AT&L) must be notified at least 30 days prior to award and advised of the future transition strategy to a MDAP.

#### 4.5. CRADA Policy.

4.5.1. Considerations. Information, over and above that normally collected for domestic CRADAs must be gathered when dealing with entities with foreign connections.

4.5.1.1. Whether such foreign companies or governments permit and encourage US agencies, organizations, or persons to enter into CRADAs and licensing agreements on a comparable basis.

4.5.1.2. Whether those foreign governments have policies to protect US intellectual property rights.

4.5.1.3. Whether the data and technology involved fall under national export control restrictions and whether the foreign governments have adopted adequate measures to prevent the transfer of strategic technology to destinations prohibited under such national security export controls, either through the New Forum for Multilateral Export Control or through other international agreements to which the US and such foreign governments are signatories.

4.5.2. The field unit must determine the status of the cooperating organization. Only non-government foreign entities qualify for CRADA partnerships with USAF organizations according to 15 U.S.C. 3710a.

4.5.3. There is no requirement that the USAF enter into any transfer agreement with non-domestic partners.

**4.6. Authority.** 10 U.S.C. 2371 and Section 845 of the National Defense Authorization Act for FY 1994, Public Law 103-160, serve as the legal basis for OTs. Executive Order Number 12591, Section 4, and the Federal Technology Transfer Act of 1986, Public Law 99-502, establish guidelines for negotiating or entering into CRADAs or licensing arrangements with foreign persons or industrial organizations.

**4.7. International OT Process.** The procedures for staffing International OTs are as follows:

4.7.1. Prior to entering into negotiations with a foreign non-government entity, field unit submits a summary of the proposed International OT to SAF/IAPQ.

4.7.2. Upon approval by SAF/IAPQ, field unit negotiates and signs the International OT.

4.7.3. Field unit sends a copy of the signed International OT agreement to SAF/IAPQ.

4.7.4. Work begins.

**4.8. Non-domestic CRADA Process.** Prior to negotiating a CRADA or license agreement with a non-domestic partner, or continuing one when an existing domestic partner comes under greater-than-25% foreign ownership or control, the USAF engages in a two-stage process for authorizing agreements with non-domestic partners:

4.8.1. Stage 1: Authorization to negotiate or continue a CRADA or license agreement with the non-domestic partner.

4.8.2. Stage 2: Approval for execution of the agreement.

4.8.2.1. For existing CRADAs where a domestic CRADA partner comes under greater-than-25% foreign ownership or control, the domestic CRADA partner will be obligated to obtain the USAF's consent prior to assigning any interest in the CRADA to a third party.

#### 4.8.3. Procedures for Non-domestic CRADAs:

- 4.8.3.1. Field unit submits certification questionnaire.
- 4.8.3.2. Field unit determines foreign ownership or control status.
- 4.8.3.3. Field unit approves technology transfer.
- 4.8.3.4. Field unit submits non-domestic CRADA Summary Sheet to SAF/IAPQ for approval.
- 4.8.3.5. Field unit negotiates and signs the non-domestic CRADA with partner.
- 4.8.3.6. Field unit sends copy of signed agreement to SAF/IAPQ.
- 4.8.3.7. Work begins.

#### 4.9. HQ USAF and Field Unit Responsibilities for OTs.

##### 4.9.1. SAF/IAPQ will:

- 4.9.1.1. Assist field units in developing International OT Summary Sheets.
- 4.9.1.2. Staff, review, and approve/disapprove all International OT Summary Sheets.
- 4.9.1.3. Notify field units of approval or disapproval of International OT Summary Sheets.
- 4.9.1.4. Act as the USAF focal point for the preparation of the required annual report to Office of the Deputy Under Secretary of Defense for Defense Procurement and Acquisition Policy.
- 4.9.1.5. Advise USD(AT&L) at least 30 days prior to award of a Section 845 International OT if the prototype project is a precursor to a MDAP; and advise on the future transition strategy.
- 4.9.1.6. Conduct annual reviews of International OTs.

##### 4.9.2. SAF/AQ will:

- 4.9.2.1. Review proposed OTs and their supporting documentation to ensure consistency with USAF science, technology, and acquisition policies.

##### 4.9.3. Field Units will:

- 4.9.3.1. Determine foreign ownership or control of prospective International OT partners.
- 4.9.3.2. Evaluate risks and make a technology transfer determination.
- 4.9.3.3. Draft and submit International OT Summary Sheets.
- 4.9.3.4. When authorized by SAF/IAPQ, negotiate International OT terms and conditions with potential partner.
- 4.9.3.5. Plan, program, and budget funding for and perform the work specified in International OT.

#### 4.10. HQ USAF and Field Unit Responsibilities for CRADAs.

##### 4.10.1. SAF/IAPQ will:

- 4.10.1.1. Assist field units in developing non-domestic CRADA Summary Sheets.
- 4.10.1.2. Staff, review, and approve/disapprove all non-domestic CRADA Summary Sheets.

4.10.1.3. Notify field units of approval or disapproval of non-domestic CRADA Summary Sheets.

4.10.1.4. Conduct annual reviews of non-domestic CRADAs.

**4.10.2. Field Units will:**

4.10.2.1. Determine foreign ownership or control of prospective non-domestic CRADA partners.

4.10.2.2. Evaluate risks and make technology transfer determination.

4.10.2.3. Draft and submit non-domestic CRADA Summary Sheets.

4.10.2.4. Negotiate non-domestic CRADA terms and conditions with potential partners.

4.10.2.5. Provide a copy of signed non-domestic CRADA to SAF/IAPQ.

4.10.2.6. Plan, program, and budget funding for and perform the work specified in non-domestic CRADA.

## Chapter 5

### THE FOREIGN COMPARATIVE TESTING (FCT) PROGRAM

**5.1. Purpose and Objectives.** The FCT Program tests and evaluates foreign Non-Developmental Items (NDI) as directed by DoD FAR Supplement (DFARS) Part 207 and 211, DoDD 5000.1, and DoDI 5000.2. By testing NDI, the FCT Program determines whether equipment developed by US allies and other friendly nations can satisfy US Armed Forces requirements or correct mission area shortcomings. Additional goals of the program are to reduce duplication in R&D, enhance standardization and interoperability, improve cooperative support, and promote competition and international technology exchange.

**5.2. Foreign Comparative Testing Program Background.** Congressionally authorized in 1989 by 10 U.S.C. 2350a(g), the FCT Program consolidated the former Foreign Weapons Evaluation and NATO Comparative Test Programs and focused efforts on identifying and testing equipment to quickly and economically improve the capability of US operational forces. The FCT Program supports US policy of encouraging international cooperation and helps reduce overall DoD acquisition costs by facilitating the procurement of foreign NDI. The program is managed by the Deputy Under Secretary of Defense, Advanced Systems & Concepts, Office of the Under Secretary of Defense (Acquisition, Technology & Logistics). The FCT Program is funded under the defense-wide Research, Development, Test, and Evaluation appropriation. More information and guidance can be found at the USAF and OSD web sites shown below.

USAF - <http://www.safia.hq.af.mil/fct/default.htm>

OSD - <http://www.acq.osd.mil/fct/>

**5.3. Foreign Comparative Testing Program Policy.** SAF/IAPQ will normally request OSD funds for a project duration of no more than two years. If adequately justified, OSD may approve funding for complex or high-cost systems for a longer period. USAF personnel must attempt to obtain FCT test articles by means other than purchase (e.g., loan or lease). If unsuccessful, USAF contracting officers may purchase test articles and associated test support services from foreign sources under authority of the FAR.

5.3.1. Contracting guidance for the FCT Program (the "Kaminski Approach") was published by Dr. Paul G. Kaminski in his capacity as Under Secretary of Defense for Acquisition and Technology. It states:

5.3.1.1. The intention to initiate an FCT project should be publicized in *Federal Business Opportunities (FedBizOpps)* with the intent of full and open competition.

5.3.1.2. Sources responding to the *FedBizOpps* announcement that have been determined capable of meeting test objectives should be provided a solicitation that calls for proposals, to include the prices for the test articles and priced options for production quantities.

5.3.1.3. Procuring activities could then, without further competition, contract for production quantities if the item tests successfully and is determined to be the best value.

**NOTE:** FedBizOpps replaced The Commerce Business Daily.

5.3.2. USAF personnel will not use the FCT Program for exploitation, intelligence-gathering purposes, or to test US systems.

5.3.3. When the USAF conducts a FCT Project jointly with a foreign government, appropriate IAs with the foreign governments are required ([Chapter 2](#)).

5.3.4. Foreign T&E Data. Pertinent T&E data obtained from foreign governments and manufacturers may be useful in reducing duplication of T&E effort and costs. Existing MOAs and Information/Data Exchange Annexes (IEAs/ DEAs), when appropriate, will be used to facilitate exchange of FCT data. For countries where no such appropriate agreements exist, T&E data may be obtained via a contract or a separately negotiated agreement. Classified or sensitive US test data will be provided to the foreign governments or manufacturers only in strict accordance with US policy and controls.

**5.4. Statutory Authority.** The procedures in this Chapter apply to USAF FCT projects, conducted under 10 U.S.C. 2350a(g).

**5.5. Foreign Comparative Testing Program Process.** FCT projects should be designed to evaluate whether test items satisfy validated USAF requirements and provide best value; the acquisition strategy should support procurement decisions to this effect. An FCT project proposal must clearly describe the candidate item or technology for test and the purpose of the evaluation.

5.5.1. **FCT Project Criteria.** The selection or rejection of a candidate item or technology as an FCT project will depend on the extent to which a proposal satisfies the following criteria:

5.5.1.1. Provides a solution to a valid USAF requirement for which there is no existing US system; or as an alternative to a US system under development when the foreign item appears to offer significant cost, schedule, or performance advantages; or, when the foreign item has the potential to correct an operational deficiency or shortcoming; or presents an alternative for military equipment, munitions, or a related technology or manufacturing process. Proposals must cite the validated operational requirements document.

5.5.1.2. Provides a written summary, including results, of a thorough market investigation to determine availability of similar equipment, and identifies potential US and allied country vendors. (See 207.105 of the DFARS, reference (c), regarding "market research.") Solicitation to industry in the form of a "sources sought/RFI" inquiry through the Federal Business Opportunities (<http://www.FedBizOpps.gov>) is required.

5.5.1.3. Identifies no offshore procurement restrictions.

5.5.1.4. Shows serious intent to procure by identifying procurement and support funds in the Future Year Defense Plan (FYDP) to procure equipment that meets requirements and demonstrates best value to the USAF.

5.5.1.5. Identifies, where applicable, any potential for establishing a US source to produce, under license, foreign-designed equipment or technologies.

5.5.1.6. Demonstrates USAF willingness to share test costs, and addresses the willingness of the foreign government and/or industry to absorb all or part of the costs associated with providing test articles.

5.5.1.7. Addresses allied interoperability and support considerations (e.g., is the item or system in, or about to enter, service with one or more allies or friendly countries?).

5.5.1.8. Indicates the level of support the candidate has from potential users, e.g., an endorsement from a General Officer supporting the acquisition of the item if it meets requirements and provides best value.

5.5.1.9. Indicates the level of interest from other DoD Components in this effort. (Do other DoD Components have similar requirements? If so, do they support this project?)

5.5.1.10. Identifies required security and disclosure plans associated with the test of the proposed equipment (e.g., security classifications, access requirements, and transfer of test articles, data, designs, and reports.)

5.5.2. **The FCT Proposal.** There are 3 FCT proposal formats: Summary Proposal, Draft Proposal, and Final Proposal. The project proponent submits the FCT proposal to SAF/IAPQ. It will include all information that may bear on proposal approval.

5.5.2.1. The Summary FCT Proposal Format. Submittal of this document to SAF/IAPQ is the first step a program manager takes to be considered for FCT funding. The document is a one-page summary of an FCT project, requiring funding for the next fiscal year. The Summary Proposal is used to aid OSD in preparation of the President's Budget (PB) submittal. SAF/IAPQ uses the summary to determine which proposed projects should proceed to the next step, the Draft Proposal.

5.5.2.2. The Draft and Final FCT Proposal Formats. The Draft Proposal will be as concise as possible and contain information as delineated in [Attachment 4](#). Any necessary background information (e.g., user sponsorship letters, brochures, photos, and previous test results) should be included as electronic attachments to the proposal. The Final Proposal is in the same format as the Draft Proposal; however, it is now a finished product, ready to submit to OSD to compete for funding. The actual form is available on the OSD FCT website (<http://www.acq.osd.mil/fct/forms/proposal.doc>).

5.5.3. **The FCT Proposal Timeline.** The following timeline is used to generate, review, and approve all FCT projects:

5.5.3.1. *October:* SAF/IAPQ sends call letters out to project managers and PEOs with and courtesy copies to MAJCOM FCT focal points.

5.5.3.2. *December:* Summary Proposals due to SAF/IAPQ for review and delivery to OSD.

5.5.3.3. *December-February:* Project managers work with SAF/IAPQ, Program Element Monitor (PEM), foreign industry, and others to generate Draft Proposals and build or update integrated product teams.

5.5.3.4. *January:* OSD prepares PB for FCT Program.

5.5.3.5. *February:* Draft Proposals due to SAF/IAPQ for review and delivery to OSD in March. OSD begins preliminary review and works with SAF/IAPQ to refine the proposal.

5.5.3.6. *March:* SAF/IAPQ provides comments to the project managers to refine the Draft Proposals.

5.5.3.7. *April:* Final Proposals due to SAF/IAPQ for review, staffing through the Air Staff and delivery to OSD on or about 1 May. OSD begins final review and preparation for proposal presentation to the OSD FCT Review Committee (RC).

5.5.3.8. *June through early July:* Brief and coordinate USAF projects at OSD RC and other offices as required. Project managers may be required to brief/support their projects.

5.5.3.9. *July:* OSD selects projects and notifies Congress.

5.5.3.10. *October:* USAF is notified of Congressionally-approved projects, funds are distributed, and projects initiated. OSD conducts the annual FCT kickoff meeting for all approved projects. Project managers and their designated team members are required to attend the kick-off meeting.

5.5.4. Upon receiving the Services' submissions, OSD reviews and staffs the FCT proposals. On the basis of initial OSD reviews, SAF/IAPQ and USAF proponents may be required to answer questions or brief the proposals to the OSD FCT RC. Following final OSD review and USAF briefings, the RC recommends approval or rejection of projects for FCT Program funding.

5.5.5. The Deputy Under Secretary, Advanced Systems and Concepts (DUSD(AS&C)) reviews projects recommended for approval to identify those for which DUSD(AS&C) will provide operational T&E oversight. Project proponents will provide SAF/IAPQ with operational test plans for those projects requiring DUSD(AS&C) coordination.

## **5.6. HQ USAF and MAJCOM Responsibilities.**

### **5.6.1. SAF/IAPQ will:**

5.6.1.1. Serve as administrator of the USAF FCT Program.

5.6.1.2. Review and prioritize FCT proposals submitted by the project managers and PEOs for review by OSD.

5.6.1.3. Submit FCT proposals to OSD on the due dates outlined in Paragraph **5.5.3**.

5.6.1.4. Notify project proponents of approved projects after receiving formal notification from OSD. This notification will include any specific OSD guidance, recommendations, and restrictions regarding projects.

5.6.1.5. Provide Quarterly Progress Reports (QPRs) on approved projects to the OSD FCT Program Manager and appropriate offices no later than 30 days after the end of the subject quarter. RCS: DD-AT&L(Q)1791.

5.6.1.6. Submit T&E plans required by the OSD FCT Program Manager prior to the start of testing.

5.6.1.7. Submit final test and disposition reports to the OSD FCT Program Manager, appropriate SAF/AQ offices, and, as required, to DUSD(AS&C).

5.6.1.8. Prepare and submit the USAF input for the annual OSD FCT Report to Congress.

### **5.6.2. Project Managers and PEOs will:**

5.6.2.1. Seek opportunities within the acquisition process to identify, evaluate, and obtain for T&E purposes, alternative foreign weapons systems, equipment, or technologies to determine whether they can satisfy USAF requirements and offer significant advantages in cost, schedule, or performance.

5.6.2.2. Conduct FCT projects in accordance with the approved proposals.

- 5.6.2.3. Ensure the formal evaluation of any system undergoing FCT includes assessments of total lifecycle cost, impacts on force structure, special training requirements, and considerations for foreign disclosure of test data and test articles.
- 5.6.2.4. Plan, program, and budget for supplemental USAF funding for test project execution to demonstrate Service commitment.
- 5.6.2.5. Distribute FCT funds to approved projects in accordance with OSD and SAF/IAPQ direction.
- 5.6.2.6. Submit a Summary Proposal to SAF/IAPQ for each proposed and continuing FCT project.
- 5.6.2.7. Submit a Final Proposal to SAF/IAPQ for every fiscal year FCT funding is requested. Proposal content can be found at [Attachment 4](#) and on the FCT web site.
- 5.6.2.8. Support SAF/IAPQ proposal prioritization with technical briefings presented by project proponents.
- 5.6.2.9. If the Kaminski Approach cannot be used, identify and execute appropriate planning, programming, and budgeting actions to enable procurements as soon as possible after a positive procurement decision has been made.
- 5.6.2.10. Prepare and submit to SAF/IAPQ, QPRs on approved projects no later than 20 working days after the end of each quarter. QPRs will not exceed two pages and should be consistent with the format provided in USAF and OSD FCT web sites. Report on financial execution of FCT projects as requested.
- 5.6.2.11. Prepare final T&E and disposition reports on systems, equipment, and technologies evaluated under the FCT Program. The final disposition report will include an executive summary of the testing conducted, the results of the tests, and the status of related procurement decisions or subsequent modifications to US requirements. A copy of each report will be submitted to SAF/IAPQ and HQ USAF/TE.

## Chapter 6

### THE ENGINEER AND SCIENTIST EXCHANGE PROGRAM (ESEP)

**6.1. Purpose and Objectives.** This Chapter sets forth the procedures for USAF participation in ESEP, as established in DoDD 5230.20, *Visits, Assignments, and Exchanges of Foreign Nationals*, under the Defense Personnel Exchange Program (DPEP).

6.1.1. **DPEP.** The DPEP encompasses all programs involving the assignment of foreign nationals to positions with the DoD Components in exchange for the assignment of DoD personnel to positions with foreign government defense establishments, and includes the Military Personnel Exchange Program (MPEP), Defense Intelligence Personnel Exchange Program (DIPEP), Administrative and Professional Exchange Program (APEP), and ESEP. DPEP is designed to foster mutual understanding between the defense establishments of each party, providing exchange personnel familiarity with the organization, administration, and operations of the other's defense establishments.

6.1.2. **ESEP.** The USAF pursues the exchange of Engineers and Scientists (E&Ss) with allied and friendly governments to help keep abreast of other nations' concepts and ideas, to provide a foundation upon which to build future collaborative efforts, and to provide personnel career broadening opportunities. These assignments provide full-time, on-site working assignments of US and foreign military and civilian E&S personnel as an integral part of the other party's government establishment. Both countries contribute to, and learn from E&S personnel. Assignments improve the mutual understanding of both nations' technological capabilities and the processes by which defense RDT&E efforts are conducted. These assignments also build organizational and personnel ties which often survive long after the duration of any specific assignment, thereby providing a foundation upon which to build future international cooperative RDT&E efforts.

**6.2. DPEP and ESEP Background.** ESEP is implemented through formal bilateral international agreements concluded pursuant to DoDD 5530.3. Each international agreement addresses selection and administrative matters, inventions and technical information, and the agreement's duration and termination. OSD assigns a lead Service for each foreign country. The lead Service has responsibility for negotiating ESEP agreements and for managing and administering the ESEP program with a given foreign country. DoDD 5230.20 provides DoD policies and responsibilities for visits and assignments of foreign nationals to DoD Components. The following are general definitions of the DPEP and ESEP programs:

6.2.1. **DPEP.** A program under which military and civilian personnel of the DoD and military and civilian personnel of the defense ministries and/or military services of foreign governments, pursuant to the terms of an international agreement, occupy positions with and perform functions for, a host organization to promote greater understanding, standardization, and interoperability.

6.2.2. **ESEP.** A program to assign civilian and military E&Ss to foreign or DoD RDT&E facilities to perform RDT&E work.

### 6.3. Engineer and Scientist Exchange Program Policy.

6.3.1. **Security and Foreign Disclosure.** The security and disclosure guidance for US hosted E&Ss is an approved Extended Visit Authorization (EVA). Public Domain and unclassified positions are approved by the field FDOs. An ESEP Delegation of Disclosure Authority Letter (DDL) provides disclosure guidance for ESEP positions requiring access to Controlled Unclassified Military Information

(CUMI). Such access is on a need-to-know basis only. SAF/IAPD approves DDLs to support ESEP positions that require access to classified information. Any information required during an ESEP tour may only be released on an oral and visual basis, and only for the purpose of performing duties identified in the ESEP Position Description (PD).

6.3.1.1. Foreign participants desiring to retain information and documents after completion of their assignment (regardless of type of information) must make a request through his or her embassy. Documents cleared for public release are the only exception to this policy.

6.3.1.2. Foreign ESEP personnel will not be permitted access to USAF information systems without specific authorization granted by HQ USAF/CVA, or his designee, in accordance with AFI 33-202, *Computer Security*. MAJCOM Commanders have been delegated the responsibility for authorizing foreign national access to information systems within their respective commands. Foreign ESEP participants may have access to “stand-alone” computers for the purpose of accomplishing duties identified in the PD.

6.3.1.3. US exchange personnel in foreign countries may have access to releasable classified information and Controlled Unclassified Information (CUI) on a need-to-know basis only as authorized by the host organization’s foreign disclosure authority. No documents may be given to a DoD organization or the US embassy, or any of its establishments, without prior written approval from the host organization’s disclosure authority. US exchange personnel must follow the procedures specified in paragraph [6.3.1.1](#) above for requesting information for permanent retention.

6.3.1.4. USAF personnel on assignment under ESEP are covered by an applicable Status of Forces Agreements (SOFA), if such Agreement exists.

6.3.2. **Funding.** The parent party, the DoD/MoD to which exchange personnel belong, will bear the costs of carrying out its participation in the ESEP, including the permanent change of station (PCS) costs of its ESEP participant. The host organization will bear the expenses for official temporary duty (TDY) of ESEP personnel. The parent party will pay for any other travel of ESEP personnel for administrative purposes.

6.3.3. **Leave.** USAF personnel in foreign organizations and foreign personnel in USAF organizations under an ESEP assignment may observe the holiday schedule of either the US or host nation as mutually agreed. Annual and sick leave will be granted according to the entitlements of the parent organization, the component of the DoD/MoD to which the exchange personnel belong, subject to the approval of the appropriate authorities of the host organization.

6.3.4. **Position Status.** A Position Description (PD) describing the work to be performed by the ESEP participant will be established for both USAF and foreign personnel participating in the ESEP program. A sample PD is shown in [Attachment 5](#). Participants in ESEP remain in the employment of their parent governments during their assignments. The assignment of foreign participants to USAF organizations shall not impact USAF personnel billets or funding. USAF ESEP managers will ensure USAF personnel receive foreign assignments that require involvement and study in a specific area or application that is of mutual interest to both countries, and maximizes, as much as possible, benefits to the USAF.

6.3.5. **Length of Assignment.** Participating USAF and foreign personnel normally will be assigned in the host country for a defined period between 12 to 24 months, usually on a PCS basis. Request for extensions for USAF-hosted foreign nationals will be made through the host organization with infor-

mation copies provided to the local Foreign Disclosure Office (FDO). Extensions for USAF personnel beyond 24 months or assignments shorter than 12 months will be considered by SAF/IAPQ on a case-by-case basis. Short-term US assignments in foreign countries, generally referred to as “ad hoc” placements, are typically conducted as TDY, and funded by the US participant’s parent organization.

**6.3.6. Limitations.** The assignment of foreign exchange personnel shall not be used for training purposes or in combination with Foreign Liaison Officer activities. Training may not be conducted under ESEP except as necessary to familiarize, orient, or certify ESEP personnel regarding unique aspects of the positions to which they are assigned. The ESEP program shall not be used for the purpose of augmenting DoD staff positions or as a means of obtaining personnel resources beyond authorized manning levels. ESEP personnel may not be used as a mechanism for exchanging technical data or other controlled information between the governments. ESEP participants shall not act as a representative of their government. Foreign personnel shall not be assigned to a US contractor’s facilities.

**6.4. Statutory Authority.** Section 1082 of the National Defense Authorization Act for Fiscal Year 1997 (Public Law 104-201) authorizes international defense personnel exchange agreements, defined as agreements with the government of an ally of the US or another friendly foreign country for the exchange of military and civilian personnel of the DoD with military and civilian personnel of the defense ministry of that foreign government.

#### **6.5. Engineer and Scientist Exchange Program Process.**

**6.5.1. Nomination, Placement, and Participation of Foreign Personnel.** Foreign governments will submit their candidate resumes to the lead Service for placement. If the USAF is the lead Service, SAF/IAPQ will provide these resumes to AFOSR for transmission to other DoD Components, if required. If another Service has been designated lead, that Service will send the resumes directly to the Air Force Office of Scientific Research (AFOSR).

**6.5.2. Placement.** Foreign candidates will be processed in groups, whenever possible, to facilitate in- and out-processing. AFOSR will coordinate with other DoD Component OPRs to decide which DoD Component will attempt to place each foreign candidate. If appropriate, embassy representatives will be asked to clarify candidates’ qualifications. If it has been determined the USAF will attempt to place a foreign E&S at a USAF facility, AFOSR will identify a host USAF organization for the candidate.

**6.5.3. Nomination Package.** ESEP nomination packages consist of the following documentation and will be processed using the procedures in either paragraph [6.5.4.](#) or [6.5.5.](#)

**6.5.3.1. Position Description (PD):** The PD must accurately identify the nature and type of work to be accomplished. The PD document will be presented to the applicable foreign government for approval. [Attachment 5](#) provides the PD format and preparation guidance.

**6.5.3.2. Extended Visit Authorization (EVA):** The EVA establishes the duty limitations, approved level of access to classified material, travel limitations, document(s) controls, organization(s) certified for approved visits, a detailed description of the ESEP participant's authorized work location(s), and areas requiring escort. The EVA is not to be disclosed to the ESEP participant. [Attachment 5](#) provides the EVA format and preparation guidance. The supporting FDO will approve EVAs up to the unclassified level to include CUMI.

**6.5.3.3. Delegation of Disclosure Authority Letter (DDL):** A DDL is required for all ESEP candidates working with unclassified or classified information. The DDL is the controlling document

authorizing the disclosure of information available to the ESEP candidate. [Attachment 5](#) provides the DDL format and guidance for topic development for positions requiring classified access. ESEP General Delegation No. 06 will be used to support positions requiring access to unclassified level (to include CUMI) information.

6.5.3.4. Security Plan (SP): The SP is the combined effort of the host organization security manager and the host supervisor. This document addresses both Operations Security (OPSEC) and Communications Security (COMSEC) considerations an ESEP participant presents to an organization/work center. The SP will be approved by the security manager, and signed by the supervisor and local foreign disclosure officer. It will be coordinated with local base security forces and the Air Force Office of Special Investigations (AFOSI). The Foreign disclosure officer's signature affirms there are no conflicts between disclosure guidance and the SP. [Attachment 5](#) provides the SP format and preparation guidance for topic development. Additional topics may be added to fit specific circumstances.

#### 6.5.4. Procedures for Positions Requiring Access to Unclassified Information.

6.5.4.1. A foreign country requests ESEP placement with a formal letter from their embassy in Washington, DC to the lead Service requesting placement in accordance with the ESEP MOU between the countries. Actionable letters will transmit a resume and summary of career broadening objectives (CBO) in accordance with the applicable ESEP MOU. The lead Service, SAF/IAPQ or other DoD Component OPR, will provide the request to AFOSR for action.

6.5.4.2. Within 1 week of receipt, AFOSR will forward the resume and CBO to the applicable DoD Component. For USAF placements, resumes are forwarded to the applicable host organization commander or equivalent with copy to the supporting FDO.

6.5.4.3. Within 3 weeks of completion of [6.5.4.2.](#), the potential host organization will forward a formal letter with a draft PD indicating interest in placing the foreign E&S personnel to AFOSR. Alternately, the potential host will formally decline the proposed candidate within the same time period. AFOSR will forward an informational copy of the draft PD (if applicable) to the MAJ-COM FDO or supporting FDO.

6.5.4.4. If the proposed candidate is accepted, within 4 weeks of completion of [6.5.4.3.](#), the host organization will submit a nomination package to the host organization commander (or other organization equivalent) consisting of the following:

6.5.4.4.1. Nomination Letter

6.5.4.4.2. Resume

6.5.4.4.3. Position Description (PD)

6.5.4.4.4. Extended Visit Authorization (EVA) (approved by the supporting FDO)

6.5.4.4.5. Security Plan (approved per 6.5.3.4)

6.5.4.5. Within 1 week of completion of 6.5.4.4, the host organization commander or equivalent will approve the complete and forward the nomination package to AFOSR.

6.5.4.6. Within 1 week of completion of 6.5.4.5, AFOSR will send the formal, approved PD to the foreign embassy for acceptance.

6.5.4.7. Within 1 week of completion of 6.5.4.5, AFOSR will forward information copies of the complete nomination package to SAF/IAPD and the MAJCOM FDO or supporting FDO.

**6.5.5. Procedures for Positions Requiring Access to Classified Information.** Procedures for selection and placement of ESEP personnel will be the same as those listed in 6.5.4.1 through **6.5.5.1**. Additional measures are necessary for positions requiring access to classified information and are described below.

6.5.5.1. For ESEP candidates requiring access to classified information, SAF/IA will convene an ICAT comprised of the MAJCOM FDO, SAF/IAPD, AFOSR, host supervisor, and supporting security manager.

6.5.5.2. Within 1 week of completion of 6.5.4.4, the host organization will review and forward copies of nomination package to all ICAT members for review and schedule an ICAT meeting.

6.5.5.3. The ICAT will meet to finalize the draft nomination package. Before the ICAT can adjourn, all parties must agree how to proceed towards approval. The results will be forwarded to AFOSR.

6.5.5.4. Within 1 week of completion of 6.5.4.6, AFOSR will send the formal approved PD to the foreign embassy for acceptance.

**6.5.6. Accepting Foreign E&Ss.** Upon notification of acceptance to AFOSR by the foreign government, AFOSR will notify the assigned supervisor of the arrival date of the foreign participant. Personal contact with the foreign ESEP participant is strongly encouraged prior to arrival in the US. A sponsor from the host establishment, usually the supervisor, will be assigned to help settle the individual and his or her family. AFOSR will provide sponsors a guide as to their responsibilities, best practices, cultural sensitivities, etc.

**6.5.7. Arriving Foreign E&Ss.** Immediately after arriving in the US, the local supervisor in the host USAF organization will build a program of work with the foreign participant covering the entire ESEP assignment period.

6.5.7.1. Any changes to the PD will be implemented locally, if possible, and reported to AFOSR. If changes to the PD require changes to US information disclosure guidelines, approval by the appropriate supporting foreign disclosure authority is required. If agreement on changes to the assignment cannot be reached or accommodated within local capabilities, the issue will be referred to AFOSR for resolution.

6.5.7.2. The points of contact for local supervisors and foreign government E&S personnel in administering the exchange assignment are AFOSR and the foreign government's embassy point of contact (POC).

6.5.7.3. Performance Evaluations. The immediate USAF supervisor of each foreign participant is responsible for preparing a performance evaluation of the foreign E&S personnel assigned to their organization. Performance evaluations shall be forwarded to AFOSR at the completion of the assignment, or annually, based on length of tour.

**6.5.8. Administering Foreign Personnel Assignments.**

6.5.8.1. General. Treatment of, and privileges accorded to, foreign E&Ss will comply with applicable US laws and DoD regulations. Regulations governing the treatment of foreign visits will be consulted for specific information on how the host installation or activity may grant access to, and

use of, facilities and services. Relevant publications are DoDD 5230.20, DoDI 1000.13 and DoDD 1330.9. In general, the foreign civilian E&S personnel will enjoy privileges similar to those enjoyed by USAF civilian employees of equivalent grade. Privileges not available to US citizens as USAF civilian employees will not be granted.

6.5.8.2. **Housing.** The USAF is not responsible for providing housing or other services beyond those normally accorded to US civilians or contract employees. The hosting organization, however, will assist the participant with local administrative matters, settling into the new position, providing leads on housing, identifying local transportation, and so forth.

6.5.8.3. **Use of Quarters.** Use of visiting officers' quarters may be authorized on a space-available, cost-reimbursement basis, as determined by the base commander.

6.5.8.4. **Use of Medical Facilities.** Emergency use of DoD medical facilities is possible pursuant to any reciprocal health agreement with the respective foreign government, where applicable. Typically, the foreign E&Ss should obtain medical care in the civilian community.

**6.5.9. Inventions and Proprietary Information.** In accordance with each ESEP agreement:

6.5.9.1. Foreign E&S personnel assigned to USAF facilities under this program will be required to execute agreements ensuring that inventions conceived or reduced to practice in the performance of any work done on behalf of the US will be made available for unlimited US Government use under a royalty-free license.

6.5.9.2. Foreign participants will be governed by at least the same limitations imposed on USAF personnel regarding the use of proprietary data and will not disclose such data to any third party or government without the express written permission of the originator or owner of the data.

**6.5.10. Temporary Duty (TDY).** AFOSR, the appropriate foreign disclosure, and security offices must approve all TDYs. The host organization or participant's foreign embassy will sponsor and pay for the TDY. If the TDY or transfer is approved, the local supervisor will:

6.5.10.1. Informally establish with the receiving establishment or activity the appropriateness and timing of the TDY.

6.5.10.2. Submit a written recommendation to the TDY host and the appropriate security and foreign disclosure office so the necessary security access authority for the foreign participant can be transmitted to the TDY establishment or activity. The foreign disclosure policy officer at the TDY location must be provided with the disclosure documents (e.g., the EVA) for the foreign E&S.

6.5.10.3. Request the participant's embassy in Washington, DC submit a formal visit request via the Foreign Disclosure and Technical Information System (FORDTIS) to the receiving organization.

6.5.10.4. Ensure E&S personnel wear, in clear view, an installation pass or badge that clearly identifies them as foreign nationals. This installation pass or badge will reflect all unescorted access areas permitted.

6.5.10.5. Ensure official travel on USAF or other DoD aircraft is in accordance with DoD regulations, including DoD 4515.13-R, *Air Transportation Eligibility*.

6.5.10.6. **Offers of Employment.** No attempts will be made during the ESEP assignment to entice or convert foreign participants from their governments for government employment in the US.

6.5.10.7. Status of Forces Agreement (SOFA). A civilian employee of a military department of a NATO country or of a country that has ratified the Partnership for Peace (PfP) SOFA present in the US in connection with an exchange assignment should be treated as a member of the “civilian component” and subject to the NATO SOFA, signed in London on June 19, 1951, or the Agreement Among the States Parties to the North Atlantic Treaty and other States Participating in the Partnership for Peace Regarding the Status of Their Forces, dated 13 January 1996 (PfP SOFA).

6.5.11. **Eligibility Requirements.** USAF E&S personnel should meet the following requirements for consideration as exchange candidates:

6.5.11.1. First Lieutenant, Captain, GS-12, or GS-13. Higher grades will be considered.

6.5.11.2. Career officers with at least 3 years of RDT&E experience. Civil servants serving under career appointments with at least 3 years of RDT&E experience. Civil servants must have completed the probationary period.

6.5.11.3. Applicants should have a technical master’s degree. A waiver may be considered for persons without a master’s degree if they have had extensive practical experience in scientific, mathematical, or engineering fields. A request for waiver must be included with the application.

6.5.11.4. Applicants must successfully complete the Defense Language Aptitude Battery (DLAB) test for consideration, or be fluent in listening and reading based on the Defense Language Proficiency Test (DLPT) in the language of the host country. Proficiency based on the DLPT in the host country language will waive the language training requirement.

6.5.11.5. The Rated Officer Assignments Section, HQ AFPC, must approve rated military participation. Approval must be included in the ESEP application package.

6.5.11.6. Exceptional Family Member Program (EFMP). ESEP participants have limited access to military medical facilities while overseas. Applicants and their families must undergo an EFMP evaluation by their local medical facility and family advocacy office. If approved to participate, AF Form 1466, *Request for Family Medical and Educational Clearance for Travel*, clearing the applicant and his or her family must be submitted with the application package.

6.5.11.7. The Active Duty Service Commitment (ADSC) for military members is the Date Eligible for Return from Overseas (DEROS) and one year after PCS to CONUS from Overseas in accordance with AFI 36-2107, *Active Duty Service Commitments (ADSC)*. Civil servants incur a one-year commitment if they attend language training.

6.5.12. **Applications for the ESEP.** USAF personnel interested in applying for an ESEP assignment shall provide the following information to AFOSR/NI:

6.5.12.1. Application letter in the format specified by AFOSR/NI.

6.5.12.2. An endorsement letter signed at the two-letter level acknowledging that the individual will remain on the home organization Unit Manning Document (UMD) for the duration of the assignment and that an overseas Operating Location (OL) will be established.

6.5.12.3. Professional Resume.

6.5.12.4. College Transcripts. Unofficial, legible copies are acceptable.

6.5.12.5. Performance Reports. Copies of the last two Officer Performance Reports (OPR) or Civilian Performance Evaluations.

6.5.12.6. DLAB or DLPT results.

6.5.12.7. Medical Certification. A medical certification, AF Form 1466, for the entire family certifying suitability for duty overseas.

6.5.12.8. A summary of Career Broadening Objectives (CBO).

6.5.12.9. Additional Endorsement Letters. Candidates may provide additional letters of recommendation if desired.

#### **6.5.13. Selection of USAF ESEP Personnel.**

6.5.13.1. AFOSR will convene and chair the selection panel. Generally panelists will be selected from AFOSR and SAF/IAPQ.

6.5.13.2. AFOSR will submit a rank ordered list of the applicants and recommendations for country of placement to SAF/IAPQ for final approval.

**6.5.14. Placement of USAF ESEP Personnel Overseas.** US parent organizations will identify individuals and submit resumes or proposals to AFOSR for ESEP placements. Within budgetary limitations, the ESEP program will provide the funding for PCS moves, TDY, and the administrative overhead for the program. Positions remain on the UMD of the parent organization throughout the duration of language school (if required) and during the overseas assignment. An OL is established by the field organization for the overseas assignment. The parent organization will continue to pay the salary for civilian ESEP participants. Civilian participants return to their parent organization after completing their ESEP assignment. Military participants may or may not return to their parent organization after completing their ESEP assignment, depending upon needs of the USAF.

**6.5.15. Nomination, Placement, and Participation of USAF ESEP Personnel.** AFOSR will begin recruiting applicants approximately 24 months prior to assignment to allow lead-time for administrative processing and language training. ESEP selectees should be appropriately qualified in the foreign language of the host country assignment prior to arrival.

6.5.15.1. Upon approval by SAF/IAPQ, AFOSR will submit copies of the resumes and CBOs of the selected applicants to the designated US Embassy POC located in the proposed host country at least 16 months prior to the projected start of the ESEP tour overseas.

6.5.15.2. US Embassy POCs will work with their host nation counterparts to develop proposed PDs.

6.5.15.3. POCs will forward proposed PDs to AFOSR.

6.5.15.4. AFOSR will forward proposed PDs to applicants and supervisors for review and acceptance.

6.5.15.5. After the host country government submits PDs for all proposed candidates, AFOSR, in coordination with the US Embassy POC, will select the best host government position for placement, based on the USAF's science and technology requirements.

6.5.15.6. AFOSR will work with the appropriate E&S "losing" personnel office to create UMD PAS codes and assign ESEP participants to the appropriate positions. AFOSR will ensure PAS codes and assignments are completed and active in the AFPC system at least 8 months prior to the start of the ESEP tour.

6.5.15.7. The “losing” E&S base personnel office will publish TDY or PCS orders at least 45 days prior to departure to language training school (approximately 7 ½ months prior to the start of the ESEP tour). Orders will cover language school and the follow-on assignment overseas. The “losing” personnel office will also conduct PCS out-processing to include obtaining theater clearances and passports for the employee and family members, as needed, arranging for necessary physical examinations, shipment and/or storage of household goods and vehicles, and ensuring pay and insurance continuity.

6.5.15.8. AFOSR will provide the USAF participant background information on the assignment, security requirements, foreign disclosure policy, the host government, and support arrangements at least 90 days prior to PCS to the host country.

6.5.15.9. The USAF overseas POCs (e.g., EOARD, AOARD, RDLO, RDLP, RDLL, ODC, Joint US Military Advisory Group, Air Attaché, etc.) will provide assistance to the ESEP participant and family upon arrival overseas. EOARD has primary responsibility for assisting E&Ss stationed in Europe and the Middle East; AOARD has primary responsibility for assisting E&Ss stationed in Asia and Australia. ESEP participants and their families are authorized TDY en route to the supporting base for administrative and in-processing activities before reporting to assignment at the host government facility.

6.5.15.10. USAF civilian personnel, while participating in ESEP in the host country, will be entitled to station housing allowance, if applicable. Civilian personnel may be eligible for available benefits normally accorded military personnel, to include use of US commissaries, US exchange facilities, US Government medical facilities, and so forth. Generally, USAF E&S personnel will locate their own housing. If E&S personnel desire local assistance, requests should be made to the designated support base or hosting organization.

6.5.15.11. Program of Work. PDs are written for the applicants during the selection process by the host country supervisor. The applicant’s experience and desires, as reflected in the resume will directly influence the PD, and ultimately his or her duties. Immediately upon assumption of E&S duties, the participant will plan a complete program of work with the local host government supervisor.

6.5.15.12. Reports. During the assignment abroad, USAF participants will submit activity reports to AFOSR every six months and at the end of the assignment. AFOSR will provide copies to SAF/IAPQ and other interested USAF organizations. These reports will include a summary of technical activities and work performed; participation in conferences, symposiums, and other technical meetings; description of information and data derived from the exchange; the title and date (and co-authors, if applicable) of papers and reports prepared; recommendations for follow-on cooperation (e.g., DEAs/IEAs); and “lessons learned” from the overall assignment and exchange program.

6.5.15.13. Return Assignment. AFOSR will coordinate the return assignment with the civilian participant’s parent organization. Returning military participants will work with the Air Force Personnel Center (AFPC) to identify a return assignment. AFPC will update the member’s personnel records to indicate international R&D expertise.

6.5.15.14. AFOSR will provide end-of-tour certificates to USAF personnel who complete their ESEP tours in good standing. A senior DoD or SAF acquisition manager will sign these certificates.

## **6.6. HQ USAF and MAJCOM Responsibilities.**

### **6.6.1. SAF/IAPQ will:**

6.6.1.1. Develop, maintain, and promulgate USAF ESEP policy guidelines and oversee program implementation.

6.6.1.2. Maintain oversight of the recruitment, screening, and placement process for all USAF and foreign ESEP participants.

6.6.1.3. Develop, negotiate, and conclude ESEP agreements, including extensions, and amendments thereto if lead Service for a specific country. Conduct these tasks in coordination with OSD, HQ USAF, MAJCOM proponents, and other DoD Components.

6.6.1.4. If not lead Service for a specific country, act as the USAF focal point to the lead Service and provide USAF perspectives and policy recommendations.

6.6.1.5. Plan, program, and budget funding to implement the ESEP program for the USAF.

### **6.6.2. SAF/IAPD will:**

6.6.2.1. Maintain a single ESEP DDL governing foreign ESEP participants' access to CUMI required to fulfill their responsibilities in approved placements.

6.6.2.2. Provide final approval of nomination packages for positions requiring access to classified data.

6.6.2.3. Conduct foreign disclosure oversight of the USAF ESEP program to ensure compliance with national disclosure and technology transfer policies and regulations.

### **6.6.3. MAJCOM Proponents will:**

6.6.3.1. Provide assistance, as needed, to develop classified ESEP nomination packages consisting of a nomination letter, applicant's resume, proposed PD, EVA, security plan, and DDL.

6.6.3.2. Submit nomination packages, which involve access to classified information, to SAF/IAPD for coordination and approval, with a copy to SAF/IAPQ and AFOSR.

### **6.6.4. AFOSR will:**

6.6.4.1. Serve as the ESEP program manager for the USAF.

6.6.4.2. Provide monthly status reports to SAF/IAPQ, SAF/IAPD, and MAJCOM FDOs describing the status of all USAF and foreign ESEP placements. Status reports shall track assignments against established timelines and highlight issues to SAF/IA for early resolution.

6.6.4.3. Administer the selection and placement of USAF ESEP participants in foreign countries.

6.6.4.4. Determine and recommend, in coordination with SAF/IAPQ, the scope and level of US participation (e.g., the maximum number of US participants) for each established ESEP agreement.

6.6.4.5. Use USAF science and technology requirements as criteria for selecting USAF personnel for ESEP assignments and in placing foreign personnel in USAF facilities.

6.6.4.6. Perform all necessary administrative functions needed to place USAF ESEP participants in language training, their foreign assignments, and follow-on assignments.

6.6.4.7. Serve as liaison with US overseas offices providing administrative support to USAF ESEP participants.

6.6.4.8. Administer the process for placing foreign participants at USAF facilities.

6.6.4.9. If the USAF is lead Service for a specific country, perform necessary coordination with other DoD Components in placing foreign participants in DoD facilities.

6.6.4.10. If the USAF is not lead Service for a specific country, keep the lead Service advised of USAF activities and placements.

**6.6.5. Host Organizations will:**

6.6.5.1. Consider foreign ESEP candidates provided by AFOSR for placement.

6.6.5.2. Develop ESEP nomination packages for foreign candidates (paragraph 6.5.3.).

6.6.5.3. Submit nomination packages to MAJCOM FDO under two-letter signature (e.g., AFRL Research Site Director/Chief Scientist, USAFA Department Head, or equivalent individual from other organizations) for placements that require access to classified information.

6.6.5.4. Submit nomination packages to AFOSR under two-letter signature for placements that require access to unclassified information only.

**6.6.6. USAF Host Supervisor will:**

6.6.6.1. Develop the PD.

6.6.6.2. Develop the EVA in conjunction with supporting FDO.

6.6.6.3. Develop the DDL, if required, in conjunction with supporting FDO.

6.6.6.4. Develop the security plan in conjunction with Organization Security Manager.

6.6.6.5. Obtain base security approval of the security plan.

6.6.6.6. Ensure all disclosures of US information are in accordance with the applicable EVA and DDL.

**6.6.7. Supporting Foreign Disclosure Officer (FDO) will:**

6.6.7.1. Develop the EVA in conjunction with host supervisor.

6.6.7.2. Approve the EVA for positions requiring access to unclassified data.

6.6.7.3. Assist the host supervisor in developing the DDL, if required.

6.6.7.4. Ensure disclosure of information to foreign government participants is consistent with USAF foreign disclosure policies and security requirements.

6.6.7.5. Review the SP for conflicts between security and disclosure.

## Chapter 7

### INTERNATIONAL COOPERATIVE RESEARCH & DEVELOPMENT (ICR&D) PROGRAM

**7.1. Purpose and Objectives.** The ICR&D Program promotes international armaments cooperation with NATO member states, NATO organizations, and major non-NATO allies by providing RDT&E funding to selected technology development and demonstration/validation projects that improve commonality, standardization and interoperability. The provisions guiding the use of such funds, the selection criteria and procedures for submitting and approving candidate projects requesting the funds, the reporting requirements of projects selected for funding, and the process for release of the funds are described in this Chapter.

**7.2. International Cooperative Research and Development Program Background.** Initially, the ICR&D Program was developed, and funding provided, to improve what Congress perceived as inadequate cooperation between the US and NATO nations in research and development. The program has since been expanded by Congress to include international participation by NATO, individual NATO member states, NATO organizations, major non-NATO allies, and Friendly Foreign Countries.

7.2.1. The ICR&D Program uses RDT&E funds and within certain limitations common to these appropriations, the funds are available for obligation during two fiscal years. Funding for the ICR&D Program is provided under the Program Element (PE) for NATO Cooperative R&D and the PE for International Space Cooperative R&D.

**7.3. Statutory Authority.** 10 U.S.C. 2350a provides the legal authority for the program and guidance on the use of the appropriated funds.

7.3.1. First enacted in the National Defense Authorization Act for Fiscal Year 1986, under the sponsorship of Senator Sam Nunn, the legal authority behind the ICR&D Program was later codified in 10 U.S.C. 2350a by Public Law 101-189, the National Defense Authorization Act for Fiscal Years 1990/1991. This history results in the ICR&D Program also being known as the "Nunn Program," or "Nunn Funds," or the NATO Cooperative Research and Development Program.

7.3.2. The Secretary of Defense (delegated to USD(AT&L)) must determine that the project will improve conventional defense capabilities through the application of emerging technology.

7.3.3. Projects must be pursuant to a formal international agreement. The international agreement can be a "Project" MOA, an "Umbrella" MOA, or a PA under an "Umbrella" MOA (See [Chapter 2](#)).

7.3.4. The funds must be spent in the US. They cannot be used to procure equipment or services from any foreign entity.

7.3.5. The allied participant must provide an equitable share of the project's costs. These project contributions cannot include any US military or economic grants, loans, or other forms of assistance.

**7.4. International Cooperative Research and Development Program Process.**

7.4.1. **Guidelines for Allocating and Managing ICR&D Program Funds.** Selection of projects to receive ICR&D Program funding is constrained by the forecasted availability of funds. The highest priority is to continuing ICR&D projects. Although funding to the ICR&D Program itself varies every fiscal year, funding has normally been allocated for five to seven new-start projects each year. Typical

amounts allocated to each project vary from \$100 thousand to \$500 thousand per year, not to exceed a combined three year total of \$1.5 million for any specific project.

7.4.1.1. Program managers seeking ICR&D Program funding for more than three years, amounts greater than \$1.5 million, or funding for additional phases of a continuing program will require strong justification. If a project requires ICR&D Program funding over a period of more than three years, the candidate project should be partitioned into phases, with each discrete phase to be considered individually for funding. Under these circumstances, project managers are expected to submit separate project nomination forms for each phase of the project.

7.4.1.2. ICR&D Program funding is considered matching funding. The USAF proponent project office must commit primary funding (equivalent to at least the amount being requested from the ICR&D Program) from their respective USAF RDT&E Program Element(s). This requirement is an affirmation that the cooperative project will satisfy USAF requirements. The proponent project office primary funding must be sufficient to complete meaningful portions of the cooperative project even if ICR&D Program funding were to be withdrawn from the effort. The requirement to provide USAF funding in at least the same amount as the ICR&D Program matching funding is for the total project, not necessarily within each FY. However, projects cannot be supported exclusively by ICR&D Program funds in any single FY.

7.4.1.3. The commitment of the USAF funding must be coordinated with the Program Element Monitor (PEM) for each PE. Joint Service projects, i.e., projects entailing significant participation by other DoD agencies and Services, must also be coordinated with the organization involved and the Service international program office.

#### **7.4.2. Processes for Allocating and Managing ICR&D Program Funds.**

7.4.2.1. Nomination and Review Process. Identification of potential projects to receive ICR&D Program funding begins with the SAF/IA call for proposals issued in April of each year. Project managers complete and submit project nomination forms to SAF/IAPQ in August. (Note: The project nomination form does not replace the SSOI, rather it serves only to identify and evaluate candidate ICR&D projects for funding. Project offices will be required to prepare documentation to support development and negotiation of an IA (see [Chapter 2](#)) for any project receiving ICR&D funding. The nomination form used for the FY03 cycle is provided as a recent example at [Attachment 6](#). Candidate project nomination forms received by the August due date each year undergo a review by a Headquarters Air Force (HAF) Review Panel. This panel serves to identify and rank proposed projects eligible for ICR&D Program funding.

7.4.2.2. General criteria considered by this panel include the extent to which the proposed cooperative project: (1) delivers significant improvements in USAF conventional capabilities through the application of emerging technologies or processes; (2) directly addresses a documented USAF need or requirement; (3) benefits the US more than would a US-only effort, and the benefits outweigh the technology transfer or program risks inherent in the cooperative project; and (4) delivers products to the acquisition community for incorporation in systems. Specific criteria to be considered by the panel are described in the nomination form attached to the proposal call letter.

7.4.2.3. SAF/IA will issue a call to selected HAF and other offices to identify participants on the HAF Review Panel. SAF/IAPQ will manage and coordinate the review of submitted project nomination forms. SAF/IAPQ will circulate all project nomination forms to each member of the Review Panel for evaluation. On behalf of the panel members, SAF/IAPQ will issue any neces-

sary requests for clarification. Typically, the panel process is completed within two weeks. During this period, project offices submitting nominations are expected to ensure their POC is available to answer questions about the proposed project. Project proponents may be asked to appear before the panel. Candidate projects below the threshold of forecasted available funding will be considered for future funding in the event additional funds become available, or if the IAs for the more highly ranked projects are not signed.

7.4.2.4. In September, SAF/IA will publish the HAF Review Panel results, identifying those projects selected for ICR&D Program funding, their relative rank, and the funding amounts to be allocated to each project by fiscal year. SAF/IAPQ will publish the Review Panel results to the MAJCOMs within 14 days after the Review Panel adjourns.

**7.4.3. Release of ICR&D Program Funds.** ICR&D Program funds allocated to a particular cooperative project will not be released until the supporting IA has been signed. Following signature, SAF/IAPQ will distribute ICR&D Program funds to the project financial management team.

7.4.3.1. At the beginning of each fiscal year, SAF/IAPQ will send the appropriate financial management office(s) an allocation letter identifying funding anticipated for continuing projects for that year. Following the signature of the Defense Appropriation Law and subsequent Budget Authority, SAF/IAPQ will distribute ICR&D Program funds.

**7.4.4. ICR&D Program Reporting Requirements.** These reporting requirements are necessary to accommodate management of the ICR&D Program, ensure the continued viability of the ICR&D Program funds, and facilitate SAF/IAPQ reporting to OSD.

7.4.4.1. Quarterly Reports. For the period of the cooperative project, USAF project offices executing ongoing international cooperative projects using ICR&D Program funds must prepare and submit quarterly reports to SAF/IAPQ within 12 workdays following the end of each fiscal quarter. The format and specific contents of the quarterly report are provided at [Attachment 6](#).

7.4.4.2. Periodic Financial Reports. For the period of the cooperative project, USAF project offices executing ongoing international cooperative projects using ICR&D Program funds must prepare and submit quarterly summary financial reports to SAF/IAPQ.

7.4.4.3. Project Final Reports. Project offices executing ongoing international cooperative projects using ICR&D Program funds or using the legal authority provided by 10 U.S.C. 2350a must submit three copies of each final report generated to SAF/IAPQ.

**7.5. HQ USAF and MAJCOM Responsibilities.**

**7.5.1. SAF/IAPQ will:**

7.5.1.1. Plan, program, and budget for the ICR&D Program.

7.5.1.2. Conduct an annual call for project nominations seeking ICR&D Program funding.

7.5.1.3. Convene a HAF Review Panel to evaluate nominated projects, determine which are candidates for ICR&D Program funding, and rank the candidates in order of merit.

7.5.1.4. Provide the HAF Review Panel results to MAJCOMs and project offices identifying those projects selected for ICR&D Program funding, their relative rank, and the funding amounts to be allocated to each project by fiscal year.

7.5.1.5. Following signature of the IA for a project identified to receive ICR&D Program funds, release the allocated funds.

7.5.1.6. Provide periodic and ad hoc reports to OSD regarding international cooperative projects using ICR&D Program funds or using the legal authority provided by 10 U.S.C. 2350a. Gather inputs from the field, and submit the information to OSD. At a minimum, this includes providing to OUSD(AT&L)/IC USAF inputs for the annual report to Congress required by 10 U.S.C. 2350a.

7.5.1.7. Forward to OUSD(AT&L)/IC and to SAF/AQRT one copy of each final report generated by international cooperative projects completed using ICR&D Program funds or under the legal authority provided by 10 U.S.C. 2350a.

**7.5.2. MAJCOM Project Offices will:**

7.5.2.1. Submit periodic and ad hoc reports required or requested by HAF, regarding international cooperative projects using ICR&D Program funds or using the legal authority provided by 10 U.S.C. 2350a. At a minimum, this includes providing to SAF/IAPQ: (1) a quarterly project report through project completion for ICR&D-funded projects; (2) periodic financial reports concerning the obligation and execution of ICR&D Program funds; (3) information for inclusion in the Budget Estimate Submittal (BES) and PB request; and (4) information for inclusion in the annual report to Congress.

7.5.2.2. Submit to SAF/IAPQ three copies of final reports generated by international cooperative projects using ICR&D Program funds or using the legal authority provided by 10 U.S.C. 2350a. Electronic submittal of reports is acceptable.

## Chapter 8

### THE COALITION WARFARE PROGRAM (CWP)

**8.1. Purpose and Objectives.** The goal of the CWP is to support international cooperative development of advanced military concepts, systems, and capabilities that will enable US and friendly armed forces to operate more effectively across the full spectrum of multinational operations. It specifically seeks to foster programs that improve interoperability. This program provides an opportunity for funding to correct short-term coalition warfare capability gaps, and assists program managers in assessing areas where interoperability can better be addressed early in a project's development. Materiel capability solutions are the preferred products; however, coalition training and doctrine formulation efforts will be considered. This Chapter provides information pertaining to the process, timeline, and requirements for applying for and receiving such funds.

**8.2. Background.** The CWP was established in Fiscal Year 2001. OUSD(AT&L)/IC plans, programs, and budgets for CWP funding; provides guidance on the processes and rules of the CWP; and provides information with respect to which identified coalition deficiencies are of particular concern at the time project nominations are sought.

**8.3. Statutory Authority.** The CWP was established to support international cooperative projects which foster coalition warfare pursuant to Titles 10 and 22, United States Code.

#### **8.4. Coalition Warfare Program Process.**

##### **8.4.1. Selection of CWP Projects.**

8.4.1.1. Nomination Process. Identification of potential projects to receive CWP funding begins with a SAF/IA call for proposals. Several weeks are provided for project managers to complete and submit project nomination forms.

##### **8.4.2. Documentation Required:**

8.4.2.1. Nomination Form. Projects seeking CWP support are required to submit a nomination form using the format provided in [Attachment 7](#). The following subject-areas must be addressed:

8.4.2.1.1. Project objectives and plans;

8.4.2.1.2. How the project will improve capabilities for the joint and coalition war fighter/Combatant Commander;

8.4.2.1.3. Foreign participant(s) and their financial and non-financial contributions; (A key requirement of projects seeking CWP support is that CWP funds cannot exceed the combined amount of financial and non-financial contributions from foreign sources).

8.4.2.1.4. Portability to other theaters/Combatant Commanders.

8.4.2.1.5. Reference to or attachment of any high level supporting documentation (Combatant Commander/OSD letter, requirement document, etc.).

8.4.2.1.6. Explanation of any relevant Congressional interest, support, or concerns.

8.4.3. **The USAF Recommendation Process.** Project nomination forms received by the due date undergo a review by a HAF Review Panel. This panel serves to identify and rank proposed projects eligible for CWP funding for the purpose of making a Service recommendation to OUSD(AT&L)/IC.

8.4.4. **The OSD Selection Process.** The selection of projects for funding will be led by OUSD(AT&L)/IC. Selection is contingent upon the availability of funds and the degree project nominations address current prioritized coalition deficiencies. At the board's discretion, offices submitting projects may be given an opportunity to clarify proposals. Projects will be reviewed and prioritized no later than 30 days after submission. Those projects deemed to be of urgency for CWP funding will be designated Tier 1 programs. Other submissions may be designated as Tier 2. Tier 2 projects may receive funding later in the fiscal year, should additional funding become available.

8.4.5. **Nomination and Selection Timeline.** CWP project nominations will be accepted on a continuous basis, but are evaluated for funding on a quarterly timetable. Proposed projects must be submitted to OUSD(AT&L)/IC prior to the end of the second month of the quarter it is submitted (i.e. 30 Nov, 28 Feb, 30 May, 31 Aug). Projects seeking eligibility for funding for a particular fiscal year are to be submitted at least two quarters prior to when funding is required to be committed. Evaluation of projects will take no longer than 30 days. Within this 30-day period, projects will be reviewed and clarification will be sought from nominating offices.

8.4.6. **International Agreements.** Many, but not all, CWP projects will require an IA to be negotiated and signed to facilitate the project (see [Chapter 2](#)). CWP project proponents should keep this in mind when developing their goals and schedules. It is possible that CWP funds allocated to a particular cooperative project will not be released until signature of the IA. For those CWP projects requiring a signed IA, SAF/IA will forward to OUSD(AT&L)/IC a memorandum requesting release of the funds allocated for the project with a copy of the signed IA. Requested funds must be expeditiously obligated and expended prior to the end of the current fiscal year.

8.4.7. **CWP Reporting Requirements.** For the period of the cooperative project, offices executing ongoing international projects using CWP funds must prepare and submit quarterly reports to SAF/IAPQ within 12 working days following the end of each fiscal quarter. The specific contents of the quarterly report are provided at [Attachment 7](#). The reports are to be no more than three pages long. SAF/IAPQ will review and forward the quarterly reports to OUSD(AT&L)/IC within 30 days following the end of each fiscal quarter. Reports should also address project milestones, contracting activities, contract awards, and the amounts of those contract awards. Third quarter reports should specifically identify expiring or unobligated funds as well. Fields in [Attachment 7](#) not applicable to the project should be marked "not applicable."

## 8.5. HQ USAF and MAJCOM Responsibilities.

### 8.5.1. SAF/IAPQ will:

8.5.1.1. Appoint a CWP Manager for interaction with OUSD(AT&L)/IC.

8.5.1.2. Prepare the call for project nominations seeking CWP funding and transmit the call letter to MAJCOMs.

8.5.1.3. Convene a HAF Review Panel to evaluate nominated projects.

8.5.1.4. Provide the results of the HAF Review Panel to the OSD selection board.

8.5.1.5. Provide the results of the OSD selection board to affected MAJCOMs and project offices.

8.5.1.6. For those projects accompanied by a signed IA, prepare a memorandum to OUSD(AT&L)/IC requesting release of the funds allocated for the project.

8.5.1.7. Gather inputs from the field for periodic ad hoc reports required or requested by OSD on international projects using CWP funds. Provide to OUSD(AT&L)/IC quarterly project reports through project completion and periodic financial reports concerning the obligation and execution of CWP funds.

8.5.1.8. Manage the allocation of CWP funds. Monitor the obligation and execution of CWP funds by the project offices and make recommendations to OUSD(AT&L)/IC regarding the allocation of CWP funds.

8.5.1.9. Forward to OUSD(AT&L)/IC and to the appropriate HAF directorate one copy each of the final report generated by international projects using CWP funds.

**8.5.2. MAJCOM project offices will:**

8.5.2.1. Promptly submit periodic and ad hoc reports required or requested by SAF/IAPQ to the appropriate office. In the case of direct requests from OSD, the project office must notify SAF/IAPQ. At a minimum, for each project using CWP funds, this includes providing to SAF/IAPQ a quarterly project report through project completion and periodic financial reports concerning the obligation and execution of CWP funds.

8.5.2.2. Submit to SAF/IAPQ three copies of the final report generated by international projects using CWP funds. Electronic submittal of reports is acceptable.

## Chapter 9

### USAF PARTICIPATION IN NATO FORUMS

**9.1. Purpose and Objectives.** This Chapter describes requirements and procedures for USAF participation in multilateral IAC forums, principally the NATO Conference of National Armaments Directors (CNAD) plus subordinate and related bodies.

**9.2. The CNAD and Subordinate Groups, Including the NATO Air Force Armaments Group (NAFAG).** The CNAD is composed of the senior person responsible for weapons procurement of each NATO nation. The US CNAD Principal, referred to as the US National Armaments Director (NAD), is the Under Secretary of Defense (Acquisition, Technology, and Logistics) (USD(AT&L)). The CNAD advises the North Atlantic Council (NAC) and acts under NAC authority on matters pertaining to the development and procurement of equipment for NATO forces. The CNAD meets twice a year. When the CNAD is not in session, members of the national delegations to NATO meet as the National Armaments Directors' Representatives (NADREPs) to address routine matters. DoDI 2010.4, *US Participation in Certain NATO Groups Relating to Research, Development, Production, and Logistic Support of Military Equipment*, contains additional information.

**9.2.1. Subordinate Groups.** The CNAD has a subordinate group structure to support its activities. NATO identifies each CNAD group with an Atlantic Council (AC) number. The major groups reporting to the CNAD include: the NATO Air Force Armaments Group (NAFAG) (AC/224), the NATO Army Armaments Group (AC/225), the NATO Naval Armaments Group (AC/141), and the Research and Technology Organization (RTO) (AC/323). Each of these groups establishes subgroups, as required. These groups provide a forum for exchanging information, exploring IAC opportunities, and standardizing military hardware across NATO. The CNAD occasionally forms ad hoc groups or project steering committees to address special issues or individual IAC projects.

**9.2.2. USAF Participation in CNAD-subordinate Groups.** The primary CNAD group in which the USAF participates is the NAFAG. The USAF NAFAG Principal is the Deputy Assistant Secretary of the Air Force for Science, Technology, and Engineering (SAF/AQR). The NAFAG mission is to enhance the effectiveness of NATO air forces through the promotion of weapon systems collaboration and standardization. The USAF participates in other CNAD groups as tasked by OSD.

**9.2.3.** The NAFAG has a subordinate group structure to support its activities. This structure includes six Armaments Initiatives Requirements (AIR) groups: (1) AIR Group (AG) I—Aircraft and Training Systems, (2) AG II—Weapons, (3) AG III—Air Aspects of Command and Control Warfare, (4) AG IV—Tactical Air Reconnaissance/Intelligence, (5) AG V—Avionics and Landing Systems, (6) AG VII—Unmanned Air Vehicles.

**9.2.3.1.** AIR Groups may occasionally form subgroups to address specific requirements. Subgroups must be dissolved after a maximum of two years, unless granted a CNAD waiver.

**9.2.4.** NAFAG and other CNAD Subordinate Body Meetings. USAF personnel attending meetings of the NAFAG and other CNAD groups will consult this paragraph and NATO Documents AC/259-D/603 and C-M(66)33(Revised) for procedural guidance.

9.2.4.1. USAF delegates tasked with preparing or updating presentations and statements for a CNAD-subordinate group meeting will allow ample time for policy or foreign disclosure coordination.

9.2.4.2. USAF delegates will initiate requests for disclosure authorization as soon as possible (usually six to eight weeks) before a meeting date. A reproducible copy of the proposed presentation or statement, including viewgraphs, must be submitted to the appropriate foreign disclosure authority.

9.2.4.3. When situations develop at meetings that are not covered by a coordinated US position, the US Representative will determine whether a US position on the issue can be derived or determined from available information and guidance. If a US position cannot be determined at the moment, the US Representative will state that the discussion is outside existing US guidance, and he will seek clarification and provide a US position as soon as possible.

9.2.4.4. Informal discussions "on the margins" of a CNAD-subordinate group meeting (e.g., during meeting breaks) can often resolve differences among governments more easily than formal deliberations. USAF participants will follow the same US policy guidelines in such discussions as they would in formal deliberations.

9.2.4.5. USAF participants will treat all comments (prepared or extemporaneous) by the Chairman, Secretary, National Delegates, and other representatives at a CNAD-subordinate group meeting as if they were to be placed on the written record (referred to as a "Decision Sheet" or "Summary Record") prepared by the Secretary, except in situations when a delegate requests the Chairman to permit off-the-record remarks.

9.2.4.6. Meeting Summary Message. Immediately after the meeting and before departure from Brussels, the US Representative or a designee, with the assistance of the US Mission POC, must prepare a meeting summary message for dispatch from the US Mission to OSD, DoS, appropriate USAF offices, and other interested US Government departments. Only US Government organizations are addressees.

9.2.4.7. Follow-Up. The US delegate at a CNAD-subordinate group meeting will ensure actions agreed to by the US are completed and will report to higher authority any difficulties with completion of actions.

9.2.4.8. All official written US policy communications with the NATO International Staff and with the CNAD-subordinate group delegates from other governments are conducted through the US Mission NATO.

**9.2.5. International Military Standardization (IMS).** In addition to the standardization activities conducted under NAFAG, the USAF participates in IMS working groups to standardize military equipment, doctrine, and procedures. The most important of these are the NATO Standardization Agency and the Air Standardization Coordination Committee (ASCC). The organization, procedures, and USAF responsibilities for the NATO Standardization Agency and the ASCC are contained in AFI 60-106, *The United States Air Force International Military Standardization Program*. The International Standardization Office (HQ USAF/XORD-ISO) is the OPR for the USAF IMS program.

**9.2.6. The NATO Standardization Organization (NSO).** The role of the NSO is to rationalize and harmonize national and alliance standardization activities. NSO focuses its efforts to prepare NATO standardization programs, compile standardization activities, and eliminate the gaps and overlaps in

alliance standardization efforts. HQ USAF/XOR determines appropriate USAF participation in the NSO, subject to annual review. USAF representatives will assist in preparing and transmitting a message summarizing the results of each NSO meeting they attend for interested DoD Components and the DoS.

**9.2.7. The NATO Research and Technology Organization (RTO).** Established in 1996, the RTO builds upon earlier NATO cooperation in defense research and technology under the Advisory Group for Aerospace Research and Development and the Defense Research Group and coordinates activities with other NATO bodies involved in research and technology activities. The RTO is a NATO organization reporting both to the Military Committee and the CNAD. The RTO mission is to conduct and promote cooperative research and information exchange, support the development and effective use of national defense research and technology to meet the military needs of the Alliance, maintain a technological lead, and provide advice to NATO and national decision makers. Detailed information on the history, mission, organization, and activities of the RTO may be found at its web site: <http://www.rta.nato.int/>.

### **9.3. USAF Responsibilities under the CNAD and NAFAG.**

#### **9.3.1. SAF/IAPQ will:**

- 9.3.1.1. Make recommendations to the US NAFAG Principal regarding policy guidance for USAF participation in the NAFAG and subordinate groups.
- 9.3.1.2. Make recommendations to the US NAFAG Principal regarding the assignment of USAF representatives to the AIR Groups and subgroups.
- 9.3.1.3. Make recommendations to the NAFAG Principal regarding positions for USAF delegates participating in AIR Group and subgroup meetings.
- 9.3.1.4. Disseminate the results of activities in the CNAD and CNAD-subordinate groups to appropriate USAF organizations.
- 9.3.1.5. Prepare the US NAFAG Principal for NAFAG plenary meetings, providing background material and preparing US positions.
- 9.3.1.6. Submit meeting summary messages, carry out actions assigned to the US during NAFAG meetings, and ensure that SAF/IA is fully informed concerning results and requirements for any follow-up actions to be completed at the MAJCOM, HQ USAF, or OSD level.
- 9.3.1.7. Provide an annual report upon the close of each fiscal year to the NAFAG Principal summarizing AIR Group activity at each forum held over the course of that fiscal year. An evaluation of membership and discrepancies will be completed in conjunction with the annual report.
- 9.3.1.8. Ensure that any US classified or Controlled Unclassified Military Information has been authorized for release by the proper foreign disclosure authority and, where applicable, placed in the NATO security system.
- 9.3.1.9. Plan, program, and budget funding for USAF participation in NAFAG and RTO Level II technical panels.
- 9.3.1.10. Serve as the central point of contact for USAF participation in the RTO.

**9.3.2. HQ USAF Offices and MAJCOMs will:**

- 9.3.2.1. Nominate appropriate representatives for assignment to subordinate CNAD groups when requested by OSD or the NAFAG Principal.
- 9.3.2.2. Notify SAF/IAPQ when circumstances preclude attendance of the appointed USAF representative at a scheduled CNAD-subordinate group meeting, and nominate a suitable replacement.
- 9.3.2.3. When requested, designate and make available USAF delegates to support CNAD-subordinate groups for which other DoD Components have the lead and request support from other DoD Components as necessary.
- 9.3.2.4. Ensure representatives are adequately instructed on US policy and procedures and properly prepared prior to meetings.
- 9.3.2.5. Ensure that delegates to NATO forums are knowledgeable of NATO and US security procedures.
- 9.3.2.6. Ensure representatives do not engage in any activities that could be construed as negotiations, as defined in DoDD 5530.3, prior to submission and approval of a RAD package for an IAC IA ([Chapter 2](#)).

**9.3.3. The US NAFAG Principal will:**

- 9.3.3.1. Provide coordinated policy guidance for USAF participation in the NAFAG and its AIR Groups.
- 9.3.3.2. Approve USAF representatives to the AIR Groups and their subgroups.
- 9.3.3.3. Monitor and coordinate USAF participation in all CNAD-subordinate groups.
- 9.3.3.4. Continually evaluate US activity in the NAFAG to ensure USAF participation meets overall US objectives.

**9.3.4. USAF Personnel Appointed as US Delegates or Principal Members to NATO groups will:**

- 9.3.4.1. Develop US positions, plans, and propose actions for CNAD-subordinate groups to which they are appointed. In cases where these positions, plans, and actions are not covered by previous policy guidance, secure appropriate higher headquarters coordination.
- 9.3.4.2. Invite "industrial experts" to make presentations at CNAD-subordinate group meetings when appropriate. Approval for such attendance must be obtained through the US Mission NATO.
- 9.3.4.3. Provide SAF/IAPQ, HQ USAF offices, and MAJCOM focal points a detailed report following each meeting or forum that outlines goals and deliverables.
- 9.3.4.4. Provide to the cognizant USAF offices a letter of request for funding no later than 30 days before commencing travel. Exceptions to this timeframe will require written justification signed by the traveler's supervisor.
- 9.3.4.5. Provide to the cognizant funding office reconciled TDY vouchers and relevant documentation within 30 days of concluding travel.

## Chapter 10

### USAF PARTICIPATION IN BILATERAL IAC FORUMS

**10.1. Purpose and Objectives.** This Chapter discusses procedures and guidelines for USAF participation in the US-Canada Defense Development/Production Sharing Programs (DDSP/DPSP), the US-Japan Systems and Technology Forum (S&TF), the US-Republic of Korea (ROK) Defense Technological and Industrial Cooperation Committee (DTICC), and the National Executive Agent (NEA) meetings with Brazil.

**10.2. US-Canada DDSP and DPSP.** The US and Canada established the DDSP and DPSP by a MOU between the DoD and the Canadian Government. The US-Canada Defense Development Sharing Program (DDSP) and Defense Production Sharing Program (DPSP) were established in 1956 and 1963, respectively, to facilitate cooperation in military research, development, and acquisition between the US and Canada. Their purpose is to promote joint US-Canadian military materiel programs and to make more efficient use of industrial, scientific, and technical resources.

10.2.1. DDSP implementing procedures are contained in DFARS Appendix T-201.2. The DPSP integrates the industrial resources of both nations into a common North American industrial and mobilization base. Subject to National Disclosure Policy and the MOU, the programs:

10.2.1.1. Permit Canadian firms the same access to DoD R&D program information as US firms.

10.2.1.2. Permit the exchange of information and technical data with Canadian industry to the same extent afforded US firms, consistent with foreign disclosure limitations and the ITAR.

10.2.1.3. Afford Canadian firms an equal opportunity with US firms to participate in R&D, production, and support of defense weapon systems and equipment in accordance with the policies and procedures of the FAR.

10.2.1.4. Permit the DoD and the Canadian Government to enter into project agreements governing specific R&D projects under the MOU. The authority to enter into such project agreements has been delegated by DoD to its Military Departments. Canada may assume up to 75 percent of the cost of the jointly funded R&D projects, but a Canadian firm must perform the project work.

10.2.1.5. Encourage USAF prime contractors to include qualified Canadian industrial sources on potential subcontractor lists and to consider and solicit such sources on a basis equal with US domestic firms.

10.2.1.6. Promote long-range coordination and integration of requirements, development, procurement, and production with Canada.

10.2.1.7. Allow Canada to procure defense material from US industries in accordance with special provisions in the ITAR.

10.2.1.8. Give Canadian industries access to DoD procurements similar to that given to US manufacturers, within the constraints of US National Disclosure Policy and other policy.

**10.2.2. Organization.** DDSP/DPSP is organized and managed in three tiers: (1) a Steering Committee (SC) which provides executive oversight; (2) subcommittees established by the SC, as needed, to manage the DDSP/DPSP; and (3) bilateral working groups for each Service to identify and implement project agreements under the MOU.

10.2.3. **HQ USAF Responsibilities for DDSP and DPSP Participation.** SAF/IA will oversee USAF policy and participation in the DDSP/DPSP.

10.2.4. **SAF/IAPQ will:**

10.2.4.1. Act as the USAF OPR for management of DDSP.

10.2.4.2. Recommend USAF DDSP policy changes to SAF/AQ, and upon approval, provide guidance to appropriate USAF elements.

10.2.4.3. In coordination with HQ USAF, identify new areas for potential cooperative research and development.

10.2.4.4. Provide USAF representation to the OSD-level DDSP/DPSP Steering Committee and its subcommittees.

10.2.4.5. Encourage USAF development and procurement offices and USAF prime contractors to promote cooperation with Canada in research, development, and production contracts under DDSP/DPSP

10.2.4.6. Establish DDSP/DPSP focal points and functionally oriented working groups.

10.2.4.7. Issue operating procedures to fully implement the DDSP/DPSP.

10.2.4.8. Represent the USAF at the DDSP Committee meetings with Canada.

10.2.4.9. Jointly review and approve/disapprove nominated DDSP projects.

10.2.4.10. Ensure that each proposed project:

10.2.4.10.1. Has the potential to fulfill a valid USAF requirement.

10.2.4.10.2. Contains only that US item or project information releasable to Canada.

10.2.4.10.3. Identifies USAF Project POCs.

10.2.5. **Deputy Assistant Secretary for Contracting (SAF/AQC)** is the USAF OPR for DPSP management and DDSP/DPSP contracting policies and procedures.

**10.3. The US-Japan Systems and Technology Forum (S&TF).** The S&TF was established in 1980 to facilitate mutually beneficial cooperative R&D and technology exchange between the US and Japan. The objectives of the S&TF are to strengthen the defense technology bases of both governments and to increase the standardization and interoperability of defense equipment employed for mutual defense. The S&TF oversees a number of important US-Japan cooperative activities, including the Defense Data Exchange Program (DDEP), technical assessment teams, and technical groups. In addition, the S&TF supervises the development of procedures for transferring Japanese military technologies to the US and monitors their implementation.

10.3.1. USAF personnel participate in the S&TF in accordance with the terms of the US-Japan Mutual Defense Assistance Agreement of March 1954, particularly "that each government will make available to the other such equipment, materials, services, or other assistance as the government furnishing such assistance may authorize." The exchange of technology monitored by the S&TF was expanded by an exchange of notes between the US and Japan in November 1983. Through this exchange of notes, Japan agreed to make an exception to its national policy of prohibiting the export of military hardware and technology and agreed to transfer military technologies to the US. USAF

personnel should consult the DoD publication "Japanese Military Technology - Procedures for Transfer to the United States," February 1986 for guidance on transferring Japanese military technologies to the US.

**10.3.2. Organization.** The S&TF is co-chaired by the USD(AT&L) and the Director General, Bureau of Equipment, Japan Defense Agency. Other US members include the senior officials from the Military Departments, the Defense Advanced Research Projects Agency (DARPA), the Missile Defense Agency (MDA), HQ US Pacific Command (PACOM), and the Chief of the US Mutual Defense Assistance Office (MDAO), Tokyo. The S&TF has established subordinate Equipment and Technology Groups to identify opportunities for cooperative development and common interests in science and technology. The S&TF generally meets once a year and is hosted by each government in turn. The working groups convene as often as required.

**10.3.3. Procedures.**

10.3.3.1. USAF participants will exchange technical data and information relating to military R&D between the US and Japan and endeavor to standardize equipment employed by the US and Japan for mutual defense.

10.3.3.2. USAF participants will coordinate US objectives, positions, plans, and actions to be presented at the S&TF among all cognizant USAF offices.

**10.3.4. HQ USAF and Other USAF Activities Responsibilities for the S&T Forum.**

**10.3.5. SAF/IAPQ will:**

10.3.5.1. Coordinate USAF participation in the S&TF.

10.3.5.2. Develop and coordinate all USAF objectives, positions, plans, and actions to be presented at the S&TF.

10.3.5.3. Develop and coordinate actions necessary to implement S&TF decisions within the USAF.

10.3.5.4. Issue tasking instructions to USAF activities, as necessary.

**10.3.6. Other USAF Activities will:**

10.3.6.1. Provide representatives to the S&TF and its working groups, as requested by SAF/IAPQ.

10.3.6.2. Carry out S&TF tasking as directed by SAF/IAPQ.

**10.4. The US-Republic of Korea (ROK) Defense Technological and Industrial Cooperation Committee (DTICC).** The DTICC was established in 1988 to facilitate mutual and equitable defense industrial cooperation between the US and ROK. Its objectives are to improve the defense capabilities of the ROK and to enrich the defense technology bases of both participants. The DTICC oversees ongoing cooperation under the Defense Data Exchange Program (DDEP) and the Engineering and Scientist Exchange Program (ESEP), as well as specific cooperative R&D and production projects.

**10.4.1. Organization.** The DTICC is one of several committees that meet under the auspices of the US-ROK Security Consultative Meeting (SCM). The SCM is a high-level forum for the discussion of all issues affecting defense cooperation between the US and the ROK. In addition to the DTICC, there are committees dealing with policy issues, logistics, and security assistance. The DTICC is co-chaired

by the USD(AT&L) and the Director of the Defense Industry Bureau for the ROK Ministry of National Defense. It directs the work of two subcommittees: the Technological Cooperation Subcommittee (TCSC) and the Defense Industrial Cooperation Subcommittee (DICSC). The TCSC is co-chaired by a representative of the USD(AT&L) and focuses on information exchange and cooperative R&D. The DICSC oversees a broad range of defense industrial cooperation activities with the ROK. Each of these subcommittees may establish working groups to carry out specific tasks as agreed to by the subcommittee co-chairs.

#### 10.4.2. **Procedures.**

10.4.2.1. USAF participation in the DTICC and its subcommittees is in accordance with the terms of the June 1988 MOU between DoD and the ROK Ministry of National Defense on the rationalization, standardization, and interoperability of equipment employed for mutual defense, exchange of military technology and defense industrial information, cooperative R&D, and defense industrial cooperation.

10.4.2.2. USAF personnel will consult Annex 1 to the US-ROK MOU on Defense Technological and Industrial Cooperation for information on DTICC procedures for scheduling and managing meetings, exchanging information, and identifying IAC projects.

#### 10.4.3. **HQ USAF and Other USAF Activities Responsibilities for the DTICC.**

10.4.3.1. SAF/IAPQ will coordinate with appropriate USAF organizations to provide representation to the DTICC, TCSC, and working groups, and to complete actions from them.

10.4.3.2. USAF activities will provide representation to the DTICC, TCSC, and working groups, as appropriate, and carry out taskings from the DTICC, the TCSC, or the DICSC.

**10.5. National Executive Agent (NEA) Meetings with Brazil.** Oversight of USAF IAC with Brazil rests with the NEA. The NEA concept was established in the Master Data Exchange Agreement (MDEA) for the Mutual Development of Military Equipment, which covers almost all current USAF IAC activities with Brazil. The USAF NEA is a General Officer or Senior Executive Service civilian assigned to SAF/IA. The Brazilian NEA is the Director of the Aerospace Technical Center (CTA) in Sao Jose dos Campos, Brazil. NEA meetings take place approximately every eighteen months with rotational hosting between the US and Brazil.

10.5.1. **Guidance.** SAF/IA has published the following guidance regarding the conduct of IAC activity with Brazil:

10.5.1.1. Staff and field (laboratory) contact should be as frequent as necessary to carry out mutually beneficial projects. IAC activity with Brazil should be conducted when there is identifiable, equitable benefit.

#### 10.5.2. **HQ USAF Responsibilities for the NEA.**

#### 10.5.3. **SAF/IAPQ will:**

10.5.3.1. Coordinate IAC proposals with appropriate HQ USAF offices prior to any commitments to the Government of Brazil. This coordination will ensure information to be released is consistent with USAF and National Disclosure Policy.

10.5.3.2. Coordinate preparation of all background material and briefings for each NEA meeting. When the meetings take place in the US, make all administrative arrangements including confer-

ence facilities, visitor clearances, laboratory and command tours, Latin American Cooperative Fund requests, etc.

## Chapter 11

### USAF PARTICIPATION IN OTHER IAC FORUMS

**11.1. Purpose and Objectives.** This Chapter describes requirements and procedures for USAF participation in multilateral IAC forums, including: the Five-Power ASNR Forum, Long Term Technology Projects (LTTP), the Future Air Capabilities (FAC) initiative, and The Technical Cooperation Program (TTCP).

**11.2. The Five-Power ASNR Forum.** In the mid-1970s, the Four Powers of France, Germany, the UK, and the US created the ASNR Forum to develop a consensus on issues to be considered by the full NAFAG. In early 2000, Italy was invited and joined the original nations to make it the Five-Power ASNR Forum. The smaller scope and membership of the ASNR group has made it one of the more productive international forums in which the USAF participates. Because of this productivity, the ASNRs have gradually expanded their activities beyond the original charter of consensus-building to include IAC activities involving the Five-Power nations. The Five-Power ASNRs meet twice annually to exchange information and oversee ongoing projects initiated in this forum. Responsibility for hosting meetings rotates among the member countries.

**11.3. Long Term Technology Projects (LTTP).** The 1989 LTTP MOU, signed by the original Four Powers, encompasses collaboration on the research of technologies whose maturation may lead to the development of technologically superior future conventional weapons. At least three of the four countries must participate for a project to fall under the auspices of the LTTP MOU.

11.3.1. The LTTP MOU sets up a Working Group (WG) to oversee all activity under the MOU and to continuously review new ideas for projects. The WG meets two to three weeks prior to the semi-annual ASNR meeting and receives project status briefings from the technical experts of the host country. The WG then provides an update briefing to the ASNRs on all LTTP activity during the twice-annual ASNR meetings.

**11.4. Future Air Capabilities (FAC) Initiative.** The FAC initiative provides a way to identify common mission needs, harmonize operational requirements, and foster cooperative multi-national R&D programs to increase interoperability among the Five Power countries and their allies. The Five Power NADs introduced the International Cooperative Opportunities Group (ICOG), and the implementing International Cooperative Opportunities (ICO) projects into the Five Power SNR forums with the aim of improving the conduct and success rate of cooperative multinational R&D programs. The Five Power ASNRs support this goal and have begun to establish a FAC Working Group to institutionalize the ICOG concept, and create the infrastructure necessary to identify, initiate, and execute cooperative programs aimed at interoperable defense systems.

**11.5. Bilateral Forums.** In addition to the Five-Power ASNR forum, the USAF provides senior-level officials to serve as representatives at bilateral talks with a number of allies. Bilateral ASNR talks and Technology Working Group (TWG) talks are held on a periodic, recurring basis to discuss potential areas of IAC. While the ASNR talks are broad, the TWG talks typically focus on science and technology. Generally, SAF/IA provides the ASNR, and the Air Force Research Laboratory (AFRL) provides the TWG representative. There is flexibility in these assignments and exceptions are made based upon personnel, availability, country preference, and historical precedence.

11.5.1. The current ASNR assignments are:

<b><u>FORUM</u></b>	<b><u>ASNR</u></b>
Five-Power	SAF/IA
France	SAF/IA
United Kingdom	SAF/IA
Sweden	AFRL/CC
Canada	AFRL/CC
Australia	SAF/IA

11.5.2. The current TWG assignments are:

<b><u>FORUM</u></b>	<b><u>TWG</u></b>
United Kingdom	AFRL/CC
France	AFRL/CC
Israel	AFRL/CC
Australia	AFRL/CC
Singapore	AFRL/CC
Japan	SAF/IA

## **11.6. HQ USAF and MAJCOM Responsibilities for participation in ASNR Fora, LTTP, and FAC.**

### **11.6.1. SAF/IA will:**

11.6.1.1. Provide appropriate representative(s) to assigned ASNR and TWG forums.

### **11.6.2. SAF/IAPQ or AFRL, Depending Upon Which is Representing the US, will:**

11.6.2.1. Determine the meeting site, arrange for conference facilities and interpreter services, develop and coordinate an agenda, and prepare and coordinate the minutes for meetings hosted by the US.

11.6.2.2. Prepare the US ASNR or TWG representative for meetings, to include providing background material, arranging pre-briefings of US material to be presented, and developing US positions.

11.6.2.3. Respond to US action items agreed to by the ASNRs or TWG representatives.

### **11.6.3. SAF/IAPQ will:**

11.6.3.1. Prepare and staff IAs and annexes as directed by the ASNRs or TWG representatives.

11.6.3.2. Manage the USAF FAC initiative, including structure, plans, process, and projects.

### **11.6.4. HQ USAF/XOR will:**

11.6.4.1. Provide the US member of the FAC working group.

11.6.4.2. Provide support in developing, documenting, and defining mission requirements, in conjunction with HQ USAF/XOR/XP, MAJCOM focal points, and others.

**11.6.5. SAF/AQRT will:**

11.6.5.1. Provide the US member of the LTTP working group.

11.6.5.2. Provide an appropriate representative for ASNR and TWG delegations.

11.6.5.3. Provide technology oversight for LTTP projects.

**11.6.6. LTTP/FAC Project Proponents will:**

11.6.6.1. Lead the USAF participation in the project as specified in the implementing IA.

**11.6.7. MAJCOMS will:**

11.6.7.1. Provide appropriate representatives to ASNR and TWG forums, as requested by SAF/IAPQ.

**11.7. The Technical Cooperation Program (TTCP).** TTCP provides the means to acquaint participating governments (US, UK, Canada, Australia, and New Zealand) with the national defense science and technology (S&T) programs conducted by each government, and to cooperate in a broad range of defense S&T activities. It also facilitates the establishment of IAs in areas not considered appropriate for long-term sponsorship by TTCP. An MOU establishing a contemporary, formal framework to continue the efficient and effective operation of TTCP was concluded in 1995. Specific policies and procedures which govern TTCP collaboration are contained in that MOU. TTCP issues annual revisions to its Policies, Organization, Procedures in Non-Atomic Research and Development document for as required for execution of the program. The scope of activities under the TTCP MOU may range from basic research to advanced concept technology demonstrations. DoDI 3100.8, *The Technical Cooperation Program (TTCP)*, provides further guidance.

**11.8. HQ USAF and TEO Responsibilities under TTCP.**

**11.8.1. SAF/IAPQ will:**

11.8.1.1. Manage USAF participation in TTCP.

11.8.1.2. Review and coordinate proposals from the US Deputy for bilateral S&T cooperation in areas discussed in TTCP activities.

11.8.1.3. Coordinate proposals and requests for nominations with appropriate HQ USAF offices and the AFRL participating activities.

11.8.1.4. Request HQ USAF and AFRL nominees who have recognized competence in a specific technology or activity. Nominees must have the ability to represent the US and the USAF in international S&T activities.

11.8.1.5. Coordinate USAF appointment letters with the US Deputy and the US Group National Representative for membership on Groups, Technical Panels (TPs), and Action groups (AGs).

11.8.1.6. Maintain a roster of USAF participants and provide data to the appropriate POC for incorporation in the official TTCP roster.

11.8.1.7. Periodically review each appointment to a Group, TP, and AG for renewal. An appointment to an action group is for the life of the group.

11.8.1.8. Plan, program, and budget funding for HQ USAF travel in support of TTCP.

11.8.1.9. Be the official USAF repository for annual TTCP activity status reports.

**11.8.2. HQ USAF Directorates will:**

11.8.2.1. Recommend and submit nominations to SAF/IAPQ, as required, for participation in Groups, TPs, and AGs in which membership is desired or for replacement of departing Directorate representatives in Groups, TPs, and AGs.

11.8.2.2. Coordinate on nominations.

11.8.2.3. Fund Directorate participation in activities, as appropriate.

**11.8.3. TEO will:**

11.8.3.1. Recommend to SAF/IAPQ AFRL participation in Groups, TPs, and AGs.

11.8.3.2. As required, submit nominations to SAF/IAPQ for participation in Groups, TPs, and AGs in which membership is desired or for replacement of departing AFRL representatives.

11.8.3.3. Provide technical supervision and support of AFRL personnel serving in Groups, TPs, and AGs.

11.8.3.4. Fund AFRL participation in TTCP activities, as appropriate.

**11.8.4. USAF participants in TTCP will:**

11.8.4.1. Avoid unnecessary duplication of effort. USAF TTCP members must be acquainted with USAF responsibilities in the International Standardization Program described in AFPD 60-1, *Operations and Resources Standardization*, and AFI 60-106, *The United States Air Force International Military Standardization Program*.

11.8.4.2. Coordinate USAF positions relative to their TTCP activity and obtain necessary disclosure authorization.

11.8.4.3. Submit recommendations regarding TTCP activities, which require USAF action through command channels to SAF/IAPQ.

11.8.4.4. Upon request of HQ USAF, provide a recommended position on the releasability of any technical S&T information within their technical area to foreign governments participating in TTCP.

11.8.4.5. Participate within disclosure guidelines under the direction of the US delegation leader (regardless of the military department assigned) and chief of the US delegation at each meeting. The disclosure of information must be consistent with TTCP Terms of Reference (TORs), applicable DDLs, and must be in accordance with AFPD 16-2 and AFI 16-201, *Disclosure of Military Information to Foreign Governments and International Organizations*.

11.8.4.6. Refrain from activities that could be construed as negotiations, as defined in DoDD 5530.3, *International Agreements*, prior to submission and approval of a RAD package for a TTCP PA or an IAC MOA ([Chapter 2](#)).

## Chapter 12

### DOD TECHNOLOGY BOOTHS AT INTERNATIONAL AIR AND TRADE SHOWS

**12.1. Mission.** The mission of the DoD Technology Booth (DTB) is to showcase US defense technology and weapon systems at international air shows or trade exhibitions. The primary objective of the DTB is to showcase DoD technologies and T&E capabilities and facilitate opportunities for cooperative research, development, acquisition, test, and evaluation to promote commonality, standardization, and interoperability with allies and potential coalition defense partners.

**12.2. DoD Executive Agent.** The DoD executive agent for international air and trade shows is the Defense Security Cooperation Agency (DSCA). In accordance with DoD 7230.8, *Leases and Demonstrations of DoD Equipment*, DSCA recommends to the Under Secretary of Defense for Policy whether the DoD should directly participate in a specific international air show or trade exhibition. The recommendations for DoD direct participation are made based on input from the regional US Combatant Commander and the American Embassy in the country hosting the air show or exhibition. Whether the DTB should be a part of the DSCA recommendations is based on consultation with the Services, Unified Command staff, and American Embassy offices.

**12.3. Military Services' Responsibilities.** The Services are responsible for DTB air show participation, standardized operational procedures, funding, manning, planning, preparation, execution and coordination activities. The US Army Materiel Command's Exhibit Office is responsible for contracting for booth space, transporting and maintaining the DTB, setting up and taking down the DTB, and standardizing the graphics displays.

#### 12.4. Responsibilities.

##### 12.4.1. SAF/IAPQ will:

12.4.1.1. Manage the USAF display portion of the DTB and select technology demonstrations and participants.

12.4.1.2. Consult/coordinate with SAF/IA country directors and MAJCOM focal points to tailor the USAF display to a specific region or country.

12.4.1.3. Plan, program, and budget resources for the USAF display portion of the DTB.

12.4.1.4. Provide DSCA a summary of incurred costs incurred for the USAF display.

BRUCE S. LEMKIN

Deputy Under Secretary of the Air Force, International Affairs

**Attachment 1****GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

- 1 U.S.C. 112b, *United States international agreements; transmission to Congress*
- 10 U.S.C. 2304, *Contracts: competition requirements*
- 10 U.S.C. 2350a, *Cooperative research and development projects: allied countries*
- 10 U.S.C. 2350b, *Cooperative projects under Arms Export Control Act: acquisition of defense equipment*
- 10 U.S.C. 2358, *Research and development projects*
- 10 U.S.C. 2371, *Research projects: transactions other than contracts and grants*
- 10 U.S.C. 2457, *Standardization of equipment with North Atlantic Treaty Organization members*
- 10 U.S.C. 2531, *Defense memoranda of understanding and related agreements*
- 10 U.S.C. 2532, *Offset policy; notification*
- 15 U.S.C. 3710a, *Cooperative research and development agreements* 22 U.S.C. 2321k, *Designation of major non-NATO allies*
- 22 U.S.C. 2767, *Authority of President to enter into cooperative projects with friendly foreign countries*
- 22 U.S.C. 2796d, *Loan of materials, supplies, and equipment for research and development purposes*
- 22 U.S.C. 2751 et seq., *The Arms Export Control Act (AECA)*, as amended
- Title 22, Code of Federal Regulations, Parts 120-130, *International Traffic in Arms Regulations (ITAR)*
- DoDD 1330.9, *Armed Services Exchange Policy*, 27 November 2002
- DoDD 2000.9, *International Co-Production Projects and Agreements Between the United States and Other Countries or International Organization*, 23 January 1974
- DoDD 2010.6, *Standardization and Interoperability of Weapons Systems and Equipment within the North Atlantic Treaty Organization*, 5 March 1980
- DoDD 2010.9, *Acquisition and Cross-Servicing Agreements*, 28 April 2003
- DoDD 2040.2, *International Transfers of Technology, Goods, Services, and Munitions*, 17 January 1984
- DoDD 4500.54, *Official Temporary Duty Travel Abroad*, 1 May 1991
- DoDD 5000.1, *The Defense Acquisition System*, 14 May 2003
- DoDD 5200.39, *Security, Intelligence, and Counterintelligence Support to Acquisition Program Protection*, 10 September 1997
- DoDD 5230.11, *Disclosure of Classified Military Information to Foreign Governments and International Organizations*, 16 June 1992
- DoDD 5230.20, *Visits, Assignments, and Exchanges of Foreign Nationals*, 12 August 1998
- DoDD 5230.25, *Withholding of Unclassified Technical Data From Public Disclosure*, 6 November 1984

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DoDI 1000.13, *Identification (ID) Cards for Members of the Uniformed Services, Their Dependents, and Other Eligible Individuals*, 5 December 1997

DoDI 2010.4, *US Participation in Certain NATO Groups Relating to Research, Development, Production and Logistic Support of Military Equipment*, 12 December 1967

DoDI 3100.8, *The Technical Cooperation Program (TTCP)*, 11 September 1973

DoDI 2015.4, *Defense Research, Development, Test and Evaluation (RDT&E) Information Exchange Program (IEP)*, 07 February 2002

DoDI 5000.2, *Operation of the Defense Acquisition System*, 14 May 2003

DoD Manual 5105.38-M, *Security Assistance Management Manual (SAMM)*, 28 June 2001

DoD Regulation 4515.13-R, *Air Transportation Eligibility*, November 1994

DoD Regulation 5200.1-R, *Information Security Program*, January 1997

DoD Regulation 7000.14R, *Financial Management Regulation*, Volume 12 (*Special Accounts Funds and Programs*), Chapter 9 (*International Agreements*), September 1996

SECDEF Policy Memorandum 23 March 1997, *DoD International Armaments Cooperation Policy*

AFI 10-601, *Mission Needs and Operational Requirements Guidance and Procedures*, 13 August 1999

AFI 16-201, *Disclosure of Military Information to Foreign Governments and International Organizations* (cross-listed as AFPD 16-2)

AFI 25-301, *Acquisition and Cross-Servicing Agreements (ACSA) Between the US Air Force and other Allied and Friendly Forces*, 26 October 2001

AFI 33-202, *Computer Security*, 30 August 2001

AFI 33-324, *The Information Collections and Reports Management Program; Controlling Internal, Public, and Interagency Air Force Information Collections*, 1 June 2000

AFI 36-2107, *Active Duty Service Commitments*, 15 October 2001

AFI 51-701, *Negotiating, Concluding, Reporting, and Maintaining International Agreements*, 6 May 1994

AFI 60-106, *The United States Air Force International Military Standardization Program*, 1 December 1997

AFI 61-302, *Cooperative Research and Development Agreements*, 30 May 2001

AFI 63-101, *Acquisition System*, 11 May 94

AFI 99-102, *Operational Test and Evaluation*, 1 July 1998

AFMAN 16-101, *International Affairs and Security Assistance Management*, 1 September 1995

AFPD 10-6, *Mission Needs and Operational Requirements*, 19 January 1993

AFPD 16-1, *International Affairs*, 16 August 1993

AFPD 16-2, *Disclosure of Military Information to Foreign Governments and International Organizations*, 10 September 1993

AFPD 25-3, *NATO and Allied Logistics Support*, 2 March 1993

AFPD 31-4, *Information Security*, 1 September 1998

AFPD 60-1, *Operations and Resources Standardization*, 7 September 1993

AFPD 63-17, *Technology and Acquisition Systems Security Program Protection*

AFPD 99-1, *Test and Evaluation Process*, 22 July 1993

*Federal Acquisition Regulation (FAR)*

*Defense FAR Supplement (DFARS)*

National Disclosure Policy (NDP-1), *National Policy and Procedures for the Disclosure of Classified Military Information to Foreign Governments and International Organizations*, (short title: National Disclosure Policy (NDP-1)), October 1, 1988

National Defense Authorization Act for FY 1994, Section 84, Public Law 103-160

### ***Acronyms And Abbreviations***

**AC**—Atlantic Council

**ACAT**—Acquisition Category

**ADM**—Acquisition Decision Memorandum

**AFPD**—Air Force Policy Directive

**AECA**—Arms Export Control Act

**AFMC**—Air Force Materiel Command

**AFOSI**—Air Force Office of Special Investigations

**AFOSR**—Air Force Office of Scientific Research

**AFPC**—Air Force Personnel Center

**AFRL**—Air Force Research Laboratory

**AG**—Armaments Initiative Requirement (AIR) Group (NAFAG)

**AG**—Action Group (TTCP)

**AIR**—Armaments Initiative Requirement

**AoA**—Analysis of Alternatives

**AOARD**—Asian Office of Aerospace Research and Development

**APEP**—Administrative and Professional Exchange Program

**ASCC**—Air Standardization Coordination Committee

**ASNR**—Air Senior National Representative

**ATPO**—Associate Technical Project Officer

**BES**—Budget Estimate Submission  
**CBO**—Career Broadening Objectives  
**CDD**—Capabilities Development Document  
**CLC**—Certificate of Language Conformity  
**CNAD**—Conference of National Armaments Directors  
**COMSEC**—Communications Security  
**CPP**—Cooperative Program Personnel  
**CRADA**—Cooperative Research and Development Agreement  
**CUMI**—Controlled Unclassified Military Information  
**CWP**—Coalition Warfare Program  
**DAB**—Defense Acquisition Board  
**DARPA**—Defense Advanced Research Projects Agency  
**DDEP**—Defense Data Exchange Program  
**DDL**—Delegation of Disclosure Authority Letter  
**DDSP**—Defense Development Sharing Program  
**DEA**—Data Exchange Annex  
**DEPSECDEF**—Deputy Secretary of Defense  
**DFARS**—Defense Federal Acquisition Regulations Supplement  
**DICSC**—Defense Industrial Cooperation Subcommittee  
**DLAB**—Defense Language Aptitude Battery  
**DLPT**—Defense Language Proficiency Test  
**DoC**—Department of Commerce  
**DoD**—Department of Defense  
**DoDD**—Department of Defense Directive  
**DoDI**—Department of Defense Instruction  
**DoS**—Department of State  
**DPEP**—Defense Personnel Exchange Program  
**DPSP**—Defense Production Sharing Program  
**DRU**—Direct Reporting Unit  
**DSCA**—Defense Security Cooperation Agency  
**DTB**—DoD Technology Booth  
**DTICC**—Defense Technological and Industrial Cooperation Committee

**EFMP**—Exceptional Family Member Program  
**EOARD**—European Office of Aerospace Research and Development  
**ESEP**—Engineer and Scientist Exchange Program  
**E&S**—Engineer and Scientist  
**EVA**—Extended Visit Authorization  
**FAC**—Future Air Capabilities  
**FAR**—Federal Acquisition Regulation  
**FCT**—Foreign Comparative Testing  
**FDO**—Foreign Disclosure Office/Officer  
**FFC**—Friendly Foreign Country  
**FMS**—Foreign Military Sales  
**FOA**—Field Operating Agency  
**FY**—Fiscal Year  
**FYDP**—Future Years Defense Program  
**HAF**—Headquarters Air Force  
**HQ USAF**—Headquarters US Air Force  
**IA**—International Agreement  
**IAC**—International Armaments Cooperation  
**IA GEN**—International Agreements Generator  
**ICAT**—International Cooperative Agreement Team  
**ICD**—Initial Capabilities Document  
**ICO**—International Cooperative Opportunities  
**ICOG**—International Cooperative Opportunities Group  
**ICR&D**—International Cooperative Research and Development  
**IEA**—Information Exchange Annex  
**ILS**—Integrated Logistics Support  
**IMS**—International Military Standardization  
**IOC**—Initial Operational Capability  
**IPD**—International Program Directive  
**IPO**—International Project Officer  
**IPT**—Integrated Product Team  
**ITAR**—International Traffic in Arms Regulations

**LA**—Loan Agreement

**LTTP**—Long Term Technology Projects

**MAJCOM**—Major Command

**MCTL**—Militarily Critical Technologies List

**MDAO**— Mutual Defense Assistance Office

**MDAP**— Major Defense Acquisition Program

**MDEA**—Master Data Exchange Agreement

**MIEA**—Master Information Exchange Arrangement/Agreement

**MILDEP**—Military Department

**MOA**—Memorandum of Agreement

**MoD**—Ministry of Defense/Defence

**MOU**—Memorandum of Understanding

**NAC**—North Atlantic Council (NATO)

**NAD**—National Armaments Director

**NADREP**—National Armaments Director Representative

**NAFAG**—NATO Air Force Armaments Group

**NASA**—National Aeronautics and Space Administration

**NATO**—North Atlantic Treaty Organization

**NDI**—Non-Developmental Items

**NDP**—National Disclosure Policy

**NDPC**—National Disclosure Policy Committee

**NEA**—National Executive Agent

**NSO**—NATO Standardization Organization

**ODC**—Office of Defense Cooperation

**ODUSD(AS&C)**—Office of the Deputy Under Secretary of Defense (Advanced Systems and Concepts)

**OL**—Operating Location

**OPSEC**—Operations Security

**OPR**—Office of Primary Responsibility

**OPR**—Officer Performance Report

**OSD**—Office of the Secretary of Defense

**OT**—Other Transaction

**OUSD(AT&L)**—Office of the Under Secretary of Defense (Acquisition, Technology, and Logistics)

**OUSD(AT&L)IC**—Office of the Under Secretary of Defense (Acquisition, Technology, and Logistics) International Cooperation

**PA**—Project Agreement or Arrangement

**PB**—President's Budget

**PCS**—Permanent Change of Station

**PD**—Position Description

**PE**—Program Element

**PEM**—Program Element Monitor

**PEO**—Program Executive Officer

**PfP**—Partnership for Peace

**PM**—Program Manager

**PMD**—Program Management Directive

**POC**—Point of Contact

**PPBS**—Planning, Programming, and Budgeting System

**QPQ**—Quid-Pro-Quo

**QPR**—Quarterly Progress Report

**RAD**—Request for Authority to Develop

**R&D**—Research and Development

**RDTE**—Research, Development, Test, and Evaluation

**RFA**—Request for Final Approval

**RFI**—Request for Information

**ROK**—Republic of Korea

**RSI**—Rationalization, Standardization, and Interoperability

**RTO**—Research and Technology Organization

**RTP**—Research and Technology Projects

**SAF/AQC**—Deputy Assistant Secretary of the Air Force for Contracting

**SAF/GCI**—Air Force Deputy General Counsel for International Affairs

**SAF/IA**—Deputy Under Secretary of the Air Force, International Affairs

**SAF/IAP**—Deputy Under Secretary of the Air Force, International Affairs, Policy Directorate

**SAF/IAPD**—Deputy Under Secretary of the Air Force, International Affairs, Foreign Disclosure and Technology Transfer Division

**SAF/IAPQ**—Deputy Under Secretary of the Air Force, International Affairs, Armaments Cooperation Division

**SAF/IARW**—Deputy Under Secretary of the Air Force, International Affairs, Weapons Division

**SAMP**—Single Acquisition Management Plan

**SCM**—Security Consultative Meeting

**SECDEF**—Secretary of Defense

**SNR**—Senior National Representative

**SOA**—Separate Operating Agency

**SOFA**—Status of Forces Agreement

**SP**—Security Plan

**SSOI**—Summary Statement of Intent

**S&T**—Science and Technology

**S&TF**—Systems and Technology Forum

**STANAG**—Standardization Agreements

**TCSC**—Technological Cooperation Subcommittee

**TDSP**—Technology Demonstration and System Prototypes

**TDY**—Temporary Duty

**TEO**—Technology Executive Officer

**T&E**—Test and Evaluation

**TOR**—Terms of Reference

**TP**—Technical Panel

**TPO**—Technical Project Officer

**TRDP**—Technology Research and Development Projects

**TTCP**—The Technical Cooperation Program

**TWG**—Technology Working Group

**UMD**—Unit Manning Document

**USAF**—United States Air Force

**U.S.C.**— United States Code

**USD(AT&L)**— Under Secretary of Defense (Acquisition, Technology, and Logistics)

**USD(AT&L)/IC**—Under Secretary of Defense (Acquisition, Technology, and Logistics), International Cooperation Directorate

**WG**—Working Group

### *Terms*

**Analysis of Alternatives**—An AoA is prepared by the DoD Component responsible for an acquisition program. It discusses the advantages and disadvantages of the proposed acquisition program and addresses the possibility of non-materiel solutions and international cooperative programs.

**Annex Authority (USAF)**—Provides executive level oversight of Information Exchange Program. Concludes new Annexes and approves amendments and terminations in accordance with each Master Agreement. The Deputy Under Secretary of the Air Force, International Affairs, Director of Policy is designated as the USAF Annex Authority.

**Associate Technical Project Officers (ATPOs)**—Provides assistance to the TPOs in a corresponding technical discipline to fulfill the objectives of a DEA/IEA Annex. ATPOs are also USAF participants in other Service/DoD Annexes.

**Authorities**—Government officials listed in the IEA/DEA who are authorized to act on behalf of the US in compliance with the Master Agreement. Authorities may initiate correspondence and provide management support regarding USAF IEA/DEA activities.

**Controlled Unclassified Information**—Unclassified information to which access or distribution limitations have been applied.

**Cooperative Logistics**—Support provided to a foreign government/agency through its participation in the US DoD logistic system with reimbursement to the US for support provided and logistic support provided to the DoD through its participation in the logistic system of a foreign government agency with reimbursement to that government/agency for support provided. It is an umbrella term that includes the provision or receipt of logistics support for systems and equipment; development of plans and actions to coordinate military logistics systems or procedures; and development of plans and actions to support the use of national logistics policies, systems, or procedures to meet common requirements.

**Cooperative Research and Development Agreement (CRADA)**—CRADAs are standard instruments other than contracts, grants, and cooperative agreements, that allow federal laboratory personnel to perform R&D in collaboration with industrial or other non-Federal entities, without the transfer of Federal funds.

**Data Exchange Annex (DEA)**—Under the Master Data Exchange Agreement, the formal legal vehicle for the exchange of scientific and technical R&D data or information. Production and manufacturing information, hardware, and personnel may not be exchanged under a DEA.

**Delegation of Disclosure Authority Letter (DDL)**—Document that provides disclosure guidance to be followed when conducting activities under an IA. This US-only document provides a comprehensive listing of the information authorized for release and the information, which is restricted from release to the foreign country.

**Establishments**—Participating organizations or agencies listed in an IEA/DEA that have an interest in, or provide information to be exchanged. Establishments may be other USAF organizations, other Services, NASA, DARPA, etc.

**Foreign Comparative Testing (FCT) Program**—A Testing and Evaluation program conducted under 10 U.S.C. [2350a\(g\)](#) whereby the USAF evaluates selected non-development items and selected technologies that are developed solely by allied or friendly governments where such items or technologies are judged to have the potential to meet valid DoD requirements.

**Foreign Technology**—A foreign technique, process, or other subset of a system architecture.

**Foreign Weapon**—For the purpose of the FCT Program, a foreign weapon is any conventional item of military equipment, system, subsystem, munitions, or major component manufactured by a friendly or neutral government that is or will soon be available for procurement by the US Government.

**Information Exchange Annex (IEA)**—Under the Master Information Exchange Arrangement or Agreement, the formal legal vehicle for the exchange of scientific and technical R&D data or information. Production and manufacturing information, hardware, and personnel may not be exchanged under an IEA.

**Intellectual Property**—Includes inventions, trademarks, patents, industrial designs, copyrights, and technical information including software, data designs, technical know-how, manufacturing information and know-how, techniques, technical data packages (TDPs), manufacturing data packages, and trade secrets.

**International Agreement**—Any agreement concluded with one or more foreign governments (including their agencies, instrumentalities, or political subdivisions) or with an international organization, that:

- (1) Is signed or agreed to by any DoD Component, or by representatives of the Department of State or any other Department or Agency of the US Government,
- (2) Signifies the intention of the parties to be bound in international law, and,
- (3) Is denominated as an IA or as an MOU, MOA, memorandum of arrangements, exchange of notes, exchange of letters, technical arrangement, protocol, note verbal, aide memoir, agreed minute, contract, arrangement, statement of intent, letter of intent, statement of understanding, or any other name connoting a similar legal consequence.

(See additional aspects of this definition in AFI 51-701 and DoDD 5530.3)

**International Armaments Cooperation (IAC) Programs**—One or more specific IAC projects:

- (1) Conducted under an IA,
- (2) Implemented under 22 U.S.C. 2767, 10 U.S.C. 2350a, or other statutory authority, e.g., 10 U.S.C. 2358, and
- (3) Conducted as (a) research, development, testing, and evaluation (RDT&E) of defense articles (including cooperative modification of a US-developed system), (b) joint or concurrent production (including follow-on support) of a defense article developed by one or more of the participants, (c) US Government procurement of a foreign defense article (including software), technology (including manufacturing rights), or service (including logistic support), (d) testing and evaluation of conventional defense equipment, munitions, and technology, or (e) data, information, and personnel exchanges conducted under approved programs.

**International Armaments Cooperation Agreement**—An agreement between the US Government and a foreign government (or authorized international organization) setting forth the terms and conditions under which the signatories agree to cooperate in the performance of a specific IAC project.

**International Armaments Cooperation Project**—A jointly planned undertaking, with a finite beginning and finite ending, of specific objectives to be accomplished under an IAC program on the basis of a written agreement between the participants and an equitable contribution by the participants to the full costs of the undertaking.

**International Project Officer**—The individual assigned the responsibility of managing activities of a specified International Armaments Cooperation Agreement/Project.

**Interoperability**—The ability of systems, units or forces to provide services to, and accept services from, other systems, units, or forces and to use the services so exchanged to enable them to operate effectively together.

**MAJCOM Focal Point**—An individual designated to provide MAJCOM-level oversight of IAC and related programs.

**Major Defense Acquisition Program (MDAP)**—An acquisition program that is not a highly sensitive classified program (as determined by the Secretary of Defense) and is designated by the Under Secretary of Defense (Acquisition, Technology, and Logistics) (USD(AT&L)) as a Major Defense Acquisition Program or estimated by the USD(AT&L) to require an eventual total expenditure for research, development, test and evaluation of more than 355 million dollars or an eventual total expenditure for procurement of more than 2.135 billion dollars (based on fiscal year 1996 constant dollars).

**Master Data Exchange Agreement (MDEA)/Master Information Exchange Agreement (MIEA)**—IAs between the US DoD and foreign countries that establish the framework, terms, and conditions for R&D information exchanges through the creation of subsequent Annexes for specific projects.

**Memorandum of Agreement (MOA)**—An agreement concluded with one or more foreign governments including their agencies, instrumentalities, or political subdivisions, or with an international organization that is signed or agreed to by authorized personnel of a DoD Component, or by representatives of the DoS or any other Department or Agency of the US Government and signifies the intention of the signatories to be bound in international law.

**Memorandum of Understanding (MOU)**—Alternate term for MOA (above) used primarily for agreements with Australia, Canada, Japan, New Zealand, and the UK.

**Militarily Critical Technologies**—Arrays of design and manufacturing know-how; keystone manufacturing, inspection and test equipment; goods accompanied by sophisticated operation, application, or maintenance know-how; and keystone equipment which would reveal or give insight into the design and manufacture of US military systems, which are not possessed by, or available in fact from sources outside of the US and which, if exported would permit a significant advance in a military system of any country.

**Negotiation**—Communication by any means of a position or offer, on behalf of the US, the DoD, or on behalf of any officer or an organizational element thereof, to an agent or representative of a foreign government, including an agency, instrumentality, or political subdivision thereof, or of an international organization, in such detail that the acceptance in substance of such position or offer would result in an international agreement. The term “negotiation” includes any such communication even if it is conditioned on later approval by higher authority. The term “negotiation” also includes provision of a draft agreement or other document, the acceptance of which would constitute an agreement, as well as discussions concerning any US or foreign government or international organization draft document whether or not titled “agreement.” The term “negotiation” does not include preliminary or exploratory discussions or routine meetings where no draft documents are discussed, so long as such discussions or meetings are conducted with the understanding that the views communicated do not and will not bind or commit any side legally or otherwise.

**Offsets**—Any arrangement under which, as a condition of sale, a seller agrees to compensate a buyer for the purchase of goods or services in terms that exceed considerations of price, quality, or delivery of the original item. In regard to military exports, industrial and commercial compensation practices offered or demanded in connection with the purchase of defense goods or services.

**Other Transaction (OT)**—OTs are flexible agreements other than contracts, grants, or cooperative agreements that are used to accomplish various legal purposes. OTs are not subject to statutes and regulations that apply specifically to contracts, grants, or cooperative agreements. There are two types of OTs; (1) OTs for research authorized by 10 U.S.C. 2371, and (2) OTs for the acquisition of prototype projects relevant to weapon systems authorized by Section 845 of the National Defense Authorization Act for FY 1994, Public Law 103-160.

**Party/Participant**—Any nation that is a signatory to an International Agreement.

**Program Executive Officer (PEO)**—Military or civilian official who has primary responsibility for managing a defined number of major and/or non-major defense acquisition programs and who reports to and receives direction from a Service or DoD Agency Acquisition Executive only.

**Program Manager (PM)**—Military or civilian official chartered by the Program Executive Office (or by an official designated by the Program Executive Office) who is assigned responsibility and delegated full-line authority of the Program Executive Office for centralized management of a specified development, acquisition, or materiel readiness program.

**Proponent**—The person who has a concept for international cooperation and that will be advocating and developing the necessary documentation to establish an international agreement. The person may be from a MAJCOM, HQ USAF, or other AF Organization.

**Quid-Pro-Quo (QPQ) Analysis**—Statement of essentially equal benefits used as the rationale or justification for approval of a DEA or IEA by the USAF.

**Rationalization**—Any action that increases the effectiveness of allied and friendly government forces through more efficient and effective use of defense resources committed to the alliance. Rationalization includes consolidation, reassignment of national priorities to alliance needs, standardization, specialization, mutual support or improved interoperability, and greater cooperation. Rationalization applies to both weapons and materiel resources and non-weapons military matters.

**Single Acquisition Management Plan (SAMP)**—A comprehensive, integrated document, which discusses all relevant aspects of a program in support of a milestone decision. As a program management strategy document, it consolidates required documentation and is tailored for the specific needs of the program. The SAMP is structured to streamline the oversight and statutory requirements contained in all other management plans for all levels above the PEO. A SAMP is required by SAF/AQ for all ACAT I and II programs, and is optional for ACAT III programs.

**Scope**—Specific scientific and technical areas covered by a DEA or IEA. The scope identifies the types of information that may be exchanged.

**Security Assistance**—A term that covers a broad range of programs through which the US, in pursuit of its national interests and in accordance with the Arms Export Control Act and the Foreign Assistance Act, assists allied and friendly governments to defend and preserve their own national security and economic well-being. The main components of security assistance are the Foreign Military Sales Program, the Foreign Military Financing Program, and the International Military Education and Training Program. (See other aspects of this definition in AFMAN 16-101.)

**Technology Executive Officer (TEO)**—The Commander, Air Force Research Laboratory (AFRL), is the TEO. The TEO is responsible for the development and implementation of Air Force S&T program plans and management processes, and reports to AFMC Commander.

**Technical Project Officer (TPO)**—The individual responsible for exercising day-to-day management of all assigned IEA efforts in accordance with the terms and conditions of the IEA and the disclosure guidelines of the USAF-approved DDL and all technical exchanges of R&D information under a DEA/IEA. TPOs assigned to specific DEA/IEAs must possess the technical expertise encompassing the scope of the DEA/IEA. For DEA/IEAs under which the scientific or technical area to be pursued is applicable to several functions or types of weaponry, an Associate Technical Project Officer (ATPO) may perform technical supervision over a specified segment or portion of a DEA/IEA.

**NOTE:** The purpose of this glossary is to help the reader understand terms used in this publication. It is not intended to be complete. Joint Publication 1-02, Department of Defense Dictionary of Military and Associated Terms, 23 March 1994, and AFDD 1-2, Air Force Glossary of Standardized Terms, contains standardized terms and definitions for DoD and Air Force use, respectively.

## Attachment 2

### FORMATS FOR SUMMARY STATEMENT OF INTENT, DELEGATION OF DISCLOSURE AUTHORITY LETTER, CERTIFICATE OF LANGUAGE CONFORMITY AND CERTIFICATION FOR REPORTING TO THE CONGRESS

**A2.1. Summary Statement of Intent for International Armaments Cooperation Agreements.** The Summary Statement of Intent (SSOI) describes the scope and content of a proposed IA. The SSOI provides any reviewer with comprehensive insight into the rationale and specifics of a proposed IA and is a crucial document in the IA development process. The SSOI is the basis upon which OSD provides the proponent with authority to develop and negotiate an IA. It is important to be thorough and accurate in completing the SSOI in order to expedite Service and OSD staffing. SSOIs for amendments to existing IAs will be in an abbreviated format and will address only the proposed changes to the approved, original SSOI and the current status of the program to be amended. The abbreviated SSOI will address, at a minimum, the current status of the program, remaining scope to be accomplished, and an updated financial summary (i.e. funds expended to date and projected funding) together with the justification for the amendment.

#### SUMMARY STATEMENT OF INTENT (SSOI)

#### FOR

#### (NAME OF PROJECT)

#### Header Information:

Short Title of Proposed Project:

DoD Proponent: Department of the Air Force

Country/ies Involved:

#### 1. Overview of International Agreement

a. Project Description: *Briefly describe the project. Be specific as to what the project will deliver.*

*(Note: The breadth of the entire program should be described in this paragraph. If your program is organized and executed by phases, describe the content of each phase. Be brief. Describe the desired outcome and how you plan to achieve it. In general terms, indicate the US role and the role of your partner nation(s). Avoid technical discussions and descriptions. Bear in mind that many of the reviewers are not engineers and do not necessarily have technical backgrounds (e.g., Comptroller, Legal Counsel, and the Departments of State and Commerce) so the description should contain a minimum of acronyms and be easily understood by someone unfamiliar with the program. Introduce all key information in this paragraph. Don't introduce new information later.)*

Is this a "new start effort" or existing US project?

*(Note: If this is a new start effort, state so here and comply with the Congressional notification requirement for a new start effort. If this is an existing US project, explain whether international participation will be in the entire project or will it be in portions of the project. Who is currently performing the work? Are there incumbent contractors?)*

Is there currently a MOU, MOA, or other IA in effect that is applicable to this effort?

*(Note: Cite any precursor IA, including DEAs, that led to the proposed effort. If the proposed project is a follow-on or amendment to an existing MOU, clearly identify it. Note that for PAs you will need to cite the Master agreement (full title and date) and any directly related PAs.)*

b. Project Objectives/ Technological Development: *Briefly describe the project's objectives. For S&T programs, what technological development is to be pursued which is necessary to develop new defense equipment or munitions, or what existing military equipment would be modified to meet US requirements?*

## **2. Operational Requirement**

a. Operational requirement or critical deficiency addressed by this project: *What US operational requirement would this project satisfy? If an operational requirement is not applicable to this project, what critical deficiency or shortfall would this project address? If known, cite applicable documents.*

*(Note: A specific requirements document offers the strongest support. Documented operational (user) deficiencies are acceptable (list document and provide a short description of the deficiency). Referencing Technology Area Plans is also acceptable but has less impact than a requirements document or a documented deficiency.)*

b. Project Objectives: *Briefly describe the project's objectives.*

*(Note: This paragraph should not repeat what has been described in paragraph 1, but should only describe the project objectives or describe what you will achieve upon successful completion of the project. Be original and specific, if it is a database, model or test report--so state. The response should be 3 to 8 sentences. Be clear and brief.)*

c. Estimated project schedule and Initial Operational Capability (IOC): *Provide an estimated schedule for the project, and IOC if applicable.*

*(Note: The schedule can be a table or a list. List the events and the estimated start and stop times (can be quarters such as 3QTR99). Include time for writing a final report and some management reserve time to cover any delays. This schedule should be consistent with your funding profile listed in paragraph 8.)*

## **3. Partner Nation(s)**

a. Partner Nation (s): *Which nations are proposed partners? Which nations have agreed to be partners?*

b. Assessment of foreign interest/commitment: *What is the assessment (and your basis for it) of foreign interest/commitment?*

*(Note: During discussions, visits, and tours of potential partner nation, assess the foreign interest such as: 1) What is their motivation to cooperate with us? 2) Is there an economic reason we should cooperate? 3) Is the project a political interest item? 4) What indication do you have that the partner nation is committed to follow through on the project? The best gauge of foreign interest and commitment is through its budget funding/commitments.)*

c. Description of proposed negotiation strategy and negotiation schedule: *Briefly describe the proposed negotiation strategy and negotiation schedule.*

*(Note: Negotiation strategy is normally prepared by SAF/IAPQ. Critical program schedules, which require that an IA be available for use by a specific date, should be identified in this section. Identify the critical event such as a rocket launch or aircraft modification date.)*

The negotiation schedule should look as follows:

**Table A2.1. For an MOU/MOA**

USAF coordination of RAD package	put in start date
OSD coordination of RAD package	date [3 weeks from USAF coordination date]
RAD Approval	date [3-4 weeks from OSD coordination start]
Finalize IA draft	date [1 week from RAD approval]
Negotiation	Start date [1 to 2 months from RAD approval, plan for at least two sessions, if a complex agreement or multilateral, plan for more.]  [OSD target is to complete negotiations in no more than 9 months]
USAF coordination of RFA & negotiated draft	date [generally 2 weeks after completion of negotiations. The ally(ies) will also be doing national staffing and some changes in the MOU/MOA may have be required]
OSD coordination of RFA package	date [3-4 weeks after start of USAF coordination]
Authority to Conclude	date [4 weeks from start of OSD coordination; if a Sec. 27 agreement, add 65 days for Notification of Congress]
Sign MOU	date [1 week after Authority to Conclude approved]

For a Loan Agreement (LA) or PA (RAD approval by OSD is not required; only 15 day Notification of intent to sign is required)

**Table A2.2. For an LA or PA.**

USAF coordination of RAD package	put in start date
RAD Approval	date [3-4 weeks from USAF coordination start]
Finalize IA draft	date [1 week from RAD approval]
Negotiation	Start date [1 to 2 months from RAD approval, plan for at least two sessions]
USAF coordination of RFA & negotiated draft	date [generally 1 week after completion of negotiations. The ally will also be doing its national staffing and some changes may be required.]
OSD “notification” of RFA package	date [4 weeks after start of USAF coordination]
Authority to Conclude	date [3 weeks from OSD “notification” of RFA package; if a Sec. 27 agreement, add 65 days for Notification of Congress]
Sign PA/LA	date [1 week after Authority to Conclude is approved]

d. Description of required policy guidance variations or variations to OSD pre-approved IA text: *Describe any planned variations from the policy guidance contained in the latest approved version of the IAs Generator ("IA Generator"), and any resulting variations to the OSD pre-approved IA text that are known.*

#### **4. Legal Authority**

Legal authority for proposed agreement: *State the legal authority for the proposed agreement. If AECA Section 27(22 U.S.C. 2767) is not being used, explain why not.*

*(Note: See paragraph 2.3.2 of this Instruction. If AECA Section 27 is NOT cited as the statutory legal authority for the IA, a statement such as the following is required under this paragraph: “The US Air Force is authorized to participate in this research and development project by e.g., 10 U.S.C. 2350a or 10 U.S.C. 2358). It is not essential to conduct the project under AECA Section 27 because the US is not contracting on behalf of a foreign participant nor is a foreign participant contracting on behalf of the US. The US and (name of country(ies)) will contract for and fund their own share(s) of the work.”)*

#### **5. Project Management**

Project organization and management structure: *Briefly describe how the project will be structured and managed.*

*(Note: Describe how your international project will be managed and controlled. This paragraph should address: whether there will be a Steering Committee to provide executive level oversight of the project; whether there will be national PMs and separate project offices or a single PM and a joint project office; and whether Cooperative Program Personnel (CPP) will be assigned to the joint project office. \* For complex, high visibility or high value projects, consider developing methods of oversight to resolve conflicts or disagreements. An organizational chart is not required.)*

\* Participants may elect to place Cooperative Program Personnel (CPP) in the Project Office of another participant. Terms and conditions for CPP assigned to a host nation project office will be set out in an annex to the IA entitled The Assignment of CPP.

## **6. Benefits/Risks to the US**

Benefit/risk assessment:

a. List the advantages and disadvantages of this cooperative project. *Address project timing, developmental and life cycle costs, technology to be shared and obtained, impact on US and foreign military capability, and rationalization, standardization and interoperability (RSI) considerations*

*(Note: This paragraph should include what each country is bringing to the project as their share or contribution (Quid Pro Quo). List project responsibilities; 1) for the US, 2) for the partner nation, 3) joint or combined efforts.)*

b. Indicate whether there are any risks associated with conducting this project as an international cooperative program, and briefly describe how these risks are to be managed.

*(Note: These risks are program risks, such as milestone slippage, funding shortfalls, etc. that may result from going with a cooperative, not a national, program.)*

c. Is a similar project currently in development or production in the US or an allied nation? If so, could that project satisfy or be modified in scope to satisfy the US requirement?

## **7. Potential Industrial Base Impact**

a. Description of potential industrial base impact: *Briefly describe the potential industrial base impact.*

*(Note: Identify how US industry may benefit from the proposed effort and identify (if known) which contractors will be competing/benefiting. Address the potential impact transferring R&D information or technological capabilities to foreign industry or government could have on US competitiveness.)*

b. Workshare arrangements, requests for offsets, or offshore production: *Do you anticipate workshare arrangements, requests for offsets, or offshore production of items restricted to procurement in US? Are you aware of any key parts or components with a single source of production?*

*(Note: Offsets are commercial and/or industrial compensation required as a condition of a sale of a defense article or participation in a cooperative program. The President's policy prohibits the US government from participating in offset arrangements.)*

c. Government facilities and/or contractor participation: *What US Government facilities and/or contractors would be likely to participate in this cooperative effort? Will there be any significant effects (pro or con) on any US companies or US industrial sector(s)?*

*(Note: List the government laboratory facilities and any test facilities or test ranges that will be used. This paragraph should only mention significant effects, not those, which are inconsequential.)*

## **8. Funding Availability and Requirements**

a. Total estimated cost of the IA: *List the total estimated cost of the IA.*

*(Note: This estimate is the sum of total estimated costs from all participating nations. Estimated costs for the US should include civilian pay and benefits, equipment purchased to support the agreement, cost of running test facilities, cost of contracts, and TDY expenses. Estimates should also include all costs to the*

US Government even if not paid from a Program Element (PE) managed by the laboratory or center. For example, jet fuel is centrally funded in the Air Force; therefore, the laboratory does not normally pay cost of fuel for an engine test. In this example, fuel costs should be included in the estimated cost of the agreement and identified in the 'Non-Financial Contributions' line of the funding profile.)

- b. Cost shares of each participant: *List the cost shares of each participant separately.*
- c. Description and estimated value of non-financial contributions: *List the dollar value (and description) of any non-financial contribution included in the cost shares. USG salaries are generally considered non-financial contributions (PE should be cited, if available). The estimated value of each element of non-financial contribution by each of the participants must be documented in detail, reviewed by the USAF proponent's financial management organization, and available if requested.*

*(Note: This includes items such as major test equipment, use of test ranges, use of military transportation, historical (sunk) costs such as cost of prior research and building of research and/or test facilities, overhead costs, administrative costs, costs of defense articles, defense services, and Background Information contributed to the program, etc.)*

- d. Non-equitable financial justification or commensurate share of anticipated benefits: *If the proposed IA is not equitable on a financial basis, justify on a program basis (show relative benefit to the DoD). An equitable agreement is defined as one in which a participant's share of contributions to an agreement is commensurate with that participant's share of anticipated benefits from the agreement.*

*(Note: Clearly state here why the proposed IA is considered equitable to the US on an overall financial and nonfinancial basis. AECA Section 27 requires that the US and each of the other participants will contribute to a cooperative project an "equitable" share of the full costs of such project. OSD has implemented policy to extend this requirement to all International Armaments Cooperation projects. Methodologies for the determination of program equitableness are contained in Volume 12, Chapter 9, pages 9-8 to 9-10 of the DoD Financial Management Regulation, DoD 7000.14R, available at <http://www.dtic.mil/comptroller/fmr>)*

- e. Funding estimates (current FY and following FYs): *List the project's estimated costs by fiscal year, appropriation, and program element. Indicate if these costs have been, or will be, approved in the budget and are available for use. List other participants' estimated costs by fiscal year.*

<b>Funding Source</b>	<b>FYxx</b>	<b>FYxx</b>	<b>FYxx</b>	<b>FYxx</b>	<b>FYxx</b>	<b>TOTAL</b>
<b>US Financial Costs</b>						
PE XXXXXX	xx	xx	xx	xx	xx	xx
PE XXXXXX	xx	xx	xx	xx	xx	xx
<b>US Financial Total Costs</b>	xx	xx	xx	xx	xx	xx
<b>US Non-Financial Contribution</b>						

<b>Funding Source</b>	<b>FYxx</b>	<b>FYxx</b>	<b>FYxx</b>	<b>FYxx</b>	<b>FYxx</b>	<b>TOTAL</b>
PE XXXXXX (USG Salaries)	xx	xx	xx	xx	xx	xx
Other US Non-Financial Contribution	xx	xx	xx	xx	xx	xx
<b>US Non-Financial Total Contribution</b>	xx	xx	xx	xx	xx	xx
<b>US Total Contribution</b>	xx	xx	xx	xx	xx	xx
<b>Partner(s) Financial Costs</b>	xx	xx	xx	xx	xx	xx
<b>Partner(s) Non-Financial Contribution</b>	xx	xx	xx	xx	xx	xx
<b>Partner Total Contribution</b>	xx	xx	xx	xx	xx	xx
<b>Total Project Value</b>	xx	xx	xx	xx	xx	xx

f. Assessment of potential follow-on acquisition: *If applicable, outline the likelihood of follow-on research or acquisition and the proponent's commitment to fund such follow-on action.*

## 9. **Procurement**

a. DoD contracting: *Will US DoD participation in the project involve contracting? If so, what agency will perform the contracting, and for what part of the project work?*

*(Note: Also describe the contractor part of project work in terms of percentage of total work (e.g. 65%). Do not include in-house support contractors as part of DoD contracting.)*

b. Other contracting: *Will a participant other than DoD perform contracting? If so, which participants and for what part of the project work?*

*(Note: This item refers to the foreign government participants. If the information is not available, so indicate.)*

c. Competitive contracting: *Will US or contracting or contracting on behalf of the US be done on a competitive basis? If not, what justification will be used?*

*(Note: If contracting is not on a competitive basis, state under what exception to free and open competition the USAF will award the project contract. An IA provides sufficient justification for an exception to the US Competition in Contracting Act. (See the local contracting or procurement office for assistance))*

## **10. Information Security and Technology Transfer Issues**

a. Products and/or Technologies: *Briefly identify the products and/or technologies involved in the program and their National Disclosure Policy Committee (NDPC) category and classification. The Militarily Critical Technologies List (MCTL) may be used as a guide. Consult with your local disclosure authority.*

(1). Applicable Militarily Critical Technologies. *(Note: List critical technologies applicable to your project.)*

(2). Products. *(Note: List the product/s resulting from the project (brassboard buildup, Modeling/Simulation code, Test data and reports, Interface specifications, Demonstrator, Test reports.)*

(3). NDPC Category: *(Note: Normally Category 3 (Applied Research & Development Information & Material) will be used for R&D Projects.)*

(4). Classification Level of Project: *(Note: Refers to the data, information or technology exchanged or protection given to the project. It will be SECRET, CONFIDENTIAL, OR UNCLASSIFIED.)*

b. Exception To National Disclosure Policy requirement: *Is an exception required to the National Disclosure Policy? If so, provide required date of approval or date that a request will be submitted to the NDPC.*

c. Foreign availability of comparable systems and technologies; other sharing mechanisms for this technology: *If known, describe the foreign availability of comparable systems and technologies and whether the US technology has been shared through other programs, e.g., FMS, DEA, etc.*

d. Risk of compromise / potential damage to US military capabilities or technologies: *Briefly describe the risk of compromise of classified and export-controlled technology and/or products and the potential damage to the US military capabilities or technological advantages in the event of such compromise (e.g., negating primary US technological advantage(s), revealing US system weaknesses, development of countermeasures, susceptibility to reverse engineering).*

e. Minimization of risk / discussion of release issues: *Identify any measures proposed to minimize the potential risks and/or minimize any damage that might occur due to loss, diversions, or compromise of sensitive classified or unclassified controlled data or hardware. Specify NDPC categories involved, where applicable. Include any phased release of information designed to ensure that information is disseminated only when and to the extent required to conduct the program; restrictions on release of specific information (including classification, description, and disclosure methods); release of components, software or information in modified form (e.g., export versions, exclusion of design rationale and deletion of data on weapons not sold to the participant); and special security procedures (both government and industrial) to control access to restricted material and information.*

## **11. Proponent's Points of Contact**

Identification Information:

Name:

Office Symbol:

Organization Address:

Telephone (DSN and Commercial):

Fax (DSN and Commercial):

E-mail address:

*(Note: Assure that this POC or an alternate is available to answer any questions from reviewing offices during the Request for Authority to Develop (RAD) review period.)*

## **A2.2. Format for Delegation of Disclosure Authority Letter.**

### **DELEGATION OF DISCLOSURE AUTHORITY LETTER**

**Delegation No. - (Country)**

**(Title of Project)**

1. Classification. *Identify the highest classification of information and/or material to be disclosed.*
2. Disclosure Methods. *Describe the methods of disclosure (oral, visual, and/or documentary, etc.). If documentary access is permitted, control procedures must be described in paragraph 7.*
3. Categories Permitted. *Specify the NDP categories of information and/or material to be disclosed and/or released.*
4. Scope. *Specify who is authorized to release classified material or information and to whom disclosure is authorized.*
5. Authorized for Release and/or Disclosure. *Provide a specific description of the information, material, and documents to which access can be permitted. Also specify any conditions or limitations to be imposed (e.g., time-phasing of release; allowable forms for software; identification of items releasable only as finished, tested assemblies; etc.).*
6. Not Authorized for Release and/or Disclosure. *Provide a specific description of the information, material, and documents (or portions thereof) to which access is not permitted. Also specify any conditions or limitations to be imposed.*
7. Release Procedures. *Specify review and release procedures for information that is not covered by the DDL, and describe controls and special security procedures (e.g., badges, briefings, etc.) or protective measures established to limit access to information and controlled areas.*
8. Redelegation. *Specify the extent of redelegation of authority (if any) permitted to subordinate activities.*

## **A2.3. Certificate of Language Conformity.**

### **CERTIFICATE OF LANGUAGE CONFORMITY FOR (TITLE OF PROJECT)**

1. The English and (foreign language) versions of the (Full Title of Project) were reviewed for compatibility.
2. I hereby certify that both texts are in conformity with each other and have the same meaning in all substantive respects.

---

(Signature of Reviewing Official)

---

(Signature and Title of Language Officer)

Date: \_\_\_\_\_

#### **A2.4. Certification for Reporting to the Congress**

A2.4.1. As required under Section 27 of the AECA (22 U.S.C. 2767) and Section 2350a(f) of title 10, United States Code for friendly foreign countries, the DoD must submit to the Speaker of the House of Representatives and to the Chairs of the Committees on Foreign Relations and Armed Services of the Senate a numbered certification or report on the proposed cooperative agreement. SAF/IAPQ must provide USAF inputs to the certification, which must include the following:

1. A description of the proposed cooperative project.
2. An estimate of the quantity of defense articles expected to be produced under the project.
3. An estimate of the project's full cost, setting forth the cost to the US Government (including the cost resulting from waivers) and the cost to the other participants. (Full costs will include overhead and administrative costs.)
4. An estimate of the dollar value of the funds to be contributed by the US and each of the other participants.
5. A description of the defense articles and services expected to be contributed by the US and each of the other participants.
6. A statement of the foreign policy and national security benefits anticipated to be derived from the cooperative project.
7. Whether and to what extent the prime contracts and subcontracts will be awarded to particular prime contractors or subcontractors in compliance with the proposed agreement.
8. Classification Level of Project: (SECRET, CONFIDENTIAL, or UNCLASSIFIED).
9. Whether an exception to National Disclosure Policy is required. If so, provide the date of approval, date of expected approval, or the date that a request will be submitted to the NDPC.

### Attachment 3

## INSTRUCTIONS AND FORMATS FOR AIR FORCE INFORMATION EXCHANGE PROGRAM DOCUMENTS (IEA, DDL, QPQ)

### A3.1. Instructions for Preparing an Information Exchange Annex (IEA) and Supporting Documents.

#### A3.1.1. The IEA Project Description.

A3.1.1.1. Paragraph 1.a. of the IEA will define the scope of the IEA, including a description of the specific functional or technical area to which the IEA applies.

#### A3.1.2. The IEA Authorities and Establishments.

A3.1.2.1. Only Authorities are authorized to initiate correspondence regarding information exchanges.

A3.1.2.1.1. The Technical Project Officer (TPO) and any Associate Technical Project Officer (ATPOs) will be listed by name, organization, office symbol, commercial telephone/DSN number, and e-mail address.

A3.1.2.1.2. The USAF Liaison Officer, Chief of the Office of Defense Cooperation (ODC), or military attaché in-country, will be listed if no USAF Liaison Officer or Chief of the ODC is assigned.

A3.1.2.2. Establishments will be listed under subparagraph 2.a.(5) of the IEA for the foreign government and subparagraph 2.b.(5) for the US. Establishments may be any agency selected to participate in the IEA. The US Establishments will be selected on the basis of work accomplished relevant to the IEA. There is no limit to the number of Establishments that may be recommended for inclusion -- four to six is typical. When listing Establishments, include the full name and address of the installations, agencies, or contractors who will participate in the IEA.

A3.1.2.3. The correspondence under an IEA will be transmitted by the TPO through the channels prescribed in the pertinent master agreement.

A3.1.3. **Security Classification.** Paragraph 3.a. of the IEA will indicate the highest level of security classification authorized.

A3.1.4. **Format of an IEA.** All proposed IEAs will be submitted to SAF/IAPQ in the format shown in [Attachment 3](#), Paragraph [3.2](#).

#### A3.1.5. Supporting Documents for an IEA.

A3.1.5.1. **The DDL.** Each IEA proposal will include a DDL prepared by the Command Foreign Disclosure Office (FDO) in conjunction with the local foreign disclosure offices. The DDL will provide disclosure guidance and list information restricted from release to the foreign government. Disclosure authority must be obtained in advance for each action under an IEA through an approved DDL. The format for a DDL is in [Attachment 2](#).

A3.1.5.2. **Quid-Pro-Quo (QPQ) Analysis.** Each IEA proposal will also include a detailed QPQ analysis prepared by the TPO, describing the net benefits to be gained by the US under the IEA. The QPQ analysis must be submitted to SAF/IAPQ with POC information including telephone

number and office symbol, and the date the analysis was accomplished. It will include a description of:

A3.1.5.2.1. An introduction briefly summarizing the purpose of the proposed IEA and include specific areas of information to be exchanged.

A3.1.5.2.2. The perceived US needs to be satisfied by the exchange.

A3.1.5.2.3. The scientific or technological benefits to be gained by USAF participation in the IEA.

A3.1.5.2.4. The cost avoidance to be realized by the US.

A3.1.5.2.5. How the exchange will contribute to standardization or interoperability.

A3.1.5.2.6. Expected follow-on programs or projects.

A3.1.5.3. **Information Exchange Objectives (optional).** Initial information exchange objectives may be used by the TPOs, as appropriate, to discuss specific areas of interest to be pursued over a 12 month period.

### A3.2. Format for a new IEA.

#### S A M P L E

INFORMATION EXCHANGE ANNEX

COUNTRY-US

CONCERNING

( Title of the MIEA )

(IEA-AF-FY-AA-0000)

**(fiscal year/alphabetic - country code/4-digit code)**

In accordance with the (Use MIEA title for that specific country) between the Ministry of Defense of Country and the Department of Defense of the United States of America, signed date, the following Information Exchange Annex (IEA) is hereby established.

#### 1. DESCRIPTION.

a. The scope of the IEA comprises an exchange of R&D Information in the following areas. (Information to be exchanged will include concepts, techniques, methodologies and reports.)

1.

2.

3.

b. Exchanges of R&D information under this IEA shall be on a reciprocal, balanced basis such that the R&D information exchanged between the Parties shall be of approximately equivalent value, quantitatively and qualitatively, in accordance with Article (Objective and Scope) of the MIEA.

c. All R&D Information exchanges under this IEA shall conform with the provisions of the MIEA, including the prohibitions against exchange of weapon, sensor or related system computer software docu-

mentation, exchange of production information, and exchange or provision of defense articles or services contained in Article (Objective and Scope) of the MIEA.

d. Correspondence and requests for R&D information shall be handled in accordance with Article (Channels of Communication and Visits) and Article (Security) of the MIEA.

e. The IEA provides no authority for placing contracts in accordance with Article \_\_ (Contractual Arrangements) of the MIEA.

f. R&D Information shall not be used by the receiving Party for any purpose other than the purpose for which it was furnished without the specific prior written consent of the originating Party in accordance with Article (Disclosure and Use of R&D Information) of the MIEA. Unless specifically permitted under the provisions of paragraph 4 below, R&D information exchanged under this IEA is to be used by the receiving Party's government employees solely for information and evaluation purposes by their defense establishments.

**2. ANNEX AUTHORITIES, TECHNICAL PROJECT OFFICERS, LIAISON OFFICERS, AND ESTABLISHMENTS:**

**a. For Country:**

(1) Annex Authority:

\_\_\_\_\_.

(2) Technical Project Officer:

\_\_\_\_\_.

(3) Associate Technical Project Officer(s) (as appropriate):

\_\_\_\_\_.

\_\_\_\_\_.

(4) Liaison Officer(s) (as appropriate):

\_\_\_\_\_.

\_\_\_\_\_.

(5) Establishment(s):

\_\_\_\_\_.

\_\_\_\_\_.

**b. For the US:**

(1) Annex Authority:

Deputy Under Secretary of the Air Force  
(International Affairs)  
1080 Air Force Pentagon  
Washington DC 20330-1080

- (2) Technical Project Officer:  
\_\_\_\_\_.
- (3) Associate Technical Project Officer(s) (as appropriate):  
\_\_\_\_\_  
\_\_\_\_\_.
- (4) Liaison Officer(s) (as appropriate):  
\_\_\_\_\_  
\_\_\_\_\_.
- (5) Establishment(s):  
\_\_\_\_\_  
\_\_\_\_\_.

### 3. SECURITY AND INFORMATION CONTROL:

- a. The highest classification of R&D Information which may be exchanged under this IEA is \_\_\_\_\_ (UNCLASSIFIED / CONFIDENTIAL / SECRET)
- b. All R&D Information exchanges under this IEA will conform to the security and information control provisions of the MIEA including Article \_ (Controlled Unclassified Information), Article \_ (Security), and Article \_ (Third Party Transfers).
- c. Annual R&D information objectives may be specified, if appropriate. These objectives may be established through exchange of correspondence by the TPOs and will be revised annually by the TPOs to reflect current technology considerations.

### 4. SPECIAL DISCLOSURE AND USE OF SCIENTIFIC AND TECHNICAL INFORMATION PROVISIONS:

### 5. FINANCIAL RESPONSIBILITIES:

Each Party shall be responsible for its own costs in the performance of this IEA in accordance with Article \_ (Financial Arrangements) of the MIEA unless US/ Latin American cooperation funding is available.

### 6. TERMINATION AND DURATION OF THIS IEA:

- a. This IEA may be terminated at any time by the written agreement of both Annex Authorities, who shall consult at the appropriate level prior to the date of termination to ensure termination on the most equitable terms. In the event a Party's Annex Authority finds it necessary to unilaterally terminate its participation in this IEA, it may terminate upon 60 days written notification to the other Party's Annex Authority. Termination of this IEA shall be subject to the provisions of Article \_ (Amendment, Termination, Entry Into Force, and Duration) of the MIEA.
- b. This IEA shall remain in force for a period of five (5) years from the date of the last signature unless amended or extended by mutual written consent. Before the expiration of this

IEA, the Annex Authorities shall review the IEA and may, by mutual written consent, extend the IEA for additional periods of up to five years.

FOR THE DEPARTMENT OF DEFENSE  
OF THE UNITED STATES OF AMERICA

FOR THE MINISTRY OF  
DEFENCE OF Country

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

\_\_\_\_\_  
Location

\_\_\_\_\_  
Location

### **A3.3. Instructions for Preparing a new Data Exchange Annex (DEA under an existing Master Data Exchange Agreement.**

#### **A3.3.1. The DEA Project Description and Classification.**

A3.3.1.1. Paragraph 1.a of the DEA will define the scope of the DEA, including a description of the specific functional or technical area to which the DEA applies.

A3.3.1.2. Paragraph 1.b of the DEA will indicate the level of security classification authorized.

#### **A3.3.2. The DEA Establishments and Authorities.**

A3.3.2.1. Establishments will be listed under subparagraph 2.a.(1) of the DEA for the US and subparagraph 2.b.(1) for the foreign government. Establishments may be any agency selected to participate in the DEA. For US Establishments selection, see paragraph [A3.1.2.2.](#) in this Attachment.

A3.3.2.2. Authorities will be listed under subparagraph 2.a.(2) for the US and subparagraph 2.b.(2) for the foreign government. Only Authorities are authorized to initiate correspondence regarding data exchanges. At least the following Authorities must be listed in a DEA for the US:

A3.3.2.2.1. The USAF liaison officers, Chief of the ODC, or military attaché in-country, if no USAF liaison officer or Chief of the ODC is assigned.

A3.3.2.2.2. The TPO and any ATPOs, listed by name, organization, office symbol, and commercial telephone number.

A3.3.2.3. All correspondence under a DEA will be transmitted by the TPO through the channels prescribed in the pertinent master agreement.

A3.3.3. **Format of a DEA.** All proposed DEAs will be submitted to SAF/IAPQ in the format shown in [Attachment 3](#), Paragraph [3.4](#).

**A3.3.4. Supporting documents for a DEA.**A3.3.4.1. The DDL (Paragraph 3.1.5.1).A3.3.4.2. QPQ Analysis (Paragraph 3.1.5.2).**A3.4. Format for a new DEA under an existing Master Data Exchange Agreement.****(CLASSIFICATION)****ANNEX NO. DEA-AF-FY-XX-XXXX**

(fiscal year/alphanumeric - country code/4-digit)

**TO THE****MASTER DATA EXCHANGE AGREEMENT****BETWEEN****THE UNITED STATES DEPARTMENT OF DEFENSE****AND****THE MINISTRY OF DEFENSE OF****(TITLE OF ANNEX)**

Pursuant to the provisions of the Mutual Weapons Development Master Data Exchange Agreement between the United States Department of Defense and The Government of Country Ministry of Defense, signed date, hereby establish the following data exchange annex:

**1. PROJECT DESCRIPTION AND CLASSIFICATION**

- a. Scope. This Annex provides for the exchange of research, development, test, and evaluation information of mutual interest on: (Provide enough detail for appropriate evaluation of merits and risks.)
- b. Highest classification of data to be exchanged: UNCLASSIFIED, CONFIDENTIAL, or SECRET.

**2. ESTABLISHMENTS AND AUTHORITIES CONCERNED****a. For the US****(1) Establishments**

(a)

(b)

**(2) Authorities**

(a) (The USAF liaison officers, ODC or attaché in-government)

(b) (The TPO and ATPOs, if any)

**b. For the Government of \_\_\_\_\_ Country****(1) Establishments**

(a)

- (b)
- (2) Authorities
- (a)
- (b)

3. Only those Authorities listed in subparagraphs 2.a.(2) and 2.b.(2) herein are authorized to initiate correspondence. Such correspondence will be transmitted through the Project Officer (Project Implementation Authority) channel, a prescribed in Article \_\_\_ of the Master Data Exchange Agreement.

4. Each participant will be responsible for its own costs in the performance of this Annex. Each participant's commitment to performance is subject to the availability of funds.

5. No commitment is implied herein to furnish any manufacturing or production data or software development know-how, transfer any production rights involved in this information, or require exchange of information whose dissemination is restricted by agreements with governments not signatory to this agreement. The data provided will be safeguarded and will not be further disseminated without prior written approval.

IN WITNESS WHEREOF, the parties hereto have executed this Annex No. (fill in number) to the Mutual Weapons Development Master Data Exchange Agreement between the Government of the United States of America and The Government of Country, effective on the date of the latter signature below.

FOR THE GOVERNMENT OF  
COUNTRY  
 Ministry of Defense

FOR THE GOVERNMENT OF THE  
 UNITED STATES OF AMERICA  
 Department of Defense

\_\_\_\_\_  
 (Title)

\_\_\_\_\_  
 (Title)

## Attachment 4

### FOREIGN COMPARATIVE TESTING PROGRAM – HOW TO FILL OUT THE FCT PROPOSAL

**A4.1.** The most recent version of the FCT proposal format and a sample FCT proposal can be found on the USAF FCT web site (<http://www.acq.osd.mil/sts/fct/forms.htm>) or in the FCT Handbook. The version included here is for illustrative purposes only.

**A4.2. Project Name, Description, Funding, and Sponsor Information.** Provide a short descriptive title; do not use a vendor's product name. Describe the hardware, software, and/or technology; intended or actual military use and value; operational use by both the country of origin and other allies or friendly countries; and any foreign government, contractor, and/or DoD Component involved, with its cost burden (if any). Identify whether the equipment or system under consideration would represent a new capability or replace a current equipment or system. Include FCT funding requested by fiscal year. Provide sponsoring organization and project manager contact information. The e-mail address and telephone number (Commercial and DSN) of the project manager is mandatory. A photograph is required.

**A4.3. Proposal Information.** Indicate the FCT category of the proposed project (test to procure or technical assessment) and the proposal type (new start, continuing, draft, final, etc.).

**A4.4. Integrated Product Team (IPT) Information.** Include all e-mail addresses, commercial and fax telephone numbers. E-mail should be the medium of choice to communicate project status and issues with the IPT including SAF/IAPQ and OSD.

**A4.5. Requirement.** Identify the existing requirement that could be satisfied by the system, equipment, or technology. Cite the requirement's title, number, date signed, and signed by in the proposal. Technical assessment projects may not have an approved DoD Component requirement. Therefore, address in this section the direct military utility of the technology to be assessed, and to what military need it may be applied.

**A4.6. User Advocacy and Joint Coordination Information.** Provide contact information of the most senior user advocate for the project. Attach scanned letters of support as appropriate. Address the project's applicability to other DoD Components and their interest in and support for the project. Coordination with United States Special Operations Command (USSOCOM) and the other Services for joint interest consideration is required. If joint interest exists, address the method to agree on a common set of requirements to be satisfied.

**A4.7. Market Investigation.** Describe how the investigation was conducted and summarize its results. Address the existence of any US inventory hardware that fulfills, in whole or part, the requirement; whether the candidate test item is an alternative to a US system in development or could offer a significant cost, schedule, or performance advantage over an existing US system. Identify the status of the foreign candidate item's development (in US acquisition terms--for example, beyond Milestone II); and the status of any corresponding US development and/or technology. A Request for Information (RFI) or Sources Sought in the Federal Business Opportunities (FedBizOpps) is a congressional requirement. Recommend

publishing this prior to draft proposal submission soliciting both foreign and domestic sources and describing the information desired.

**A4.8. Cost Benefit and Savings Estimate.** Describe the benefits of conducting the FCT. Benefits should include specifics such as cost savings or avoidance, early fielding to satisfy urgent requirements, increased performance, or intangibles such as potential lives saved, competition to existing sole source suppliers, etc. Describe the rationale for cost savings or cost avoidance projections.

**A4.9. Integration.** Describe modifications or adaptation required before the foreign item(s) can be tested or fielded within the DoD. This should also include modification of Air Force doctrine, tactics, and software.

**A4.10. Acquisition Strategy. Loan, Lease or Procurement.** If the test article is to be procured, recommend a sole source contract with production options or indefinite quantities. The acquisition plan should include the article(s) being tested and any fielded equipment. A viable process is to specifically identify a decision point in an ongoing acquisition program where the FCT Program test article may be effectively compared to other approaches to meet the requirement. Procurement of FCT Program-tested equipment must be compliant with US acquisition and applicable policies. Small procurements, such as specialized laboratory test equipment, meet the general FCT “test for procurement” criteria. In addition, the following will be specifically addressed, point-by-point:

A4.10.1. Preliminary estimate of the initial and potential quantities of a new item of equipment that would be procured to satisfy the Component's requirement.

A4.10.2. The PEs and applicable line items, if available, that would fund the acquisition. Indicate by fiscal year whether or not the PE is funded for the years in which procurement would occur. If procurement funding has not been identified, indicate what actions have been, or are being, taken to rectify the situation. OSD will check these PEs to determine USAF commitment.

A4.10.3. Any other non-developmental items under test and all known R&D programs underway to address the same requirement.

A4.10.4. Factors, if any, that would mandate subsequent production of FCT tested items, regardless of origin, in the US or Canada. Identification of potential teaming or licensing arrangements for such production.

A4.10.5. Follow-on logistical support for the system's projected operational life.

**NOTE:** Technical assessment projects probably will not have a defined acquisition strategy; e.g., the purpose of the evaluation may be the acquisition of the evaluation data itself. Therefore, this paragraph should discuss how the evaluated technology will be inserted into current acquisition or development programs.

**A4.11. Contracts Funded with FCT Money.** Describe all anticipated foreign contracts or other procurement methods (type, amount, award date, duration, etc.) used to implement the FCT project with foreign and domestic companies. Note: FCT funds will not be used to acquire or test competing US items.

**A4.12. Sponsor RDT&E Contribution.** List by fiscal year, the sponsoring organization contributing funds to execute the proposed FCT project. This could include TDY funds, funding for test articles, and

management or administrative support costs. If there is a US product competing to satisfy the sponsor's requirement or there is a likelihood that a US product will compete in the sponsor's procurement phase after the FCT is completed, provide PEM contact information and planned funding for the test and evaluation of US item(s).

**A4.13. Test and Evaluation (T&E).** This section consists of three parts, as follows:

A4.13.1. **Foreign T&E Data.** Describe the type, quantity, and availability of test and operational data generated by the sponsoring country and/or company. Comment on the applicability of the data to US T&E requirements and the acceptability of such data to DoD Component test planners.

A4.13.2. **T&E Description.** Identify the DoD T&E organization(s) that will lead the test effort. Describe, in general terms, the test methodology to be used. Include an estimate of the length of the test period, the quantity and cost (purchase or lease) of test articles required, the types of tests to be conducted, test locations, critical issues and the approach to resolve them, and any major testing constraints. Identify any factors that may affect US willingness to provide test results to the foreign country or manufacturer supplying the equipment.

A4.13.3. **T&E Plan.** Prepare and submit to the OSD FCT PM an outline of the T&E plan. A more detailed description of test activities may also be required upon OSD approval of the project. Finally, a copy of the approved test plan to be executed by the applicable T&E organization of the sponsoring DoD Component will be forwarded to the OSD FCT PM, at least 30 days before the start of testing.

**A4.14. Issues.** Provide detailed description of all issues. Examples include political impacts, Congressional interest, US production base concerns, past performance, "Buy America" acts, and offset arrangements. When classified information or material is likely to be involved, as a minimum, the following information must be discussed: Classification level and unclassified description of US information involved, foreign classified information required, the sensitivity of the data, classification level and/or sensitivity of US test results, visit and/or access requirements, user requirements, relevant security agreements and/or provisions, control requirements, and technical data transfer issues, either US to foreign or foreign to US. If a security classification guide exists for describing the test article, identify the source including POC and Telephone number to obtain a copy should it be required.

**A4.15. Electronic Attachments.** List scanned attachments here. Mandatory attachments include: Project Chart, Item Picture and Federal Business Opportunities Announcement.

## Attachment 5

### FORMATS FOR USAF ENGINEER AND SCIENTIST EXCHANGE PROGRAM (ESEP) DOCUMENTS (PD, EVA, SP, DDL)

**A5.1. Certification of Conditions and Responsibilities.** Each participant will be fully advised of the applicable security statutes and regulations of the host government. The government of the participating engineer or scientist will obtain a written certification from the participant in the format prescribed either in the country specific MOU or DoDD 5230.20, Visits and Assignments of Foreign Representative. A signed original will be promptly delivered to the government.

**A5.2. Commitment Regarding Inventions and Technical Information.** The government of the participation engineer or scientist will obtain a written commitment from the participant in the format prescribed in the country specific MOU regarding right to inventions and technical information. A signed original will be promptly delivered to the host government.

#### **A5.3. The Engineer and Scientist Exchange Program (ESEP) Position Description (PD) Format and Instructions.**

A5.3.1. Purpose: The PD is sent to the ESEP applicant via the sponsoring government. This allows the foreign government to confirm the proposed position conforms to the ESEP international agreement. It also allows the applicant to determine if the intended assignment is one that will foster their career objectives and personnel interests.

A5.3.2. Format and Instructions: This format contains the minimum topics for the PD. Consider the applicant's resume and career broadening objectives, the goals/objectives you want them to accomplish, and the tasks they will need to perform to meet your goals/objective. These efforts and tasks make up paragraph 3 of the PD.

#### **POSITION DESCRIPTION**

1. **POSITION TITLE:** Self-explanatory
2. **POSITION LOCATION:** Self-explanatory, but with full details e.g., building and room numbers
3. **DESCRIPTION OF DUTIES:** These are the actual efforts/tasks of the ESEP participant to accomplish a part of the overall RDT&E effort. The description of the efforts/tasks will contain sufficient detail to convey what will be worked on, types of test conducted, materials used, technologies used/studied etc.
4. **QUALIFICATIONS REQUIRED FOR POSITION:** Design the requirements from the proposed participant's resume. If the proposed participant does not meet your requirements, no PD is required and assignment of the proposed participant should not be pursued.
5. **SUPERVISOR:** Provide the name, office symbol, phone number (both commercial and DSN), facsimile number, and email address.
6. **SECURITY ASSURANCE STATEMENT:** A national security assurance is to be provided based on the US- {Country Name} Engineer and Scientist Exchange Program international agreement. (Under this program a foreign national will not be given or have a security clearance issued by the US

Government. The goal is to have the foreign government assure the US Government that the applicant is of good stature and does not constitute security risk.)

#### **A5.4. The ESEP Extended Visit Authorization (EVA) Format and Instructions.**

A5.4.1. Purpose: The EVA establishes the position limitations, level of security classification approved, travel limitations, document(s) controls, organization(s) certified for approved visits, detailed description of ESEP participant's authorized work location(s), and areas requiring escort. The EVA is not shared with the ESEP participant. The EVA may be approved by the local FDO up to the UNCLASSIFIED (CUMI) level.

A5.4.2. Format and Instructions: This format contains the minimum topics for the EVA.

#### **EXTENDED VISIT AUTHORIZATION (EVA)**

- 1. Engineer and Scientist Exchange Officer:** *(Full name, rank or grade, and country of the applicant)*
- 2. Location of Visit:** *(This will be the location the applicant will spend the majority of their normal duty day. Complete mailing address to include building number and room numbers. Or any other comment to clarify the location.)*
  - a. Established:** *(The projected month and year)*
  - b. Expires:** *(The projected month and year)*
- 3. Point of Contact:** *(This is the applicant's supervisor as identified in the PD. This person is responsible for compliance with the DoD and AF instructions supporting the ESEP.)*
- 4. Position Description:**
  - a. Duty Title:** *(Same title as provided in the PD)*
  - b. Description of Duties:** *(The same as stated in the PD)*
- 5. Purpose:** *(The goals/objectives of this E&S research/development effort.)*
- 6. Additional Guidance and Restrictions:**
  - a. Highest level of classified information authorized:** *(You must consider the highest level of information access needed to accomplish the applicant's RDT&E work. This is oral or visual disclosure of information. If the information is "nice to know" or of the "might need" nature, then it will not be considered.)*

*(Classification levels: PUBLIC DOMAIN: access is limited to solely to that military related information which has been reviewed by a USAF or other DoD Public Affairs office and has been subjected to a security review whereby a distribution "A" statement has been properly authorized. Other non-military related information that is available in the "public domain" such as public libraries, newspapers, magazines, etc. is also authorized. UNCLASSIFIED: access to unclassified information in accordance with Multination ESEP DDL. CONFIDENTIAL and SECRET: requires development and approval of a specific DDL for the position.)*
  - b. Justification:** *(Not applicable for PUBLIC DOMAIN level of information. For UNCLASSIFIED through SECRET you need to explain the applicant's "Need To Know" for the proposed level of access. ("To accomplish the RDT&E work" is an unacceptable justification – more details are needed.)*
  - c. Method of Disclosure:** *Oral and visual. (These are your only options.)*

**d. Other:** *(The following sub paragraphs contain information not normally found in other supporting documents e.g., the DDL or Security Plan. They may contain information unique to your organization, clarifying events, processes, office procedures etc. The below paragraphs are samples of information to be considered not meant to be either a mandatory or a complete listing of topics to consider.)*

- (1) The ESEP participant will not participate in meetings involving personnel or program funding decisions.
- (2) The ESEP participant will not be assigned as a team leader and will not be responsible for contractual matters.
- (3) The ESEP participant will not be visiting other government installations, with the exception of the Air Force Institute of Technology. The ESEP participant will be working with and visiting local universities that are engaged in related research.
- (4) The ESEP participant will be invited to attend reviews and technical interchange meetings of related public domain research and development.
- (5) The ESEP participant will have access to the following general categories of information.
  - (5.1) Public domain and Unclassified conference, workshop, and journal technical papers in the chosen application area.
  - (5.2) Public domain and Unclassified algorithms for the chosen application to be mapped to the re-configurable computer.
  - (5.3) Public domain and Unclassified section of the AFRL Technical Library.
  - (5.4) Public domain and Unclassified reference manuals, user guides, and tutorials for: hardware description language simulators, re-configurable computer programming tools, and re-configurable computer boards.
  - (5.5) Access to a stand-alone workstation with re-configurable computer.
  - (5.6) ESEP participant may be invited to public domain and Unclassified, non-restricted research project reviews and technical interchange meetings related to his area of expertise.

**THE INFORMATION CONTAINED IN THIS EVA IS NOT RELEASABLE TO FOREIGN NATIONALS OR THEIR REPRESENTATIVES**

**COPY OF EVA AND SECURITY PLAN WILL BE PROVIDED TO THE OSI AND BASE SECURITY**

**(THIS WILL BE ACCOMPLISHED BY THE LOCAL FDO)**

_____	_____	_____	_____
<b>SUPERVISOR</b>	<b>DATE</b>	<b>FOREIGN DISCLOSURE OFFICER</b>	<b>DATE</b>

#### **A5.5. The ESEP Security Plan (SP) Format and Instructions.**

A5.5.1. Purpose: This Security Plan (SP) is developed to provide the supervisor security information supporting the activities of an ESEP participant at the organization/work center level. Due to the nature of security and disclosure activities, duplicated information may be found in the security plan

and EVA. Every effort must be taken to ensure the SP is tailored to a specific position supporting specific needs and requirements. Normally the SP is not shared with the foreign national. It is intended to be a source of information to those working with, supporting and or exposed to the activities of the long-term foreign visitor.

A5.5.2. Format and Instructions: This format contains the minimum topics for the SP. For proper preparation, Physical Security, Operations and Communications assessment evaluations will need to be accomplished.

## **SECURITY PLAN FOR**

**(Dr., Mr., Ms. or (Maj. Sq Ldr.) full name and citizenship)**

**LOCATION:** *(Complete address of the hosting organization to include building number)*

**PHYSICAL LOCATION OF OFFICE SPACE (WORK AREA(S)):** *(Complete address of the actual working area(s) of the ESEP participant. This will include building number, floor (1st, 2nd etc., if applicable) and room number(s). Maps/floor plans are not required but can be attached for clarity).*

**SUPERVISOR:** *(This will be the same individual listed on the PD with the same detailed information. If an additional person is needed to conduct day-to-day activities, they should be listed here also).*

**EVALUATION COMPLETION DATES:** *(These are the actual completion dates of the assessments/evaluations accomplished by the responsible agency. Copies of the assessment/evaluations need not be attached but should be on file with the agency accomplishing them).*

OPSEC: (DD/MM/YY)

COMSEC: (DD/MM/YY)

PHYSICAL SECURITY: (DD/MM/YY)

**SECURITY BRIEFINGS:** *(When developing this area (the do's and don'ts) you will need to address the organization personnel who will be impacted by the presence of a foreign national. You will also need to make the scientist/engineer aware of the limitations, dos and don'ts imposed on them. Consider not only the organization but the base requirements as well. This paragraph doesn't need to contain the briefing; however, main topics, who, when and how often should be addressed.*

COMMUNICATIONS AND CORRESPONDENCE:

COMPUTER ACCESS:

BADGING:

UNIFORMS:

NON-ESCORTED PRIVILEGES:

ESCORTING:

TRAVEL:

SECURITY CONTAINERS:

REPRODUCTION OF US GOVERNMENT MATERIALS:

SECURITY MAINTENANCE:

NOTIFICATION/POINT OF CONTACT:

OTHER:

---

(Supervisor Signature)

---

(Unit Security Manager Signature)

---

(Local FDO Signature)

#### **A5.6. The ESEP Delegation of Disclosure Authority Letter (DDL) Format and Instructions.**

A5.6.1. Purpose: To clearly identify what can be disclosed (material/information/data and classification level), not disclosed, who can disclose information and procedures for disclosure.

A5.6.2. Format and Instructions: This format contains the minimum topics for the DDL. paragraphs 7 and 8 are considered standard comments. Modifications will be limited to enhancements or adding requirements. If you develop a classified document, source documents for the classification will be identified and in some cases will need to be provided. The phrase "classified from multiple sources" is not an acceptable source statement.

#### **(Country and Country Code) Delegation No. XX**

#### **Engineer and Scientist Exchange Program (ESEP)**

1. **Classification:** Up to and including \_\_\_\_\_. (This is the highest level of classification (information) considered for release.)
2. **Disclosure Methods:** Limited to oral and visual. (You are limited to oral and visual only.)
3. **Category Permitted:** Category 3 Applied Research and Development Information and Materiel, as defined in AFI 16-201.
4. **Scope:** (Describe the intended work to be performed by this applicant. Identify any technology, technical procedure, equipment and or material used to accomplish the RDT&E effort. Do not use vague statements. A typical opening statement is: (This delegation authorizes disclosure of up to and including \_\_\_\_\_ information to Dr., Mr., Ms., etc. \_\_\_\_\_ in the following fundamental science and engineering areas: )
5. **Authorized to Disclose:** Oral and visual access to (Describe in detail the material/information Classified Military Information (CMI) and Controlled Unclassified Military Information (CUMI) deemed necessary to support the RDT&E efforts.)

- a.
- b.
- c.

The information contained in this document will not be disclosed to foreign nationals or their representatives.

**6. NOT Authorized to Disclose:** (Sub-paragraphs c. through f. are standard restrictions and are supported by DoD or AFI instructions/directives. The challenge here is to address the areas related to the RDT&E effort that exceed security and or a need to know areas. If there is a security classification guide for the project, consider it as a source for this area. Be detailed in the description of what is not authorized. Vague statements can lead to uncertainty resulting in information mismanagement.)

- a.
- b.
- c. Information under the cognizance of another US Department, Agency, or Service.
- d. Proprietary information.
- e. Intelligence data.
- f. Any other information not described in paragraph 5.

**7. Disclosure Procedures:** All information requested for disclosure to (applicant) will be reviewed by the (office symbol) supervisor. The supervisor will ensure that the information is needed to support the current RDT&E efforts of (applicant) assignment as specified in the position description. The supervisor will then make the determination as to the disclosure, in strict conformance with this DDL. All documents will be controlled in a manner to allow tracking and return of the documents. All CONFIDENTIAL or SECRET material will be reviewed by the FDO for disclosure approval.

**8. Re-delegation:** HQ AFMC may re-delegate authority to disclose information to foreign disclosure officers in subordinate elements as required to ensure effective implementation of this delegation. Authority to disclose classified information may be redelegated only to designated disclosure officials who have been trained by SAF/IAPD. Re-delegation of disclosure authority to other than designated disclosure officials must be approved by SAF/IAPD. All re-delegations will be in writing and copies provided to SAF/IAPD.

#### **A5.7. Format for Performance Evaluation of Foreign Engineers and Scientists Participating in the ESEP.**

- A. Name and government of foreign participant.
- B. Evaluation period: From \_\_\_\_\_ To \_\_\_\_\_
- C. Full title of employing unit.
- D. Brief description of employing unit's activities.
- E. Description of assignment(s) given the foreign participant.
- F. Evaluation of the foreign participant's technical ability and knowledge.
- G. Evaluation of the foreign participant's comprehension of English, spoken and written, and ability to speak English.

- H. Assessment of the foreign participant's attitude and conduct.
- I. Evaluation of the foreign participant's achievements during the assignment (for example, attainment of assignment(s) goals and objectives, and so forth).
- J. Name any outstanding achievement(s) of the foreign participant.
- K. Give your recommendations for any technical area where the foreign government and the US may expand our cooperative efforts based on this ESEP assignment.

**Attachment 6**

**FORMATS FOR INTERNATIONAL COOPERATIVE RESEARCH AND DEVELOPMENT PROGRAM PROJECT NOMINATION FORMS AND QUARTERLY PROJECT REPORTS**

**A6.1. ICR&D Project Nomination Form**

FY 03 ICR&D Funding (Limit to three pages)

<b>1. Project Name:</b>	
<b>2. Country Partner(s):</b>	
<b>3. Brief project description (Highlight improvements in conventional defense capabilities):</b>	
<b>Score (20pt Max)</b>  _____	<i>Projects must demonstrate a significant improvement in conventional capabilities, through the application of emerging technologies or processes. Projects that also improve interoperability, or at least commonality, with our allies and coalition warfare fighting capabilities should be ranked higher.</i>
<b>4. Identify USAF Need or requirement(s) satisfied:</b>	
<b>Score (15pt Max)</b>  _____	<i>Projects must directly support and cite a documented need or requirement, e.g., Technology Area Plan (TAP), Mission Area Plan (MAP), Initial Capabilities Document (ICD), Capabilities Development Document (CDD), Program Management Directive (PMD), NATO Staff Target Document or Conventional Armaments Planning System (CAPS), etc.</i>

**5. Technology (Highlight benefits to the US):**

Level of Project Classification <hr/> Unclassified/Confidential/Secret	Will an Exception to National Disclosure Policy be required? <hr/> Yes/No
---	--

<b>Score (15pt Max)</b>	<i>Projects must show that the benefits of cooperating with the proposed partner(s) outweigh a US-only effort and any technology transfer or program risks. Examples of desired benefits include the leveraging of allied technologies, facilities, funds, and resources; cost savings in RDT&amp;E, RM&amp;A, etc; and the accelerated development or fielding of a particular capability.</i>
-------------------------	---

**6. Product(s) to Acquisition Community:**

<b>Score (15pt Max)</b>	<i>The project should lay the basis for system acquisition; technology insertion; program definition &amp; risk reduction; engineering, manufacturing, &amp; development; production, fielding/deployment &amp; operational support, etc.</i>
-------------------------	---

**7. US Funding Profile and Support (include ICR&D funding requested):**

Source	FY02	FY03	FY04	FY05	FY06	Total
PE 0603790F	0					
Project Office						
OSD						

Other						
<b>Total:</b>						

Project/Program Office Program Element (PE) Information:

PE Number:

PE Title:

HQ AF PE Monitor:

Phone:

Name

Rank

Office  
Symbol

Score (15pt Max)

*The program must at a minimum match the amount of ICR&D funds requested with Service funds. The sources and amount of Service funding necessary to execute the proposal must be identified and properly coordinated. Service funds must be in the POM and committed from the start of the project. The project must be supported at the appropriate organizational levels, e.g., Lab, SPO, User Command, HQ USAF, OSD, Joint Staff, etc.*

**8. Allied Funding Profile and Support (Financial & Non-financial):**

Country	FY02	FY03	FY04	FY05	FY06	Total
<b>Total:</b>						

Score (15pt Max)

*Allied financial and non-financial contributions must match the total US contribution (both Service and ICR&D funds). The project should indicate whether the appropriate allied organizations have been contracted (Lab, Ministry of Defense), the nature and status of these contracts, and the likelihood an international agreement will be signed by FY03.*

**9. Tentative Project Schedule (Change as necessary to reflect project phases):**

- EXAMPLE -

International Agreement  
Development

to

(9 months maximum)

Start Date

End Date

International Agreement  
Conclusion

to

(2 months maximum)

Start Date

End Date

Prototype Development	to	
	_____	_____
	Start Date	End Date
Testing & Analysis	to	
	_____	_____
	Start Date	End Date
Final Report	to	
	_____	_____
	Start Date	End Date

Score (10pt Max) _____	<i>A proposed project schedule and breakout of tasks that will serve as the basis for future discussions and negotiations with the allied partner(s) should be provided for evaluation.</i>
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**10. Project/Program Office POC:**

POC:

Name	Rank	Office Symbol
Title:		
Project/Program Office:		
Mailing Address:		
Phone:	DSN:	
Fax:	DSN:	
E-mail:		

**--- Area to be filled by Review Board Members Only ---**

<b>Total Score</b> _____	Evaluator Comments/Considerations:  
-----------------------------	--

ICR&D Funding Recommendation/Concur: \_\_\_\_\_ Nonconcur: \_\_\_\_\_

Evaluator (name, phone, organization):  
 \_\_\_\_\_  
 \_\_\_\_\_

## A6.2. Format for ICR&D Program Quarterly Project Reports

A6.2.1. For the period of the cooperative project, Major Command (MAJCOM) project offices executing ongoing international cooperative projects using ICR&D Program funds or using the legal authority provided by 10 U.S.C. 2350a must prepare and submit quarterly reports to SAF/IAPQ. The format and specific contents of the quarterly report are provided below.

### INTERNATIONAL COOPERATIVE RESEARCH AND DEVELOPMENT (ICR&D) PROGRAM QUARTERLY PROJECT REPORT

FOR -Q FY-- (dd Mmm yy)

1. **Project Title:**
2. **Participants:** [Country name(s),] and the United States
3. **Status of International Agreement:** The [long title (with acronyms) of the agreement] was signed by [Country name] on [date], and the United States on [date]. It will be in effect for [number] years, expiring dd Mmm yy.
4. **Description of Project:** (Several sentences suitable for public release, including a description of the military requirement and end item(s) to be delivered at the completion of the project; note - there is not a requirement to get the language approved for public release, but the narrative should be understandable to someone generally familiar with technologies of interest to the military but who is not an expert in the particular related discipline.)
5. **Current Project Status:** (About three paragraphs describing meetings, activities, events, successes, failures, etc. which took place during the quarter. For second, third, and fourth quarters, add one more paragraph describing activities and progress since the beginning of the FY).
6. **Project Schedule:** (In table form, list the milestone events and major phases of the effort, and the associated planned and actual dates. The planned dates should reflect the schedule in the SSOI submitted to support final staffing before US signature, and should not change during the execution of the project.)

	Planned	Planned	Actual	Actual
Milestone event		date		date
Major phase	start date	end date	start date	end date
Milestone event		date		date
Major phase	start date	end date	start date	end date
Milestone event		date		date

7. **Budget:**

7.a. Budget in the Summary Statement of Intent (SSOI) dated dd Mmm yy. (Table should reflect the US financial contribution in the SSOI submitted to support final staffing before US signature, and should not change during the execution of the project.)



[Prime Contractor, city, state, contract type (typically CPFF, CPAF, or CR), contract award date, contract number]	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
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**9. Allied Contributions:**

9.a. Contributions in the Summary Statement of Intent (SSOI) dated dd Mmm yy. (Table should reflect the values in the SSOI submitted to support final staffing before US signature, and should not change during the execution of the project.)

Financial (US\$M)	FYaa	FYbb	FYcc	FYdd	FYee	TOTAL
Country name	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
Country name	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
Fin Sub Total	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
Non-Financial (US\$M)						
Country name	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
Country name	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
Non-Fin Sub Total	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
TOTAL	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx

9.b. Current Contributions. (Table should reflect the values currently committed by the other countries.) (In narrative form, describe the non-financial contributions, including technology contributions and industry participation.)

Financial (US\$M)	FYaa	FYbb	FYcc	FYdd	FYee	TOTAL
Country name	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
Country name	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
Fin Sub Total	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
Non-Financial (US\$M)						
Country name	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
Country name	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
Non-Fin Sub Total	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx
TOTAL	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx	xx.xxx

**10. US Points of Contact (POCs):**

Lead Project Officer (Primary POC)

Project Officer (Alternate POC)

Name

Name

job title  
 office symbol  
 street address  
 city, state, zip  
 Voice: (xxx) xxx-xxxx / DSN xxx-xxxx

Fax: (xxx) xxx-xxxx / DSN xxx-xxxx

email: <mailto:first.last@base.af.mil>

Project Financial Manager

Name

job title

office symbol

street address

city, state, zip

Voice: (xxx) xxx-xxxx / DSN xxx-xxxx

Fax: (xxx) xxx-xxxx / DSN xxx-xxxx

email: <mailto:first.last@base.af.mil>

Program Element Monitor (PEM)

PE [number], [title]

Rank Name

office symbol

street address

city, state, zip

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## Attachment 7

**FORMATS FOR THE COALITION WARFARE PROGRAM - PROJECT  
NOMINATION FORM AND QUARTERLY PROJECT REPORTS**

**A7.1. CWP Project Nomination Form.**Header Information

Short Title of Proposed Project:

DoD Proponent:

Country/ies Involved:

**1. Overview of Coalition Warfare Project**

a. Briefly describe the project (1 page max). *Be specific as to what the project will deliver. Is this a new international project or is a coalition aspect being added to an existing US-only project? Is there currently a Memorandum of Understanding or other international agreement in effect that is applicable to this effort? If information on the project is available on the World Wide Web, please provide the URL.*

b. Briefly describe the project's objectives. *Include a description of what technology or innovation is being pursued to develop or improve coalition interoperability. What types of operational capabilities will be improved?*

c. Is this project a "joint" project? *(Will multiple Services or Agencies be involved? Will the project directly assist a Combatant Commander or his staff in their mission?)*

d. Is there any known Congressional or high-level US Government interest or involvement in the project? *If yes, describe.*

e. Provide an estimated schedule for the project and Initial Operational Capability (IOC) if applicable.

**2. Operational Requirement**

What US mission need or operational requirement would this project satisfy and/or what critical deficiency or shortfall would this project address? If known, cite applicable documents (Combatant Commander Integrated Priority List, ICD, CDD, etc.) What Combatant Commander or high level US organization is supporting this project's development? Are the benefits of this project portable to other Combatant Commanders?

**3. Partner Nation(s)**

a. *Which nations are proposed partners? Which nations have agreed to be partners? What is the assessment (and your basis for it) of foreign interest/commitment? Is an international agreement (IA) legally or programmatically necessary to conduct this program?*

b. Briefly describe the proposed IA negotiation strategy and negotiation schedule.

**4. Project Management**

Briefly describe how the project will be structured and managed. Explain what foreign involvement there would be in the management of the project.

## 5. Contributions

a. Create a table (see example below) that provides the following information:

(1) US proponent organization's estimated financial costs by fiscal year and program element. Indicate in a footnote if these costs have been, or will be approved in the budget and are available for use.

(2) other Participants' estimated financial costs by fiscal year,

(3) the estimated value of the US proponent's and other Participant(s) non-financial contribution, and

(4) calculation of total estimated cost of the proposed project.

b. Use a "would cost to DoD" analysis to estimate foreign non-financial contributions, i.e. what would it cost the US to provide the equivalent service that is being contributed by the foreign partner. *For example, the contribution of two German engineers to a project would be based on the cost of two equivalent US engineers. If the status of non-financial contributions is unclear during the initial drafting of the SSOI, state that "no non-financial contributions are anticipated at this time."*

**NOTE:** CWP financial contributions cannot exceed total foreign contributions.

c. Explain how other US and foreign investment is being leveraged in the project so as to gain a greater return/impact.

### Funding Table Template (US \$\$)

<b>Funding Source</b>	<b>FYxx</b>	<b>FYxx</b>	<b>FYxx</b>	<b>FYxx</b>	<b>TOTAL</b>
<b>US Financial Costs</b>					
PE 0x0xxxxxF	xx	xx	xx	xx	xx
PE 0603923D	xx	xx	xx	xx	xx
<b>US Financial Total Costs</b>	xx	xx	xx	xx	xx
<b>US Non-Financial Contribution</b>					
PE xxxxxxxxF (USG Salaries)	xx	xx	xx	xx	xx
Other US Non-Financial Contribution*	xx	xx	xx	xx	xx
<b>US Non-Financial Total Contribution</b>	xx	xx	xx	xx	xx
<b>US Total Contribution</b>	xx	xx	xx	xx	xx

<b>Funding Source</b>	<b>FYxx</b>	<b>FYxx</b>	<b>FYxx</b>	<b>FYxx</b>	<b>TOTAL</b>
<b>Partner(s) Financial Costs</b>	xx	xx	xx	xx	xx
<b>Partner(s) Non-Financial Contribution</b>	xx	xx	xx	xx	xx
<b>Partner Total Contribution</b>	xx	xx	xx	xx	xx
<b>Total Project Value</b>	xx	xx	xx	xx	xx

## 6. **Equitability**

In a descriptive summary, state why the proposed international agreement is equitable to the US

Factors that are normally used to determine equitability include the following:

- (1) how are the financial vs. non-financial contributions of each Participant balanced,
- (2) are contributions commensurate with benefits, and
- (3) does the international agreement serve to satisfy a “higher goal” for the US, such as politico-military considerations, or the “hard to quantify” benefits obtained by increased interoperability?

## 7. **Benefits/Risks to the United States**

Does the international agreement make good “business sense” for the US, (consider, for example, if US is to manage the project, if contracts are awarded to US industry, etc.)?

a. List the advantages and disadvantages of this cooperative project. *Address project timing, developmental and life cycle costs, technology to be shared and obtained, rationalization, standardization and interoperability (RSI) considerations, and other cost/schedule/performance issues. Indicate whether there are any risks associated with conducting this project as an international cooperative program, and briefly describe how these risks are to be managed.*

b. Is a similar project currently in development or production in the US or an allied nation? If so, could that project satisfy or be modified in scope to satisfy the US requirement?

c. If applicable, describe the likelihood of follow-on research or acquisition and the proponent’s commitment to fund such follow-on action.

## 8. **Potential Industrial Base Impact**

Briefly describe the potential industrial base impact. *Do you anticipate workshare arrangements, requests for offsets, or offshore production of items restricted to procurement in US? Are you aware of any key parts or components with a single source of production? What US Government facilities and/or contractors would be likely to participate in this cooperative effort? Where are they located? Will there be any*

*significant effects (pro or con) on any US companies or US industrial sector(s), and if so, what are they likely to be?*

## **9. Procurement**

- a. Will US Department of Defense (DoD) participation in the project involve contracting? If so, what agency will perform the contracting, and for what part of the project work?
- b. Will a participant other than DoD perform contracting? If so, which participants and for what part of the project?
- c. Will either partner be contracting on behalf of the other?
- d. Will contracting be done on a competitive basis? If not, what justification will be used?

## **10. Information Security and Technology Transfer Issues**

- a. Briefly identify the products and/or technologies involved in the program and their National Disclosure Policy Committee (NDPC) category and classification. *The Military Critical Technologies List (MCTL) may be used as a guide.*
- b. Is an exception required to the National Disclosure Policy? *If so, provide date of approval or date that a request will be submitted to the National Disclosure Policy Committee (NDPC).*
- c. If known, describe the foreign availability of comparable systems and technologies and whether the US technology has been shared through other programs, e.g., FMS, DEA, etc.
- d. Briefly describe the risk of compromise of classified and export controlled technology and/or products and the potential damage to the US military capabilities or technological advantages in the event of such compromise (e.g., negating primary US technological advantage(s), revealing US system weaknesses, development of countermeasures, susceptibility to reverse engineering).
- e. Identify any measure proposed to minimize the potential risks and/or minimize any damage that might occur due to loss, diversions, or compromise of sensitive classified or unclassified controlled data or hardware. *Specify NDPC categories involved, where applicable. Include any phased release of information designed to ensure that information is disseminated only when and to the extent required to conduct the program; restrictions or release of specific information (including classification, description, and disclosure methods); release of components, software or information in modified form (e.g., export versions, exclusion of design rationale and deletion of data on weapons not sold to the participant); and special security procedures (both governmental and industrial) to control access to restricted material and information.*

## **11. Proponent Points of Contact**

List a technical/programmatic POC and a financial POC for the program. No foreign government POCs should be listed. Include organization, name, telephone, fax, and e-mail address. Assure that this POC or an alternate is available to answer any questions from reviewing offices during the R&D review period.

**A7.2. CWP Quarterly Project Reports.** For the period of the cooperative project, Major Command (MAJCOM) project offices executing ongoing international projects using CWP funds must prepare and submit quarterly reports to SAF/IAPQ. The specific contents of the quarterly report are provided below.

### A7.2.1. Required Items:

## A7.2.1.1. A Summary containing:

- (1) Project Title
- (2) Description of the Project
- (3) Project Goal
- (4) Current Project Status
- (5) International Agreement Status
- (6) Allied Participants
- (7) Major upcoming events/milestones

## A7.2.1.2. Funding Data

- (1) Budget planning by year and for each fund
- (2) CWP funding usage
  - Received
  - Committed
  - Obligated
  - Expended
- (3) US MOU Share
- (4) Foreign MOU Share
- (5) US/Foreign share ratio
- (6) Identification of any expiring CWP funds
- (7) 3<sup>rd</sup> quarter identification of expiring or unobligated CWP funds

## A7.2.1.3. Contract Data

- (1) Pertinent contract activities including:
  - Contract awards w/ contractor names, locations
  - Award amounts
  - Duration for which work is contracted

## A7.2.1.4. Points-of-Contact

- (1) US Sponsor/POC
- (2) US Project manager
- (3) Foreign Project manager(s)