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Scientific/Research and Development

**SPONSORING OR CO-SPONSORING,
CONDUCTING, AND PRESENTING
DOD-RELATED SCIENTIFIC PAPERS AT
UNCLASSIFIED AND
CLASSIFIED CONFERENCES, SYMPOSIA,
AND OTHER SIMILAR MEETINGS**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction establishes Air Force procedures for sponsoring or co-sponsoring conferences and symposia involving unclassified, classified or militarily critical unclassified Department of Defense (DoD) information. It includes procedures for Air Force participation in conferences and symposia sponsored by others. It implements DoD Directive (DoDD) 3200.12, DoD Scientific and Technical Information Program, and DoDD 200.12, *Conduct of Classified Meetings*, DoD Instruction (DoDI) 5230.27, Presentation of DoD-Related Scientific and Technical Papers at Meetings, and AFPD 61-2, *Management of Scientific and Technical Information*. This instruction does not apply to in-house gatherings, to routine gatherings of US Government officials, to classes conducted by DoD schools, or to gatherings between Air Force personnel and foreign government representatives or to US or foreign government representatives on a matter related to a specific government contract, program, or project.

SUMMARY OF REVISIONS

This instruction updates, clarifies, and streamlines previous guidelines.

1. Responsibilities:

1.1. Commanders and directors of Air Force activities, or their designees:

1.1.1. Sponsor or co-sponsor conferences or symposia when:

- The activity has a significant interest in the subject matter.
- It is essential to the Air Force mission.
- It does not duplicate the efforts of other Government or non-Government agencies.
- The conference is in the best interest of national security.

- Established channels of disseminating classified information (for example technical reports) will not accomplish the purposes of the conference or symposium.
- The Air Force conference security manager has developed and implemented adequate security measures and access controls.
- And the purpose is:
 - To disseminate essential research, development, test, and evaluation (RDT&E) and advance planning information promptly and widely.
 - To exploit critical discoveries, innovations, and inventions.

1.1.2. Appoint conference or symposium managers to oversee the administrative and technical details and a conference or symposium security managers to oversee security details.

1.2. The Office of the Administrative Assistant to the Secretary of the Air Force (SAF/AA) approves Air Force sponsorship of all conferences or symposia that are not open to the public. This authority may not be delegated.

2. Approval and Notification Requirements for Classified Conferences and Symposia:

2.1. Get approval by sending a request to SAF/AA through the Disclosure Division, Office of the Deputy Under Secretary of the Air Force for International Affairs (SAF/IADV, 1010 Air Force Pentagon, Washington, DC 20330-1010), at least six months before the conference or symposium.

2.2. The request must contain:

- Justification for Air Force sponsorship
- Subject of the meeting and scope of classified topics, including the maximum authorized classification level
- Expected dates and location
- Identity of the Air Force sponsor
- Names and telephone numbers of the Air Force meeting and security managers
- Draft of the proposed announcement or invitation to be sent to prospective attendees or participants
- Identity of any non-government organizations involved and a full description of the type of support they are to provide
- Justification for specific exclusion of foreign nationals, with a description of the sensitive information to be presented upon which the exclusion is based

2.3. When sponsoring classified meetings conducted by a non-government organization (a firm or association), include the names and telephone numbers of the non-government meeting manager and the Air Force security point of contact.

2.4. If foreign representatives will participate in the conference or symposium, send copies of the request for approval to:

- Director, Defense Security and Programs, Office of the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence)
- Office of Information Security (HQ USAF/SPI)

- Director of the National Security Agency, Chief of Central Security Services, if the conference or symposium involves special intelligence in accordance with DoDD C-5230.23, *Intelligence Disclosure Policy (U)*.

NOTE:

Approval is not needed to conduct unclassified events that are open to the public; however, all presentations must be cleared with the local public affairs office (AFPD 35-1, *Public Affairs Management*).

3. Conference or Symposium Manager:

3.1. Gets approval for classified Air Force-sponsored conferences from SAF/AA (through SAF/IADV).

NOTE:

Do not publish formal notices or invitations to conferences or symposia until receiving approval. However, give advance announcement to solicit proposed presentations and establish administrative arrangements.

3.2. Decides what classified information may be presented and determines the security level of the meeting. **Note: The classification level of the meeting is based not only on the level of the individual presentations but on the classification level of the presentations as a group.**

3.3. Gets help from appropriate staff offices, such as protocol, security, foreign disclosure, procurement, scientific and technical information (STINFO), the Air Force Information for Industry Office (AFIFIO), and public affairs.

3.4. Distributes the announcement of a conference or symposium widely and early enough to maximize the desired participation. Announcements of classified conferences shall:

- Be unclassified, limited to a general description of the topics expected to be presented, and include names of speakers.
- Include administrative instructions for requesting invitations or participation.
- Include security clearance and need-to-know requirements and the address to where attendees are to send them.
- Indicate the level of foreign participation permitted.

NOTE:

For procurement-related conferences or symposia, particularly where individuals intend to present advance planning information, announce the conference or symposium in the *Commerce Business Daily* (CBD).

3.5. Gives other DoD and Air Force organizations participating in any similar or related RDT&E effort an opportunity to participate.

3.6. Notifies SAF/AA immediately in writing when cancelling or changing the date or location of a proposed conference or symposium.

3.7. Maintains records on attendance and total costs.

- 3.8. Gives appropriate representatives of allied countries an opportunity to participate in classified conferences or symposia, consistent with this regulation and national disclosure policy.
- 3.9. Prepares and distributes proceedings according to paragraph 11. **Note: Inform the attendees how they can obtain proceedings from DTIC.** If possible, obtain in advance from DTIC an accession number for the proceedings and pass it on to the attendees to assist them in ordering the proceedings.
- 3.10. Collects appropriate registration fees:
- 3.10.1. When a conference or symposium is conducted by the Air Force, charge fees only to cover the expenses for the personal benefit and subsistence of attendees (such as breakfasts, coffee breaks, lunches, and banquets).
- 3.10.2. When an Air Force activity uses the services of a contractor or association to conduct a conference or symposium, the company or association may recover its costs and a reasonable profit from fees paid by the attendees.
- 3.11. Coordinates with cognizant contracting officers or their appointed representatives to prevent the release of proprietary or source-selection information and maintain the integrity of the procurement process.
- 3.12. Complies with DoD 5500.7-R, *Joint Ethics Regulation*.
- 3.13. Complies with AFI 37-132, *Air Force Privacy Act Program*, when collecting personal information, access lists, or any other data that will be incorporated into a system of records.

NOTE:

Attachment 2 gives a typical sequence of actions for arranging a conference or symposium and may be tailored for particular situations.

4. Security Manager:

- 4.1. Enforces requirements of AAFP 16-2/AFI 16-201, *Foreign Disclosure of Classified and Unclassified Military Information to Foreign Governments and International Organizations*, AFI 61-204, *Disseminating Scientific and Technical Information*, DoD 5200.1-R/AFPD 31-4/AFI 31-401, *Information Security Program Regulation/Information Security Program/Information Security Program Management*, DoDD 5200.12, DoD 5220.22-M, *Industrial Security Manual for Safeguarding Classified Information*, DoD 5220.22-R/AFPD 31-6/AFI 31-601, *Industrial Security Regulation/Industrial Security/Industrial Security Program Management*, *International Traffic in Arms Regulation (22 CFR 120-130)*, *The Arms Exports Control Act (22 U.S.C. 2778)*, and this instruction.
- 4.2. Makes sure that the location or facility selected for classified sessions can provide the proper physical control, storage, protection, and dissemination of classified information. This normally means a facility under the security control of a US Government agency or a contractor having an appropriate facility security clearance. Do not use post or base theaters and other facilities that are normally open to uncontrolled access for classified meetings unless:
- There is no secure facility available.
 - Unauthorized personnel do not have physical access and can be prevented from hearing or seeing the proceedings of the meeting.
- 4.3. Confirms the clearance levels and need-to-know of attendees.

4.4. Prohibits note-taking and electronic recording during classified sessions and the distribution of classified documents during the conference. (See paragraph 3.11. and paragraph 11. regarding proceedings.)

5. Co-Sponsorship. An Air Force organization may co-sponsor a conference or symposium with a non-federal organization when all the following criteria apply:

- The subject matter of the conference (or the co-sponsored portion) is scientific, technical, or involves professional issues that are relevant to the Air Force organization's mission.
- The purpose of the co-sponsorship will transfer federally-developed technology to the private sector or stimulate wider interest and inquiry into the relevant scientific, technical, or professional issues.
 - The co-sponsoring non-federal organization is a recognized scientific, technical, or professional organization and co-sponsorship is approved by SAF/GC.
 - The Air Force organization accomplishes the co-sponsorship through a contract, grant, or cooperative agreement as identified in 31 U.S.C. 6303-6306, a cooperative research and development agreement (CRDA) as defined in 15 U.S.C. 3710a, or a cooperative agreement or other transaction as identified in 10 U.S.C. 2371.

NOTE:

When an Air Force organization co-sponsors a classified meeting with a non-federal organization or obtains administrative support from a non-federal firm or association, the Air Force organization is responsible for all security aspects of the classified meeting.

6. Administrative Support for Meetings:

6.1. When a sponsoring Air Force organization needs help in making conference arrangements, it may get support from a non-federal firm or association through a formal memorandum of agreement or contract. If the event is open to persons outside of the Federal Government, the sponsor may not limit attendance to members of the supporting non-federal firm or association.

6.2. The sponsor may allow the supporting non-federal firm or association to mention its support in conference materials but not in terms that imply that the firm or association is sponsoring or co-sponsoring the event. (For guidelines on co-sponsorship with a non-federal entity, see 5.paragraph 5.)

6.3. In the case of a classified event, the Air Force sponsor is responsible for all security aspects and may not delegate the responsibility to the supporting non-Federal firm or association.

7. Participation in Classified Conferences or Symposia. Air Force personnel may participate in classified conferences or symposia only if they are sponsored by an Air Force organization or other DoD component. Participation means being on the formal program. This does not restrict attendance at such conferences.

8. International Competition. The DoD has reciprocal procurement memoranda of understanding and offset arrangements with many countries. Air Force organizations hosting conferences or symposia related to contract opportunities must allow representatives from these countries to participate, subject to established foreign-disclosure and national security policies.

8.1. The sponsor may not exclude nations with which DoD has cooperative agreements from classified conferences or symposia unless there are national security grounds. The exclusion must be approved by SAF/IADV at the request of the MAJCOM.

8.2. Because each foreign government's eligibility varies, the sponsor must ensure that no classified information disclosed at sessions attended by foreign representatives is above the lowest level of eligibility of the foreign attendees.

8.3. When foreign representatives cannot have full access to classified or sensitive technical information under existing policies, one option is to remove the non-releasable information and present it at US-only sessions.

9. Foreign Attendance at Classified Conferences or Symposia. An Air Force organization sponsoring or providing security sponsorship for a conference or symposium where classified material will be disclosed to foreign nationals or representatives of foreign governments must comply with the following:

9.1. When attendance at classified sessions is consistent with foreign disclosure policy, follow procedures in AFPD 16-2 and AFI 16-201 to get disclosure authorization for foreign nationals or their government representatives. Use the same procedures for unclassified sessions involving unclassified data with distribution statements B, C, D, E, F, or X of AFI 61-204 or for unclassified data, not covered by AFPD 10-11, *Operations Security*, and AFI 10-1101, *Operations Security Program*.

9.2. Foreign nationals or representatives of foreign governments may attend unclassified sessions where the information has been previously cleared for public release according to AFPD 35-1.

10. Releasing Information at an Air Force Conference or Symposia:

10.1. For contractor presentations, the originating Air Force activity's contracting officer must authorize release in advance, usually in cooperation with the program manager. If foreign representatives will attend the conference or symposium, SAF/IAD or the cognizant DoD component's foreign disclosure office must also authorize all releases.

10.2. The local foreign disclosure office must review projected briefings to determine if there is any reason to prevent full allied participation. If national disclosure policy prohibits release of specific information, the local foreign disclosure office must determine whether the information can be deleted from the presentation entirely or whether it must be presented in a separate, closed session at the conference.

10.3. Military and contractor personnel making presentations must control technical information listed on the State Department's munitions list and the Commerce Department's commodity control list. You may only disclose such information to foreign persons under State Department or Commerce Department export license or to foreign persons who have been granted prior approval by a US government department or agency. Descriptions of such technologies are in the military critical technologies list (MCTL).

11. Publishing Proceedings:

11.1. The sponsor normally publishes proceedings of an Air Force-sponsored technical or advance-planning conference or symposium as a technical report.

11.2. The sponsor may publish proceedings in any convenient format (for example, a single volume, individual volumes by technical discipline, or individual papers).

11.2.1. If the proceedings consist primarily of copies of vu-graphs, presenters must provide explanatory notes for publication. This is particularly important for proceedings for recipients who did not attend the conference or symposium.

11.3. In addition to primary distribution (direct distribution to attendees and others), the sponsor will send copies of the proceedings to the Defense Technical Information Center (DTIC), Cameron Station, Alexandria VA 22304-6145.

11.4. Process unclassified proceedings according to AFI 37-131, *The Air Force Freedom of Information Act Program*, AFPD 10-11, AFI 10-1101, AFI 61-204, and AFPD 35-1.

11.5. When possible and meaningful, publish all classified information in a document separate from the general proceedings. Before publication and release, the sponsor must:

- Review all the text to make sure it is releasable and bears appropriate security markings.
- Check that recipients have proper clearances and storage capability.
- Get foreign-disclosure approval and instructions on releasing the proceedings to foreign nationals.

CLARK G. FIESTER
The Assistant Secretary of the Air Force for Acquisition

Attachment 1

GLOSSARY OF REFERENCES, ABBREVIATIONS AND ACRONYMS, AND TERMS

References

DoDD 3200.12, *DoD Scientific and Technical Information Program*

DoD 5200.1-R, *Information Security Program Regulation*

DoDD 5200.12, *Conduct of Classified Meetings*

DoD 5200.2-R, *DoD Personnel Security Program*

DoD 5220.22-M, *Industrial Security Manual for Safeguarding Classified Information*

DoD 5220.22-R, *Industrial Security Regulation*

DoDD 5230.23, *Intelligence Disclosure Policy (U)*

DoDI 5230.27, *Presentation of DoD-Related Scientific and Technical Papers at Meetings*

DoD 5500.7-R, *Joint Ethics Regulation*

AFPD 10-11, *Operations Security*

AFI 10-1101, *Operations Security Program*

AFPD 16-2, *Foreign Disclosure of Classified and Unclassified Military Information to Foreign Governments and International Organizations*

AFI 16-201, *Foreign Disclosure of Classified and Unclassified Military Information to Foreign Governments and International Organizations*

AFPD 31-4, *Information Security Program*

AFI 31-401, *Information Security Program Management*

AFPD 31-6, *Industrial Security*

AFI 31-601, *Industrial Security Program Management*

AFPD 35-1, *Public Affairs Management*

AFI 37-131, *The Air Force Freedom of Information Act Program*

AFI 37-132, *Air Force Privacy Act Program*

AFPD 61-2, *Management of Scientific and Technical Information*

AFI 61-204, *Dissemination of Scientific and Technical Information*

Abbreviations and Acronyms

AFIFIO—Air Force Information for Industry Office

CBD—Commerce Business Daily

CRDA—Cooperative Research and Development Agreement

DTIC—Defense Technical Information Center

MCTL—Militarily Critical Technologies List

RDT&E—Research, Development, Test, and Evaluation

STINFO—Scientific and Technical Information

Terms

Conference or Symposium—Conference, seminar, symposium, exhibit, convention, or other similar gathering, conducted by a DoD component, a DoD contractor, or an association, institute, or society whose membership includes DoD or contractor personnel, at which participants disclose unclassified or classified DoD information or information of interest to the DoD.

Conference or Symposium Manager—Representative designated to plan, manage, and administer a conference or symposium that is sponsored or co-sponsored by an Air Force or DoD organization.

Contractor-Cleared Facility—A commercial or private operating organization that the Defense Investigative Service (DIS) finds eligible for access to classified information.

Co-Sponsor—The Air Force organization that endorses, participates, or provides support to other Federal or DoD agencies in conducting a conference or symposium. Air Force activities may provide security sponsorship for conferences or symposia of private associations, but may not co-sponsor conferences or symposia with private associations, unless the Air Force organization satisfies the requirements of paragraph 5.

Facility Security Clearance—Administrative finding that from a security stand point a facility is eligible for access to classified information of a certain classification and below. This does not include or imply any authorization to store classified information.

Foreign National—Any person who is not a citizen or national of, or immigrant alien to, the United States.

Foreign Representative—Either a foreign national or a representative of a foreign interest.

Government Installation—US Government facility in a fixed location where personnel can enforce adequate safeguards for classified information.

Memorandum of Understanding (MOU)—Bilateral cooperative agreement with allies and other friendly nations on reciprocal defense procurement. This agreement includes exchanging information in specified areas of mutual interest for their participation in contractual opportunities.

Representative of a Foreign Interest—A citizen or national of the United States or an immigrant alien acting as a representative, official, agent, or employee of a foreign government, firm, corporation, international organization (such as NATO), or another foreign person. Air Force personnel assigned to NATO-only positions are considered representatives of a foreign interest. *EXCEPTION:* A US citizen or national appointed by his or her US employer to manage a foreign subsidiary (for example, a foreign firm in which the US firm has ownership of at least 51 percent of the voting stock) is not a representative of a foreign interest solely because of this employment. The appointing employer of the US citizen or national must be the principal employer and must possess or be in the process of obtaining a facility security clearance.

Sponsor—Air Force organization that conducts a conference or symposium and is responsible for complying with this instruction.

Attachment 2

CHECKLIST FOR ARRANGING AN AIR FORCE CONFERENCE OR SYMPOSIUM

Steps 1, 2, 7, 8, and 9 tell how to perform the security review and clearance of papers to be presented at conferences, symposia, and seminars with DoD or Air Force sponsorship or participation, including those hosted by industry and professional and technical associations and attended by foreign representatives. These procedures pertain primarily to classified information, unclassified information related to classified programs or projects, or controlled unclassified information. At the outset, the meeting sponsor assigns responsibilities by placing checks opposite the duty or action in one of the two squares in the right-hand columns.

NO.	DUTY OR ACTION	PERFORMED BY	
		MEETING SPONSOR	SUPPORT PROVIDER
1	6 months before the meeting, submit request for approval through SAF/IADV to SAF/AA.	✓	
2	5 months before the meeting, establish the responsibilities of the host facility, the meeting manager, and the security manager. Obtain written statement from the host facility allowing use of the facility.	✓	
3	Develop agenda.		
4	Select speakers and session chairpersons.		
5	Contact speakers and session chairpersons.		
6	Confirm in writing with speakers and session chairpersons.		
7	4 months before the meeting, make invitations for papers. Include disclosure guidelines, information on anticipated foreign attendance, and instructions on obtaining disclosure authorization.		
8	3 months before the meeting, get foreign disclosure approval.		
9	Establish milestones.	✓	
10	Select classification level.	✓	
11	Prepare information for brochure, including a description of the briefing and the agenda, registration and lodging information, and addresses/phone numbers where more information may be obtained.		
12	Prepare and distribute press release.		
13	Prepare and publish Commerce Business Daily announcement.	✓	
14	Select and arrange exhibits.		
15	Identify special invitees.		
16	Provide ___ copies of the brochure to the host.		
17	Print and mail brochure to mailing list and to requesters.		
18	Receive mail requests for brochure.		
19	Set up and operate a phone hot line.		
21	Make arrangements for the auditorium, including audio-visual requirements.		
22	Arrange protocol support if attendees will include distinguished personnel.		
23	Arrange meals, coffee breaks, receptions.		
24	Receive registration forms from registrants, maintain up-to-date roster, provide weekly copy of roster to the host.		
25	Review and approve need-to-know levels of attendees.		

NO.	DUTY OR ACTION	PERFORMED BY	
		MEETING SPONSOR	SUPPORT PROVIDER
27	Arrange transportation from hotel to briefing site.		
28	Verify security clearances.		
29	Conduct rehearsals.		
30	Collect copies of briefing material and hand-outs, make sufficient copies for attendees.		
31	Collect material from speakers for inclusion in proceedings.		
32	Check out audio-visual equipment.		
33	Arrange for tables, chairs, signs for registration.		
34	Set up furniture 12 hours before briefing.		
35	Obtain on-site computer for registration.		
36	Arrange for phones for use by attendees.		
37	Arrange for message board at the briefing.		
38	Provide _____ copies of registration lists at registration.		
39	Arrange for guards (classified briefings).		
40	Provide supplies for registration: Pens UV inkpad and stamp UV light Message pads _____ _____		
41	Provide persons to assist with registration: Sponsor _____ Support Provider _____ Host _____		
42	Arrange for escorts for distinguished guests.		
43	Arrange for flags (American, Air Force, and General Officer).		
44	Arrange for parking.		
45	Prepare name signs for panel discussions.		
46	Print and duplicate up-to-date roster for and including all attendees.		
47	Provide cards for audience questions.		
48	Prepare after-action report.		
49	Prepare proceedings; send to DTIC.		