

**17 MAY 1993**



**Acquisition**

**INTERNATIONAL COOPERATIVE  
RESEARCH, DEVELOPMENT, AND  
ACQUISITION OF DEFENSE EQUIPMENT  
AND MATERIALS**

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1. The Air Force participates in numerous Department of Defense (DoD) programs that provide for cooperative research, development, and acquisition (RD&A) with Allied and Friendly Governments and international organizations. Appropriate participation in these programs offers possible significant net benefit to the Air Force but may be affected by diverse factors such as foreign policy, technology transfer, international law, industrial base, security assistance, and the like. This directive establishes policies for appropriate participation in these programs.
2. The Air Force will participate in international cooperative research, development, and acquisition (ICRD&A) programs that:
  - 2.1. Support the best interests of the United States.
  - 2.2. Fulfill valid Air Force requirements.
  - 2.3. Access the best technologies of Allied and Friendly Governments, including acquiring foreign nondevelopment items that are cost-effective and meet user needs.
  - 2.4. Use US, Allied, and Friendly Government RD&A resources efficiently to reduce costs and avoid duplication of effort.
  - 2.5. Promote standardized or interoperable equipment, uniform or compatible logistic support arrangements, and common operational requirements, concepts, doctrine, and tactics.
  - 2.6. Create oversea supply sources to improve offshore logistical capabilities and mobilization bases consistent with maintaining US industrial capabilities.
  - 2.7. 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 to reduce buy-national restrictions as appropriate, by exploiting economies-of-scale, and by improving industry-to-industry collaboration.
  - 2.8. Provide benefits to the United States that outweigh potential risks to US operational capabilities and to the US technology, industrial, and manufacturing bases.

3. Air Force personnel will negotiate and conclude international agreements regulating ICRD&A projects within the parameters established by DoD Directive 2000.9, *International Co-Production Projects and Agreements Between the United States and Other Countries or International Organizations*, January 23, 1974; DoD Directive 5530.3, *International Agreements*, June 11, 1987; AFI 51-701, *Negotiating, Concluding, Reporting and Maintaining International Agreements* (formerly AFR 11-21); and applicable policy direction.
4. The Office of the Assistant Secretary of the Air Force for Acquisition (SAF/AQ) is responsible for policy, resource advocacy, and oversight of US Air Force participation in ICRD&A programs. SAF/AQ will provide senior national representation at senior-level US Air Force meetings with Allied and Friendly Governments and international organizations, including meetings of the Four Power Air Senior National Representatives and the North Atlantic Treaty Organization Air Force Armaments Group.
5. Commanders will oversee participation in ICRD&A programs and ensure compliance with this policy within their commands.
6. See AFI 63-901, *Air Force Participation in International Cooperative Research, Development, and Acquisition* (formerly AFRs 80-15, 80-21, 80-47, 80-48, and 80-55 ) for policy implementation instructions.
7. See **Attachment 1** for measures used to comply with this policy and sample data.
8. See **Attachment 2** for DoD publications implemented by this directive and for other publications with which it interfaces.
9. See **Attachment 3** for definitions of terms used in this policy.

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Principal Deputy, Assistant Secretary of the  
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## Attachment 1

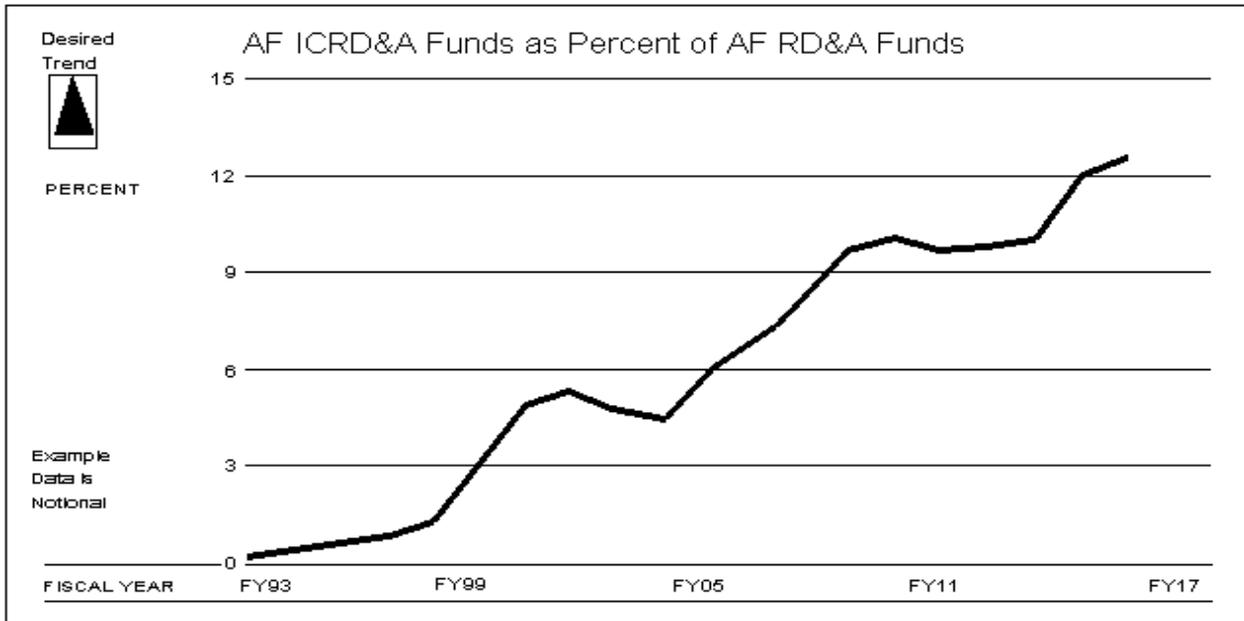
### MEASURING AND DISPLAYING COMPLIANCE WITH POLICY

**A1.1.** Compliance with Air Force participation in ICRD&A policy will be assessed by measuring the portion of Air Force RD&A funds expended on ICRD&A and the degree to which Air Force ICRD&A addresses technology areas. The charts will display actual versus desired trends. Desired trends are to generally increase proportions and numbers displayed on each chart. Headquarters Air Force Materiel Command (HQ AFMC) will collect annual data from commands and use RCS: SAF/AQX(A)9303, *Value and Relevance of ICRD&A Participation Report*, to forward the data to SAF/AQ. During emergency conditions, reporting will be discontinued.

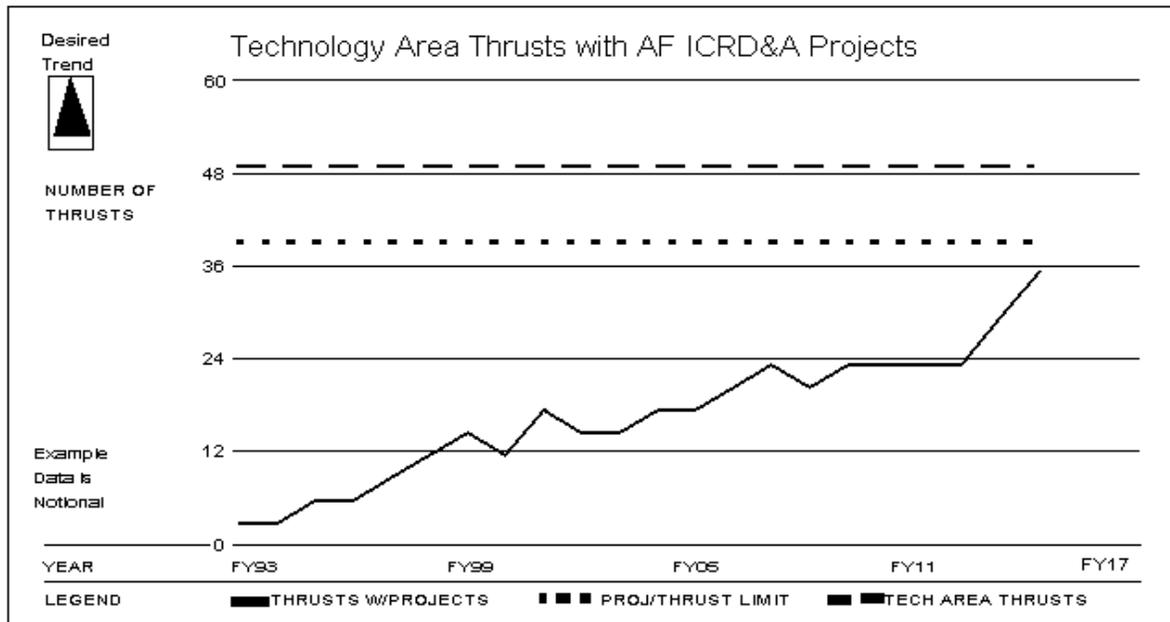
**A1.2. Efficiency of RD Resource Use.** **Figure A1.1.** will display the proportion of Air Force R&D resources used for Air Force participation in ICRD&A. The desired trend is a general increase in the proportion of Air Force ICRD&A project funding, although various factors will limit this increase. Such increases generally indicate diminishing duplication of resource use among the Air Force and Allied and Friendly Governments and, therefore, increasing efficiency of RD&A resource use.

**A1.3. Access to the Best Technologies.** **Figure A1.2.** is an example of a general measure of the degree to which ICRD&A projects address all Air Force technology area thrusts and subthrusts. The desired trend is that Air Force participation in ICRD&A projects address as many thrusts and subthrusts as possible, thereby providing the Air Force access to the best technologies of Allied and Friendly Governments. Changes in technology areas affect trends measured by this metric. In addition, Air Force access to the best technologies of Allied and Friendly Governments is limited by other factors. A hypothetical limit is illustrated in **Figure A1.2.**

**Figure A1.1. Sample Metric of AF ICRD&A Funds as Percent of AF RD&A Funds.**



**Figure A1.2. Sample Metric of Technology Area Thrusts With AF ICRD&A Projects.**



## Attachment 2

### RELATED DOCUMENTS AND INTERFACING PUBLICATIONS

#### *Implemented Publications*

DoD Directive 2000.9, *International Co-Production Projects and Agreements Between the United States and Other Countries or International Organizations*, January 23, 1974

DoD Instruction 2010.4, *U.S. Participation in Certain NATO Groups Relating to Research, Development, Production, and Logistic Support of Military Equipment*, December 12, 1967

DoD Directive 2010.6, *Standardization and Interoperability of Weapons Systems and Equipment within the North Atlantic Treaty Organization*, March 5, 1980

DoD Instruction 2015.4, *Mutual Weapons Development Data Exchange Program (MWDDEP) and Defense Development Exchange Program (DDEP)*, November 5, 1963

DoD Directive 3100.3 and Change 1, *Cooperation with Allies in Research and Development of Defense Equipment*, September 27, 1963

DoD Directive 3100.4, *Harmonization of Qualitative Requirements for Defense Equipment of the United States and Its Allies*, September 27, 1963

DoD Instruction 3100.8 and Change 1, *The Technical Cooperation Program (TTCP)*, September 11, 1973

DoD Directive 5000.1, *Defense Acquisition*, February 23, 1991

DoD Directive 5100.53, *U.S. Participation in Certain NATO Groups Relating to the Research, Development, Production, and Logistics Support of Military Equipment*, July 29, 1967

DoD 5200.1-R and Change 1, *Information Security Program Regulation*, June 1986

DoD Directive 5530.3 and Change 1, *International Agreements*, June 11, 1987

#### *Interfaced Publications*

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

AFI 16-101, *Political-Military and Security Assistance Management*, formerly AFRs 75-43, 130-1, 130-2, and 400-20

AFPD 16-2, *Foreign Disclosure of Classified and Unclassified Military Information to Foreign Governments and International Organizations*, no former publication

AFPD 31-4, *Information Security*, no former publication

AFI 51-701, *Negotiating, Concluding, Reporting and Maintaining International Agreements*, formerly AFR 11-21

AFPD 60-1, *Operations and Resource Standardization*, no former publication

AFPD 99-1, *Test and Evaluation*, no former publication

## Attachment 3

### TERMS EXPLAINED

**Administrative Agent**—The office that exercises central supervision and both policy and administrative control in an area of responsibility.

**International Agreement**—Any 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 any Department of Defense Component, or by representatives of the Department of State or any other department or agency of the United States Government.
- Signifies the intention of the parties to be bound in international law.
- Is denominated as an international agreement or as a Memorandum of Understanding, Memorandum of Agreement, exchange of notes, exchange of letters, technical arrangement, protocol, note verbal, aide memoire, agreed minute, arrangement, contract, statement or letter of intent, or any other name connoting a similar legal consequence. (See Department of Defense Directive 5530.3 and Air Force Instruction 51-701 for full definitions.)

**International Cooperative Research, Development, and Acquisition (ICRD&A) Programs**—One or more specific projects with Allied or Friendly Governments conducted under an international agreement and:

- Implemented under:
  - Title 22, United States Code, Section 2767.
  - Title 10, United States Code, primarily Section 2350a.
  - Other statutory authority.
- Conducted in:
  - Research, development, testing, and evaluation.
  - Joint production.
  - US procurement of a foreign defense article, technology, or service.
  - Joint United States-foreign testing under the Foreign Comparative Testing Program.

**International Cooperative Research, Development and Acquisition (ICRD&A) Project** —A research (including information exchange), development, or acquisition project with Allied or Friendly Governments that is jointly planned and conducted on the basis of:

- A written agreement between the participants (usually a Memorandum of Understanding, data exchange annex, or information exchange annex).
- An equitable contribution by the participants to the full costs of the undertaking.

**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.

**Rationalization**—Any action that increases the effectiveness of Allied forces through more efficient or effective use of defense resources committed to the alliance. Rationalization includes consolidation,

reassignment of national priorities to higher alliance needs, standardization, specialization, mutual support or improved interoperability, and greater cooperation. Rationalization applies both to weapons and materiel resources and to nonweapons military matters.

**Security Assistance**—The group of programs authorized by the Foreign Assistance Act of 1961, as amended, and the Arms Export Control Act of 1976, as amended, or other related statutes by which the United States provides defense articles, military training, and other defense-related services, by grant, loan, credit, or cash sales in furtherance of national policies and objectives.

**Standardization**—The process by which the Department of Defense achieves the closest practicable cooperation among the Services and Defense agencies (and, in international cooperative research, development, and acquisition, with Allied and Friendly Governments) for the most efficient use of research, development, and production resources, and agrees to adopt on the broadest possible basis the use of common or compatible:

- Operational, administrative, and logistic procedures.
- Technical procedures and criteria.
- Tactical doctrine with corresponding organizational compatibility.
- Interchangeable supplies, components, weapons, or equipment.

**Technology Areas**—Areas of Air Force research and development defined in Technology Area Plans and related documents issued periodically by SAF/AQT and HQ AFMC/ST. Each area is divided further into thrusts, and each thrust is divided into subthrusts.

**Technology Base**—Basic research, exploratory development, and demonstrations of advanced technology (the United States budget appropriation categories 6.1 and 6.2). This includes exploring alternatives and concepts before developing specific weapon systems; feasibility demonstrations; test and evaluation of new concepts, technologies, or equipment; studying alternative solutions to potential problems; and research on generic systems.