

THE TECHNICAL COOPERATION PROGRAM

SUBCOMMITTEE ON NON-ATOMIC MILITARY RESEARCH AND DEVELOPMENT

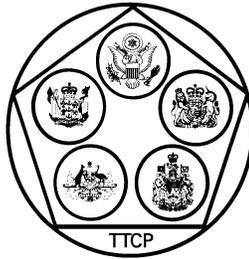
TTCP DOCUMENT

**Policies, Organization, and Procedures
in
Non-Atomic Military Research and Development**

POPNAMRAD

April 24 2002

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THE TECHNICAL COOPERATION PROGRAM

FOREWORD

This document sets out the policies, organization and procedures (POP) to be used in The Technical Cooperation Program (TTCP). The document is published under the authority of the Subcommittee on Non-Atomic Military Research and Development (NAMRAD), and is normally referred to by its short title, POPNAMRAD. It is to be used by all elements of TTCP in the execution of both science and technology activities and management activities. Under the authority of the NAMRAD Principals, POPNAMRAD is approved by the Washington Deputies and is published on their behalf by the Washington Secretariat.

This edition of POPNAMRAD is intended to provide a complete, consistent reference to the current policies, organization and procedures of TTCP.¹ If any discrepancy is found between this document and the TTCP MOU² as amended, the MOU governs.

Executive Chairs should inform the Deputies of any concerns or difficulties they have operating with these procedures. Revisions and clarifications will be published by the Washington Secretariat on the TTCP Web site, <<http://www.dtic.mil/ttcp>>. Contact details for the Washington Secretariat can be found on the final page of this document.

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- 1 This document is intended to be gender neutral. The use of “he” and “his” is intended only to make the writing less cumbersome than the legally, technically, and politically more correct “he/she” and “his/her.”
 - 2 “Memorandum of Understanding among the Minister of Defence on behalf of the Department of Defence of Australia, the Department of National Defence of Canada, the New Zealand Defence Force, the Secretary of State for Defence of the United Kingdom of Great Britain and Northern Ireland, and the Secretary of Defense on behalf of the Department of Defense of the United States of America Concerning The Technical Cooperation Program (Short Title: TTCP MOU)” signed in Melbourne, Australia, October 1995, and the amendment thereto dated 16 October 2000.

Issued under the authority of the
NAMRAD Principals

POPNAMRAD version DOC-SEC-2-2002 is issued and authorized by the Washington Deputies of TTCP of Australia, Canada, New Zealand, United Kingdom and United States of America .

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GLOSSARY

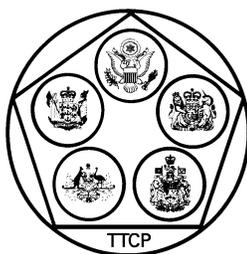
Abbreviations:

AS	Australia
CA	Canada
E&MT	Equipment and Material Transfer
LRTR	Limited Release Technical Report
NAMRAD	Non-Atomic Military Research and Development
NZ	New Zealand
PA	Project Arrangement
R&D	research and development
S&T	science and technology
US or U.S.	United States of America
UK	United Kingdom
WCO	Washington Contact Officer

Definitions:

Background Information	Information generated outside the scope of a particular TTCP S&T harmonization and alignment effort or TTCP Project
Contributing Participant	a Participant that contributes resources to a TTCP-authorized S&T harmonization and alignment effort or is a signatory to a TTCP Project Arrangement
Contractor Support Personnel	persons who provide administrative, managerial, scientific, or technical support to a Participant under a contract with that Participant
Controlled Unclassified Information	unclassified Information to which access or distribution limitations have been applied in accordance with applicable national laws or regulations
Cooperative Program Personnel	military members or civilian employees of a Participant assigned to work on a TTCP Activity in a country other than their own who perform managerial, research and development, planning or other functions in furtherance of a TTCP Activity
Defense Purposes	manufacture or other use in any part of the world by or for the armed forces of any Participant, or any lawful manufacture or other use by or for the governments of the Participants in the interest, promotion, or enforcement of their national security and civil defense, but excluding defense sales or other transfers

Information	knowledge that can be communicated by any means, regardless of form or type including, but not limited to, knowledge of a scientific, technical, business, or financial nature whether or not subject to copyright, patent, or other legal protection
Invention	any invention or discovery formulated, made (conceived or first actually reduced to practice) in the course of work performed under a TTCP S&T harmonization and alignment effort, or a TTCP Project
Jointly Generated Foreground Information	Information jointly generated by the Contributing Participants in the performance of a particular TTCP S&T harmonization and alignment effort or TTCP Project
National Foreground Information	Information generated solely by one of the Contributing Participants in the performance of a particular S&T harmonization and alignment effort or TTCP Project
Participant	a signatory party to the TTCP MOU. These are the Department of Defence of Australia, the Department of National Defence of Canada, the New Zealand Defence Force, the Secretary of State for Defence of the United Kingdom of Great Britain and North Ireland, and the Secretary of Defense of the United States of America.
Third Party	any person or other entity whose government or agency thereof is not a Participant to the TTCP MOU
TTCP Activity (capitalized)	a specific TTCP S&T harmonization and alignment effort or TTCP Project
TTCP Document	Information in any form published and disseminated throughout TTCP in accordance with the procedures contained in the POPNAMRAD document
TTCP Project (capitalized)	a specific S&T collaborative activity described in a Project Arrangement to the TTCP MOU
TTCP Project Arrangement	an implementing arrangement, under the TTCP MOU, which specifically details the provisions of binding collaboration on a specific TTCP Project between two or more Participants



SECTION 1– INTRODUCTION

1.1 Historical Background

1. On 25 October 1957, the President of the United States and the Prime Minister of Great Britain made a Declaration of Common Purpose containing the following:

The arrangements which the nations of the free world have made for collective defense and mutual help are based on the recognition that the concept of national self-sufficiency is now out of date. The countries of the free world are inter-dependent and only in genuine partnership, by combining their resources and sharing tasks in many fields, can progress and safety be found. For our part we have agreed that our two countries will henceforth act in accordance with this principle.

2. Immediately afterward, the Canadian Government subscribed to this principle of interdependence and joined in the common effort. The resulting organization was called the Tripartite Technical Cooperation Program.

3. As a result, an exchange of notes was made which reconstituted the Combined Policy Committee (CPC) which comprised the Foreign and Defense Ministers of the United States, the UK and Canada and also the heads of the atomic energy agencies of the three nations. It was further decided that two Subcommittees of the Combined Policy Committee should be established, one to deal with matters in the atomic field and the other to facilitate cooperation in non-atomic research and development. The latter body, eventually named the Subcommittee on Non-Atomic Military Research and Development (NAMRAD), comprised the heads of defense research and development organizations in the United States, the UK and Canada. Australia joined the NAMRAD Subcommittee in 1965, and New Zealand joined in 1969. These five nations form the current membership, and the organization governed by the Subcommittee is now called The Technical Cooperation Program (TTCP).

4. From 1958 until 1971, TTCP grew from an original 8 Groups to 17 Groups. These 17 Groups oversaw a total of 57 Working Panels and 43 Working Groups. Based on a conviction that the program had grown too large and that it encompassed some activities of marginal value, a complete review of TTCP was carried out in late 1971. In March 1972 a

policy statement was issued which revised the scope, structure, and mode of operation of TTCP to ensure that the manpower and other resources expended on the program would be limited to areas of high potential for mutual benefit.

5. In 1994 the TTCP participants were advised of a U.S. legal interpretation requiring all U.S. defense arrangements, including the former TTCP Declaration of Common Purpose, to be formalized by way of a memorandum of understanding (MOU). The required MOU was signed in Australia in October 1995 by the TTCP nations.

6. At the 1995 NAMRAD annual meeting, the Principals asked the Deputies to investigate the structure and operations of TTCP. This study led to the second major revision of the organization, adopted at the NAMRAD meeting held in the UK in October 1996. The major technical elements, known since the early days of the NAMRAD Subcommittee as Subgroups, were renamed Groups. The two Subgroups that had focused on radar and on optoelectronics and infrared technologies were combined into a Sensors Group. A new Group called Joint Systems and Analysis was formed to perform system concept studies, to do analyses of joint operations and land operations, and to conduct operations research studies. With these revisions, there are now 10 Groups. The current organization is described in Section 2.

7. At the 2000 NAMRAD meeting, the Principals signed an amendment to the TTCP MOU augmenting and clarifying some aspects of TTCP activities.³

1.2 Aims and Means

8. The central concept that led to the formation of TTCP was contained in the Declaration of Common Purpose. That declaration recognized that no nation possesses the total resources to provide for its own defense research and development needs. The aim of TTCP, then, is to foster cooperation in the science and technology needed for conventional, i.e. non-atomic, national defense. The purpose is to enhance national defense at reduced cost.

9. Collaboration within TTCP provides a means of acquainting the participating nations with each other's defense research and development programs so that each national program may be adjusted and planned in cognizance of the efforts of the other nations. This process avoids unnecessary duplication among the national programs, promotes concerted action and joint research to identify and close important gaps in the collective technology base, and provides nations with the best technical information available.

10. TTCP encompasses basic research, exploratory development, and demonstrations of advanced technology. This scope includes the exploration of alternative concepts prior to development of specific weapon systems. Specific systems may be utilized to gain an understanding of the state of the art and to derive the departure point for future activity. Collaborative research, sharing of data and facilities, joint trials and exercises, and advanced concept technology demonstrations are all accepted forms of cooperation.

³ The full bibliographic reference to the TTCP MOU is given in a footnote on page i of the prefatory material.

SECTION 2 – ORGANIZATION

2.1 Overview

11. In 1996 the Principals established a three-level structure. Level 1 is the strategic policy level. Level 2 is the program planning and oversight level. Level 3 is the science and technology operational level. These three levels are explained briefly in the following paragraphs, and the duties and operations of the various bodies and officials are discussed more fully in Sections 3 and 4. Figure 2.1 is a diagram of the organizational structure.

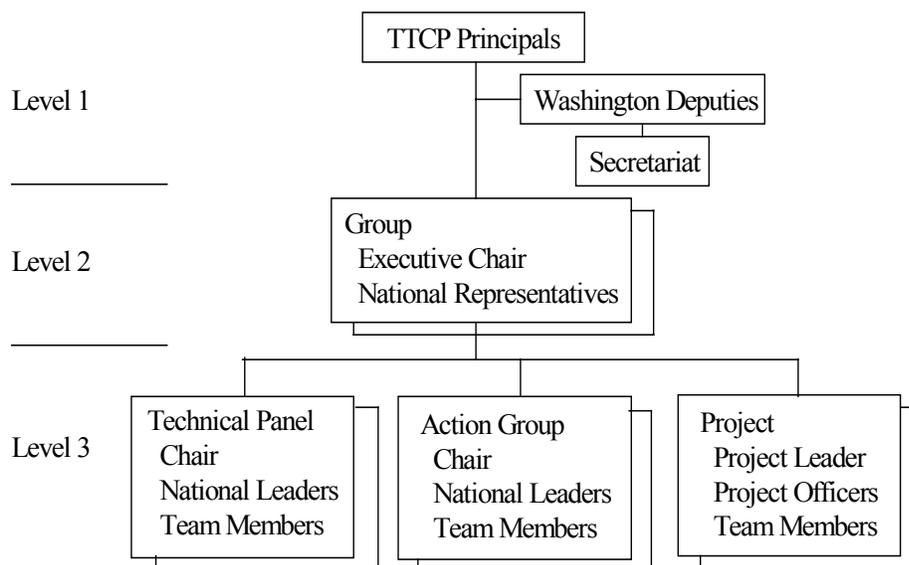


Figure 2.1. The TTCP Three Level Organization

2.2 Level 1 - Policy

12. Level 1 comprises the Principals, the Washington Deputies, and the Washington Secretariat. The Principals act jointly as the NAMRAD Subcommittee⁴ to provide the policy, strategic vision, and goals and to give broad direction for achieving science and technology collaboration. The Principals also determine the Level 2 structure, appoint Level 2 participants, review and approve or redirect the TTCP program, and define management procedures. The Washington Deputies and Secretariat provide a supporting structure to implement the Principals' directives.

2.3 Level 2 - Program Planning and Oversight

13. The Principals have established ten Groups to perform program planning and oversight of the TTCP cooperative efforts. For convenience, each Group has been given a three-

4 Hereafter, "TTCP Principals" or "Principals" will be used instead of "NAMRAD Subcommittee."

character designator (see Table 2.1).

Table 2.1. Group Names and Designators

Group Designator	Group Name
AER	Aerospace Systems
C3I	Command, Control, Communications and Information Systems
CBD	Chemical, Biological and Radiological Defence
EWS	Electronic Warfare Systems
HUM	Human Resources and Performance
JSA	Joint Systems and Analysis
MAR	Maritime Systems
MAT	Materials and Processes Technology
SEN	Sensors
WPN	Conventional Weapons Technology

14. Groups form the semi-permanent infrastructure of TTCP. They are designed to plan and undertake detailed work in areas of high potential for mutual benefit. Their technical assignment is broad in scope, usually defined by a technology area, system type, or mission area.

15. A Group consists of an executive body (Level 2) and subordinate technical collaboration bodies (Level 3). An Executive Chair, appointed by the Principals, heads the executive body, and each participating nation appoints a National Representative.

16. Collectively, the Executive Chair and National Representatives of a Group develop the specific objectives, the strategy, the organization, and the work program of the Group. The National Representatives are responsible for determining whether, and to what extent, their nations will participate in each proposed activity. National Representatives may optionally appoint Technical Advisors to assist them.

17. A Washington Deputy assigned to a Group as “Group Counselor” attends Group meetings in support of the Executive Chair. He facilitates Group activities by communicating and explaining the vision, policies, and directives of the Principals.

18. Most Group management decisions are taken at a Group annual meeting. At this meeting, the executives reconsider their objectives and strategy, review ongoing projects, and assess each of the Group’s subordinate elements. They make whatever changes in organization and work program they think are needed.

2.4 Level 3 - Science and Technology Operations

19. Each Group establishes Level 3 subordinate elements, made up of scientific and technical specialists from the participating nations, to undertake the science and technology

activities. There are currently three types of Level 3 bodies—Technical Panels, Action Groups and Projects. A Technical Panel is a standing group that pursues a continuing program; an Action Group is an ad hoc group formed to achieve a specific objective; and a Project is an ad hoc group that operates under a Project Arrangement. These elements are formed by the Group as needed, and are approved by the Principals. Most Groups have from 6 to 10 Technical Panels and Action Groups.

20. The operations of all elements of TTCP are explained in Sections 3 and 4.

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SECTION 3 – TTCP ACTIVITIES

3.1 Types of Cooperation

21. TTCP technical cooperation falls into three general types: Information exchange, harmonization and alignment of programs, and major projects requiring a separate covering document called a Project Arrangement. These three types are discussed in turn.

22. **Information Exchange.** Much Information exchange occurs as an integral part of collaborative research efforts, but it can also be an objective in itself. Information exchange is usually undertaken as a preliminary step to a collaborative study or research activity. The Principals give lower priority to Information exchange as a primary means of collaboration than to development of new scientific knowledge and technology.

23. The MOU requires that Information exchange take place on a balanced, reciprocal basis of approximately equivalent value. In achieving this equitable exchange, the Information exchange need not occur at one specific time, in one technical field, or in one body. This equitability condition applies to TTCP as a whole rather than to individual elements. Groups and their subordinate elements are authorized to exchange Information within the scope defined by their Terms of Reference, but collectively these exchanges must be equitable over a reasonable period of time and must comply with the laws and procedures of the releasing nations.

24. **Harmonization and Alignment.** Harmonization and alignment of programs account for the majority of collaboration under TTCP. Groups review the national programs, identify topics or problems of mutual interest, and harmonize their respective national programs to achieve the greatest mutual benefit. The collaboration that results can take the form of dividing up a large task among the participants, each conducting his part, and then sharing the results. Another common form is using facilities, test ranges, or equipment of one nation to demonstrate technology developed by several participants and then sharing the results. In another form, the collaboration involves multinational teams of scientists working together on a common problem. In all of these cases, each Participant funds its own participation and accepts any risk to its people and equipment.

25. Except for transfers of Equipment and Material, the TTCP harmonization and alignment activities are conducted on a best efforts basis. These activities do not establish a binding commitment on the Participants to allocate financial or other resources, perform science and technology tasks, or conduct any other specific activity. Harmonization and alignment activities are authorized by the mutual consent of National Representatives, subject to review by the Principals.

26. **Project.** The 1995 MOU authorizes a new form of cooperation, a TTCP Project conducted under a Project Arrangement. A Project Arrangement is a document that includes specific provisions, consistent with the MOU, concerning the objectives, scope of work, sharing of work and other contributions, management structure, security, and any other

provisions necessary to conduct a cooperative science and technology project. It carries a higher degree of national commitment than the “best efforts” of program harmonization and alignment activities. Two or more TTCP Participants can conclude a TTCP Project Arrangement. Section 4.3.3 provides further information and procedures for Projects.

3.2 *Research Activities and Methods*

27. TTCP Groups and their subordinate elements achieve their objectives by:
- a. mutually reviewing each nation’s program to identify areas of common interest and gaps in the existing programs;
 - b. suggesting changes to the national programs to avoid duplication, change emphasis, or focus on a promising new technology;
 - c. conducting collaborative research and technology development on projects of high mutual interest;
 - d. utilizing special capabilities, facilities, personnel, and geographical or environmental regions to greatest advantage;
 - e. exchanging Information by means of technical reports, workshops, symposia, visits, and exchange of scientific personnel;
 - f. developing databases and pooling data;
 - g. transferring materials, equipment, software, and test items;
 - h. establishing common methods and standards for test and for evaluation of experimental results;
 - i. publicizing TTCP achievements to users, especially to non-scientists.
28. Most TTCP activities involve all five TTCP Participants; however, there are instances in which some Participants elect not to participate. This can be the result of national policy, military relevance, or other factors. The TTCP MOU permits activities with as few as two TTCP Participants, although broader participation is desirable.
29. All of the official leadership positions in TTCP must be filled by employees of a TTCP government. “Contractor Support Personnel” can be used in supporting roles if they have executed a suitable Confidentiality Arrangement and their work is supervised and directed by a Participant⁵. Beyond this, contracting to perform tasks required by a particular activity is permitted by the MOU under specific conditions. It is also permissible under a Project Arrangement for one Participant to place contracts on behalf of another Participant, with the benefiting Participant providing the funding. This is discussed in Section 5.5.
30. When TTCP Participants can benefit from cooperation with a Third Party (any entity whose government or agency thereof is not a Participant), such cooperation is permitted by the MOU, but only under specific conditions and after specific authorizations. These

⁵ The Participants are the Defense departments of the TTCP member nations.

requirements are discussed in Section 5.6.

31. In the past the scientists and other personnel working on TTCP activities have normally been restricted to working in their own countries and travelling only for short periods to participate in trials, meetings, etc. However, Amendment 1 to the TTCP MOU now authorizes assignment of personnel of one TTCP Participant to work for an extended period in the country of another Participant under the supervision of the host Participant's managers. Personnel assigned for such duty are called Cooperative Program Personnel and the assignment is to a specific TTCP activity. Conditions and procedures for Cooperative Program Personnel assignments are given in Section 5.4.

3.3 Classified Information

32. Under normal circumstances, Information up to and including the level of SECRET may be exchanged within TTCP, provided that national security regulations and procedures are followed. However, the MOU allows Information up to TOP SECRET to be exchanged under TTCP when the furnishing Participants concur. Paragraph 103 in Section 4.3.3 gives guidance for Project Arrangements that require classified information.

33. The operation of TTCP is explained more fully in Section 4, and more general procedures are presented in Section 5.

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SECTION 4 – COMPOSITION AND OPERATION

4.1 Level 1 – NAMRAD Subcommittee of the Combined Policy Committee

34. The Combined Policy Committee established a subcommittee to facilitate cooperation in non-atomic military research and development. This body, known as the NAMRAD Subcommittee, is the governing body of TTCP. Each of the TTCP Participants has one representative on this body, and these representatives are called the NAMRAD Principals or, in this document, the TTCP Principals.

4.1.1 Composition of the NAMRAD Subcommittee

35. The TTCP Principals are

Australia:	Chief Defence Scientist Department of Defence
Canada:	Assistant Deputy Minister (Science and Technology) Department of National Defence
New Zealand:	Director, Defence Technology Agency New Zealand Defence Force
United Kingdom:	Director, Science and Technology Ministry of Defence
United States of America:	Deputy Under Secretary of Defense (Science and Technology) Department of Defense

36. The TTCP Principals do not have a permanent head. The Principal of the Participant hosting the annual NAMRAD meeting acts as chair of that meeting.

4.1.2 Responsibilities

37. The TTCP Principals, acting collectively, have the following responsibilities:

- a. establish all policies, organization, and procedures for the effective operation, direction, and control of TTCP activities;
- b. review the operations of TTCP and direct any changes to the MOU and procedures as needed;
- c. designate those fields of defense research and development (R&D) that are included in the technical scope of TTCP activities;

- d. approve Group Terms of Reference (Annex B) and appoint personnel to the Executive Chair positions;
- e. approve the program of work in each of the designated fields and oversee the progress in these programs;
- f. review the progress achieved in the five nations in those fields included in TTCP and determine the need to modify the scope of TTCP activities;
- g. foster maximum cooperation and interchange of Information among the five nations in the designated fields of defense science and technology;
- h. maintain effective communications with the combatant elements of the member nations;
- i. authorize, in accordance with national procedures, new TTCP Project Arrangements and the amendment or termination of existing Project Arrangements (Section 4.3.3);
- j. authorize, in accordance with national procedures, Confidentiality Arrangements and MOUs that permit participation by Third Parties (Section 5.6).

38. In addition, each Principal, acting individually, is responsible for appointing a National Representative to each Group in which his nation participates and for formally appointing Executive Chairs that are from his nation. He may also appoint a Washington Deputy. He will authorize his nation's participation in, or withdrawal from, any TTCP activity, including Project Arrangements and Third Party MOUs.

4.1.3 Operations of TTCP Principals

39. When acting collectively, the TTCP Principals will make decisions unanimously except with respect to item 37.i above. Project Arrangements may be initiated, modified or terminated by the unanimous approval of only the participating nations (Contributing Participants).

40. Meetings of the Principals will take place annually and at other times as agreed upon by the Principals. Annual meetings will normally take place in the member nations by rotation. At the annual meetings, the Principals will review the status, results, and plans of the Groups, and will approve the program to be carried out in each of the fields of science and technology collaboration. The Principals will review the status and progress in the five nations in defense science and technology, determine whether fields should be added or removed, and determine the scope of activities. The Principals will approve any awards and will provide direction to the Washington staff and the Executive Chairs.

41. The minutes of meetings of the Principals will be prepared by the Secretariat in accordance with Annex A. The Secretariat will circulate an approval copy within 6 weeks of the meeting adjournment. The Deputies will obtain the agreement of the Principals to the minutes. The Principals will regard the minutes of their meetings as sufficient basis for any required actions.

4.1.4 The Washington Deputies

42. To facilitate the work of the Principals and the management of the TTCP program, each Principal may appoint a Deputy. Normally located in Washington, these Deputies are known as the Washington Deputies.

4.1.4.1 Composition

43. The Washington Deputies are

Australia and New Zealand:	Counsellor Defence Science Embassy of Australia, Washington, D.C.
Canada:	Counsellor Defence Research and Development Embassy of Canada, Washington, D.C.
United Kingdom:	Counsellor Defence Science and Technology British Embassy, Washington, D.C.
United States of America:	Director, Basic Research Office of the Director of Defense Research and Engineering Pentagon, Washington, D.C.

4.1.4.2 Responsibilities

44. The Washington Deputies have the following general responsibilities:

- a. perform any TTCP management function under the MOU assigned by the Principals;
- b. respond to all decisions and directives of the Principals and carry out studies and reviews as directed;
- c. ensure that all decisions and directives, especially outcomes of NAMRAD meetings, are communicated to Executive Chairs; monitor the completion of any required actions;
- d. resolve any issues that are brought forward by TTCP Level 2 and Level 3 elements by consulting among the Washington Deputies of the Contributing Participants;
- e. call to the attention of the Principals any major problems or difficulties; refer to the Principals those issues that cannot be resolved by the Washington Deputies;
- f. manage the continuing operations of TTCP to ensure proper control and uniformity among Level 2 and Level 3 elements;
- g. ensure that there is no unwarranted duplication among TTCP activities and encourage collaboration among Groups where appropriate;

- h. review all areas of defense R&D in TTCP and all other areas of defense R&D to determine the need for changes to the TTCP program; recommend needed changes to the Principals;
45. In addition, the Deputies have the following specific duties:
- a. develop and issue the document POPNAMRAD;
 - b. schedule and make the arrangements for the annual NAMRAD meeting;
 - c. establish new TTCP activities as directed by the Principals;
 - d. assign one Deputy to act as Group Counselor to each Group, as discussed below;
 - e. coordinate requests for Third Party Sales or Transfers on behalf of the Participants (Section 5.8.3).
46. Each Deputy is individually responsible to his Principal(s) and will perform all managerial and technical tasks assigned. Each Deputy will appoint his nation's Secretariat member and will act as the Group Counselor to Groups assigned by the Deputies.
47. As Group Counselor, a Deputy must assist a Group by communicating and interpreting the directives of the Principals, facilitating the resolution of issues requiring resolution by Principals or Deputies, and ensuring a degree of uniformity in procedures across Groups. A Group Counselor will normally attend all Group meetings and will interact with the Executive Chair and the National Representatives as necessary. Note that a Group Counselor does not direct the activities or dictate the positions of a Group; rather, the Group Counselor assists the Group. He acts as a convenient point of contact at Level 1 but does not inhibit direct communication between the Executive Chair and any of the Principals.
48. The Deputy of the Participant hosting a NAMRAD meeting will be responsible for all arrangements for the meeting unless the host nation's Principal decides to manage the arrangements in some other way.
49. As a national decision, any Deputy may appoint Washington Contact Officers (WCOs) to support the Deputy and his Secretariat member and to support the Executive Chairs of particular Groups. Appointment of WCOs is optional. A WCO can act as a Washington point of focus for his national participants. In this role, he can facilitate contacts and expedite correspondence, including the provision of a secure channel for exchange of classified material.
50. A WCO can act ex officio as a member of his assigned Groups and their subordinate elements and can attend meetings as specified by national policy. The WCO may represent his National Representative or National Leader at any meeting of the Group or its subordinate elements when so requested by his Deputy.

4.1.4.3 Operations

51. When acting collectively, the Washington Deputies will make decisions unanimously except that, in matters of TTCP Projects, Equipment and Material Transfers, Third Party

Sales and Transfers, and Cooperative Program Personnel, only the Participants directly involved need be unanimous.

52. The Deputies will meet as necessary, but no fewer than four times in any year. Dates and locations of meetings will be determined by agreement among the Deputies. No more than one Deputy may be absent from any meeting, and he must be represented by his respective Secretariat member.

53. The minutes of each Deputy meeting will be prepared by the Secretariat directly after the meeting and will be in accordance with Annex A. The Deputies will approve the minutes and then will regard the minutes as sufficient basis for any further action.

4.1.5 The Washington Secretariat

54. Each Deputy will appoint a staff member to coordinate administrative actions connected with the work of the TTCP Principals and to assist with the staff duties and correspondence of the Deputies. These staff members will be known collectively as the Washington Secretariat or the Secretariat. The period of office for each member of the Secretariat will normally be between 3 and 5 years.

4.1.5.1 Responsibilities

55. The Secretariat has the following specific responsibilities:

- a. perform administrative and staff activities connected with the meetings and activities of the TTCP Principals and Deputies;
- b. prepare the minutes of the meetings of the Principals and the Deputies;
- c. maintain a running record of the status of action items;
- d. maintain a file of current Level 2 Terms of Reference;
- e. ensure that copies of relevant TTCP publications and other pertinent instructions are provided to all National Representatives and National Leaders;
- f. maintain an up-to-date list of all upcoming TTCP meetings;
- g. maintain an up-to-date roster of all TTCP elements, officials, and team members;
- h. maintain a record of past and current Executive Chair service and expected tour expiration dates. Consideration of this list is a standing requirement of every NAMRAD annual meeting;
- i. assist Groups in administrative, security, or other problems;
- j. maintain relations as necessary with standardization organizations;
- k. perform other administrative duties assigned by the Deputies.

56. The Secretariat is responsible for compiling, editing and publishing the following TTCP publications:

- a. the Briefing Book for NAMRAD Meetings, including all Group annual reports and achievement award nominations;
- b. the minutes of the NAMRAD meeting, including the Group presentations, Group annual reports and Group (Level 2) Terms of Reference;
- c. the TTCP Roster, listing membership of all subordinate elements within TTCP;
- d. the TTCP document POPNAMRAD;
- e. the TTCP Web site;
- f. any other documents specifically directed by the Principals or Deputies.

4.1.5.2 Operations

57. The Secretariat will attend NAMRAD meetings and Deputy meetings and will meet as a separate body as necessary to carry out its responsibilities. Ordinarily, Secretariat members will not attend Level 2 or 3 meetings.

58. As recipients of reports and other communications from the Groups, the Secretariat members will maintain a general understanding of the progress and difficulties of the Groups and subordinate elements. The Secretariat will bring to the attention of the Deputies any situation that appears to require support or direction.

59. Secretariat members should be registered users of ENTRUST, if national directives permit, to facilitate communication of Controlled Unclassified Information by electronic means.

4.2 Level 2 – Groups

60. The major responsibilities of a Group are to plan and direct a program, to oversee the cooperative activities, to report the status and results to the Principals, and to facilitate the application of newly developed technology to military needs. Each Group is assigned a title and a field of activity by the Principals. These fields are broadly defined to permit the Groups to operate as efficiently as possible without frequent reference to higher authorities. Terms of Reference will conform to the template given in Annex B.

4.2.1 Formation and Membership

61. The TTCP Principals establish a Group executive body to manage each of the major fields of cooperation within TTCP. This body, consisting of an Executive Chair and one National Representative from each participating nation, provides leadership and direction for the Group, taking responsibility for the work program and being directly accountable to the Principals for outcomes. The Executive Chair must represent the best interests of all participating nations collectively while the National Representatives are also expected to represent the particular interests of their nations.

62. The TTCP Principals appoint Executive Chairs, and Executive Chairs report directly to the Principals. The following are basic requirements for an Executive Chair:

- a. that he is a senior official in his nation's science and technology organization;
- b. that he is acceptable to the Group he chairs, although he need not have come from that Group;
- c. that he has sufficient international experience to be, and be seen to be, impartial when attending to Group-wide issues;
- d. that he is in a position to promote the work of his Group, both in the international and national forums;
- e. that he is likely to be available to serve as Executive Chair for at least three years.

63. In appointing Executive Chairs, the overriding consideration is obtaining the best person for the job. Whenever feasible, the burden of providing Executive Chairs should be equitably borne across the Participants. Any Participant providing an Executive Chair should have a substantial program of work relating to the work of the Group. The Principal of the Participant providing a new Executive Chair will make the formal written appointment on behalf of the NAMRAD Subcommittee. An Executive Chair will normally serve for a period of 3 years, extendable to 5 years. The changeovers will normally occur at NAMRAD meetings.

64. Each Participant is solely responsible for appointing a National Representative to each Group. These appointments should be in writing to avoid possible misunderstandings. A Participant can appoint additional people as required to meet national needs, but these additional appointees will serve only to support their National Representative or the Executive Chair, not as additional delegates. These appointees are called Technical Advisors.

65. To assist with their duties, Executive Chairs and National Representatives may employ the services of Executive Assistants. Executive Assistants will be regarded as members of the Group. They carry no executive authority except as delegated by their superiors.

4.2.2 Duties of Group Executive Chairs

66. The Executive Chair must understand the state of the art and the national defense needs within his field, and he must provide the vision and leadership to formulate a highly effective, cooperative program in science and technology. The Executive Chair will provide coordination and continuity to all Group activities, particularly between meetings. Specifically, the Executive Chair will:

- a. preside over Group meetings and the formulation of the technical program of the Group;
- b. provide management oversight for all subordinate Technical Panels, Action Groups and Projects (the Group's "subordinate elements"); act as the executive point of contact for these elements; and maintain a file of current Level 3 Terms of Reference;
- c. ensure that subordinate elements are fully informed of the Principals' directives and the relevant TTCP policies and procedures;

- d. inform the National Representatives and the subordinate element Chairs and Project Leaders of all correspondence, tasking, and guidance received from the Principals and Deputies;
- e. submit the Group annual report to the Group Counselor by 31 July each year (see template in Annex C);
- f. at the annual NAMRAD meeting, brief the Principals on the accomplishments of the Group, present the proposed program, and receive direction and guidance (see Appendix 4 of Annex C);
- g. ensure any Achievement Award nominations are submitted to the Group Counselor in accordance with Section 5.1 and assume full responsibility for the completeness of the material, suitability of the nominations, and appropriateness of the proposed recipients;
- h. notify the Group Counselor of all Group Level 2 activities as they are planned and submit minutes and reports to the Deputies promptly after each meeting;
- i. draw the attention of the Deputies to any serious difficulties which have arisen in carrying out Group activities and proposals;
- j. provide the Deputies with advance details of any seminar or workshop to be sponsored by the Group or its subordinate bodies;
- k. ensure that participation by entities not normally included in TTCP efforts have the required prior written approvals (5.5, 5.6, 5.8.3);
- l. maintain communications with other TTCP Groups and coordinate cooperative activities to avoid duplication and to achieve mutual benefit;
- m. ensure that the Group elements in the TTCP Roster are regularly reviewed for accuracy and confirm to the Australian Secretariat member each year that all changes and corrections have been advised. Note that an Executive Chair is the only authentication that is acceptable for changes to the appointment information for his Group (Annex N);
- n. oversee the Group element of the TTCP Web site and provide the Secretariat with updates for implementation on the TTCP home page (Section 5.2);
- o. maintain a consolidated listing of Level 3 Terms of Reference;
- p. maintain a database of Group publications and issue Group publication numbers for both Level 2 and Level 3 elements.

4.2.3 Duties of National Representatives

67. In planning and managing the Group program, National Representatives must bring to the Group their own Participants' visions of priorities and opportunities within their field. For Group meetings, each National Representative is responsible for prior coordination of national positions on all items to be discussed; proper security releases in advance for all Information to be disclosed; timely visit clearance requests for meeting attendees; and, in consultation with other National Representatives, planning for the meeting. In addition, each National Representative will:

- a. represent his Participant in the formulation of the technical program of the Group;
- b. approve Confidentiality Arrangements for his Participant (Section 5.6 and Annex I) for participation of entities that are not Third Parties, and forward them through the Executive Chair to the Deputies for information;
- c. approve Equipment and Material Transfers for his Participant, as permitted by national procedures (Section 5.7);
- d. be responsible for the distribution, to appropriate persons within his nation, of all Information received from the other Participants including correspondence and TTCP publications. In doing this, the National Representative will observe all security and proprietary restrictions placed on Information by the other nations (paragraph 32 and Section 5.9);
- e. ensure that all actions accepted by his Participant on behalf of the Group are properly executed;
- f. make the arrangements for Group meetings or other activities for which his Participant is host. This includes notification of meetings, preparation and publication of agendas, and circulation of minutes and reports;
- g. ensure that the Executive Chair, the other National Representatives, and the Washington Secretariat are promptly informed of all changes in national membership within the Group and its Level 3 elements. Each National Representative is responsible to the Executive Chair for the accuracy of the Roster related to his country's Level 3 representation;
- h. provide information and assistance to the Executive Chair as required; draw the attention of the Executive Chair to any difficulties encountered in the operation of the Group;
- i. as a Group representative, confer with Technical Panels and Action Groups meeting within the National Representative's country to ensure that the Principals' directives and TTCP policies and procedures are understood and to receive advice on subordinate element issues and activities.

4.2.4 General Procedures of a Group

68. Within their Terms of Reference, Groups will carry out meetings, exchanges, research, and other activities as necessary to achieve their objectives. A template for a Group Terms of Reference is given in Annex B.

69. A Group will establish and oversee a limited substructure of Technical Panels, Action Groups and Projects (its Level 3 elements), and will establish a collaborative program to meet its assigned objectives. All new initiatives will be proposed to the Principals at their annual meeting, but work on new initiatives can start before this meeting. The Principals will approve or redirect any initiative as they see necessary. Annex B, Appendix 2 gives an example of Terms of Reference for a Technical Panel.

70. A Group must exercise effective oversight of its Level 3 elements. It will pay particular attention to areas where activities overlap with other Groups, collaborating and

communicating with these other Groups as necessary.

4.2.4.1 Annual Report and Briefing

71. Every Group will prepare an annual report consistent with the instructions in Annex C. The format of the Level 2 report was prepared in 2002 in response to an action placed by the Principals at NAMRAD 2001 to simplify the report. This report will reference the Group Strategic Plan and will describe the achievements of the Group relative to approved objectives, the status of the ongoing program, and the plan for the future program. This report will be transmitted to the TTCP Principals and the Group Counselor by 31 July each year, regardless of when the Group annual meeting is held. It is each Group's business to request appropriate Level 3 reports to enable it to compile the Group's annual report. A suggested format of such reports, prepared by EC AER and EC WPN in 2000, is at Annex C Appendix 2.

72. The Executive Chair of each Group will brief the Principals at the annual NAMRAD meeting. This briefing is important both to the Principals and to the Executive Chair. It is usually the only opportunity the Executive Chair has to interact directly with all of the Principals; and it provides the Principals an opportunity to gain, first hand, the information they need to assess the worth and effectiveness of the Group and to direct the Group's program. Consequently, in preparing for this briefing the Executive Chair should concentrate on the information that allows the Principals to do their job, i.e. the information presented should be relevant to the decisions that the Principals must make. These decisions relate to the structure of TTCP, to the technological directions taken by TTCP Groups, to the expansion or contraction of activities, and to the solution of problems that must be addressed at the level of Chief Scientist or equivalent. This briefing should be kept at the strategic level. An example of a briefing outline is given at Appendix 4 of Annex C.

4.2.4.2 Strategic Plan

73. Each Group must prepare a Strategic Plan, a stand-alone document of about 3 to 5 pages, used to communicate the strategic direction of the Group for a period of 3-5 years. The Executive Chair should submit the Strategic Plan to the Group Counselor annually along with the Group annual report. Then he must discuss the Plan as an important part of the briefing to the Principals. The Principals approve these plans at the NAMRAD meeting. The approved plan is to be used for guidance; it is not prescriptive. If there has been no strategic change during the reporting period and none is considered necessary for the foreseeable future, the plan can remain unchanged. No template is provided for the Strategic Plan, but the Plan should include at least the following:

- a. strategic vision;
- b. a top-level plan of how the Group intends to achieve its vision, with strategic outputs identified;
- c. management and organizational structure of the Group, with details of how each element contributes to the strategic output;

- d. 3–5 year road map (planning chart) showing the key outputs of the Group and the contributing elements. Generally a one-page Gantt chart is sufficient. Annex C Appendix 3 shows an example of a road map.

4.2.4.3 *Group Performance Metrics*

74. Each Group must perform an annual self-assessment. This consists of two parts—an assessment of each of the Group's Level 3 elements and an assessment of the overall Group performance. See paragraph 109 and Annex E. For the second part, the executives identify the Group's two strongest points and one area that they recognize as needing attention during the next year. The Executive Chair will present this self-assessment to the Principals at the NAMRAD meeting.

4.2.4.4 *Maintaining the TTCP Roster*

75. All Groups will support the Washington Secretariat in maintaining an up to date TTCP Roster. This includes keeping current the structure and the names of all elements as well as the appointment and personal information. Changes to TTCP appointments must be sent to the Australian Embassy, Washington, D.C., using the TTCP Appointment Advice (Annex N), an electronic version of which can be obtained from the TTCP Web site. As detailed on the form, changes in TTCP appointments require the authentication of the Group Executive Chair. The Group will review the accuracy of the latest version of the Roster database (as provided by the Australian Secretariat via the Group Counselor) with the Australian Secretariat member and confirm that all necessary changes have been advised. This validation of the accuracy of the official TTCP Roster content will normally take place around October each year, following the NAMRAD meeting. Changes in personal particulars must be notified on the Personal Particulars Change Advice form (Annex O).

4.2.4.5 *Symposia and Workshops*

76. On occasions when broad acquisition or dissemination of Information is required, symposia or workshops can be held under TTCP auspices. When a Group decides to sponsor such a gathering, the Executive Chair will submit an advance copy of the proposed program to the Principals and the Group Counselor for information. A template that should be used to simplify this step is given in Appendix 3 to Annex D. National security procedures and other national laws will be observed in conducting the activity and producing and distributing the reports. The proceedings, major discussions, and recommendations of the symposium or workshop will be fully documented. The reports will bear TTCP and national security markings as appropriate. See Section 5.9.2. If participants who are not employees of a TTCP government are included, the special precautions and requirements presented in Section 5.6 apply.

4.2.4.6 *Group Meetings*

77. Every Group will review Group activities and will plan the way ahead at least once each year. This management function is normally performed at an annual meeting of the Group executives (i.e., the Executive Chair and National Representatives). This function will be completed by 31 August, about 2 months before the annual NAMRAD meeting.

78. The dates, locations, and agenda for Group meetings will be determined by mutual

agreement among the Executive Chair and National Representatives. Group meetings need not necessarily be held in each nation in turn. The main criterion for location is suitability for expeditious completion of business.

79. Additional Group meetings may be held if the Group executives determine that such meetings are necessary to meet the Group's objectives. Video conferencing can be used to minimize the number of meetings.

80. Detailed arrangements for Group meetings will be made by the host nation under the direction of its National Representative. The TTCP Principals have established that, aside from exceptional circumstances, business meetings for all TTCP elements should be limited to five working days including any local visits.

81. To arrange travel and security clearances, official notice of meetings together with the proposed agenda should reach all participants not less than 2 months before the date of the meeting.

82. The minutes of the Group meeting will be prepared by the host Participant in accordance with Annex A. The National Representative of the host Participant is responsible for preparing the minutes and publishing them after obtaining approvals from the Executive Chair and all National Representatives. The Executive Chair will send copies to the Group Counselor and the relevant Washington Contact Officers.

4.2.4.7 Correspondence

83. Whenever possible, Group business should be carried out by correspondence to speed actions and decrease the number of meetings. Whenever the content is neither classified nor sensitive, the use of electronic communications is encouraged. To minimize the risk of leakage of unclassified but sensitive material, transmission of such material by e-mail is not permitted unless the Information is encrypted. Currently ENTRUST encryption is acceptable for transmission of sensitive and Controlled Unclassified Information among all TTCP nations except the UK. Controlled Unclassified Information includes Information to which access or distribution limitations have been applied. Whether the Information is provided by a Participant or generated under a TTCP activity, it will be marked to indicate its "in confidence" nature. Classified Information and Material may be transmitted through the appropriate Embassy channels in accordance with national procedures.

4.3 Level 3 – Technical Panels, Action Groups and Projects

84. A Group may establish Technical Panels, Action Groups and Projects to undertake work in specific areas within the Group's Terms of Reference subject to approval of the Principals, normally at the next NAMRAD meeting. Newly established Technical Panels and Action Groups are expected to begin their work upon formation, not waiting for approval by the Principals. Projects may also get underway but they do not have the national commitment of the Project Arrangement until approved by the Principals of the Contributing Participants. Current listings of Level 3 elements and their members can be found in the TTCP Roster. The elements are also shown on the TTCP Web site.

4.3.1 Technical Panels

85. A Technical Panel is a standing group that conducts a series of tasks in an area of continuing interest and importance. Typically, a Technical Panel will have from three to six technical assignments and several studies in progress at any one time. The Technical Panel activities include Information exchange and collaborative research within their Terms of Reference. Technical Panels normally operate for a number of years.

86. For a Technical Panel, a National Leader and Team Members are appointed by each Participant through the initiative of that Participant's Group National Representative, who must notify the Executive Chair, the other National Representatives, and the Secretariat. National representation is at the discretion of each Participant, but it should be restricted to technical personnel capable of providing a positive input to the technical activities. The National Leader directs or negotiates work that will be done in his country as part of the collaborative research.

87. The parent Group appoints a Chair to lead the Technical Panel, normally from the National Leaders or Team Members. The Executive Chair makes this appointment. A Technical Panel Chair normally is expected to serve for at least 3 years.

88. The Group assigns a title and approves Terms of Reference for each Technical Panel. Annex B, Appendix 2 gives an example Terms of Reference for a Technical Panel. The Executive Chair will maintain a compilation of these Terms of Reference and will copy any new or changed Terms of Reference to the Group Counselor for information. Terms of Reference should be revised as necessary to reflect the current assignments directed by the parent Group. Technical Panels have a standing task to identify and report to the Group on the impact of emerging technologies in defense R&D.

89. Normally, each Technical Panel will meet once a year to facilitate communications, review progress, share results, and plan future activities. Each National Leader must satisfy himself that the agenda justifies having a meeting. Before terminating a meeting, a record must be prepared, outlining decisions and actions. This record will be reflected in the minutes (See Annex A). The Technical Panel Chair will submit a copy of the minutes to the Group Executive Chair, the National Representatives, the Group Counselor and Technical Advisors.

90. The progress of Technical Panels is reviewed at each Group annual meeting. At this meeting, either the Technical Panel Chair or the National Leader from the nation hosting the meeting reports status, results, and problems for all of the assigned tasks and seeks the approval of the Group for new activities and projects.

4.3.2 Action Groups

91. An Action Group is an ad hoc group established to undertake a study or research activity of a specific, high-priority problem that might cross or link the programs of two or more of the Technical Panels or be outside the current Terms of Reference of any established Technical Panel. Action Groups are often exploratory, focusing Group technical activity on specific challenges or opportunities. Thus, they may pave the way for a change in the scope

or emphasis of the Group. Action Groups have limited membership and a specific objective. They are disbanded when their objective is reached.

92. As with Technical Panels, a National Leader and Team Members are appointed by each Participant through the initiative of that Participant's National Representative, who must notify the Executive Chair, the other National Representatives, and the Secretariat. National representation is at the discretion of each Participant, but it should be restricted to technical personnel capable of providing a positive input to the work of the Action Group.

93. The parent Group appoints a Chair to lead the Action Group, normally from the National Leaders and Team Members. The Executive Chair makes this appointment. An Action Group Chair normally is expected to serve until the activities of the Action Group are completed.

94. The Group assigns a title and approves Terms of Reference for each Action Group. The Executive Chair will maintain a compilation of these Terms of Reference and will copy any new or changed Terms of Reference to the Group Counselor for information. Terms of Reference should be revised as necessary to reflect the current assignments directed by the parent Group.

95. Some TTCP activities involve technologies that are in the purview of several different TTCP Groups. When this occurs, all of the related Groups should contribute to defining the task, assessing its worth, and conducting the activity. To bring this about, Groups can form Joint Action Groups at Level 3 with members assigned by the related Groups. For efficiency in management, the Joint Action Group is established as an Action Group of one of the sponsoring Groups, but it provides all related Groups with status information, needs for support, and results. The parent Group reports on this Level 3 body at NAMRAD meetings and acknowledges the contributions of the other Groups.

96. The progress of Action Groups is reviewed at each Group annual meeting. At this meeting, either the Action Group Chair or the National Leader from the nation hosting the meeting reports status, results, and problems for all of the assigned tasks and seeks the approval of the Group for new activities.

4.3.3 TTCP Projects

97. A TTCP Project is a group formed to achieve specific objectives while operating under the provisions of a TTCP Project Arrangement. A Project Arrangement is a document that specifies the objectives and scope of a project, the work sharing and financial arrangements, the Equipment and Material Transfer, the management structure, the security and any other provisions of a collaborative project. Each participating nation (the Contributing Participants) must authorize the terms and conditions of the Project Arrangement, and this carries a greater national commitment than TTCP's usual best-efforts mode of operation.

98. Project Arrangements will be used where the level of the Participants' interdependence is so great, and the resource commitment so large that the withdrawal of resources or the failure of any Contributing Participant to perform would lead to major losses by the other

Contributing Participants or jeopardize the success of the endeavor. A Project Arrangement might be needed when a project depends on the scheduling of critical resources such as ships or test facilities and when a project is so complex that the discipline and commitment of a Project Arrangement are needed to assure success. Such arrangements require time and effort to obtain the necessary approvals, so they should not be invoked unless there is a clear need.

99. Any Contributing Participant may withdraw from a Project Arrangement upon 90 days written notice given to the Principals of the other Contributing Participants in that Project Arrangement. All rights and responsibilities with respect to provisions of the TTCP MOU which relate to Equipment and Material Transfer (E&MT), security, Third Party Sales and Transfers, and liability will continue notwithstanding the withdrawal, termination, or expiration of a Project Arrangement.

100. A template that can be used as a guide for preparing a Project Arrangement is given at Annex G. A TTCP Project Arrangement will be submitted through the Group Counselor to the Deputies of all the Contributing Participants for approval by their Principals. A flow chart of the procedure is given in Annex G, Appendix 2. Principals may delegate approval authority to their respective Deputies as national regulations permit. Project Arrangements can be amended or terminated by written agreement of the approving authorities.

101. Project Arrangements will be registered and recorded by the Secretariat. Each Project Arrangement will be assigned a serial number reflecting the sequential approval designation, the year of the approval and the subordinate element to which it relates. For example, the serial number PA-1/99/MAT would be assigned to the first Project Arrangement of Group MAT, Materials Technology and Processes, signed in the TTCP year 1999.

102. A Project Arrangement allows the management structure to be tailored to the needs of the Project. The normal practice will be that the Executive Chair and National Representatives (of the Contributing Participants) of the parent Group will serve as a Steering Committee for the Project. Each Contributing Participant will appoint a representative called a Project Officer who will be responsible for achieving the results or providing the resources for which his Participant is committed. The Contributing Participants⁶ will collectively agree on a Project Leader who will oversee the entire Project and report to the Group Executive Chair. This management structure or another structure considered more appropriate will be specified in the Project Arrangement. A Project does not need Terms of Reference because it has the more inclusive Project Arrangement.

103. If a Project involves the transfer of Classified Information or Material, the Project Officer will prepare a security instruction and classification guide within three months of approval of the Project Arrangement. This document will describe the methods by which TTCP Project Information and material will be classified, marked, used, transmitted, and safeguarded. The document will be forwarded to the Designated Security Authorities (DSAs) of the Contributing Participants, and must be approved by the appropriate DSAs before transfer of any Classified or Controlled Unclassified Information.

⁶ The National Representatives of the parent Group will consult with national authorities as necessary to reach agreement on the Participant and the person to assume the position of Project Leader.

4.3.4 General Procedures for Level 3 Elements

104. The Chair and National Leaders (or, for a Project, the Project Leader and Project Officers) constitute the management body of the Level 3 element. They must work together to plan, manage, execute, and report their activities to accomplish the tasks and achieve the objectives specified in their Terms of Reference or Project Arrangement.

105. The Chair (or Project Leader) will keep the Executive Chair of the Group informed of all major events and serious difficulties encountered by his element. The Chair (or Project Leader) will coordinate with the National Leaders (or Project Officers) all actions required by the parent Group. When program planning shows that an activity could benefit from an assignment of Cooperative Program Personnel, the National Leaders (or Project Officers) of the affected countries will propose the assignment to the parent Group. See Section 5.4.

106. Each National Leader (or Project Officer) will be responsible for having the proper people and other resources assigned and for overseeing, managing, or conducting his Participant's portion of these activities. He will be responsible for prior coordination of national positions on all items to be discussed within the group and for obtaining security releases for all classified Information and Material to be disclosed to others. He will be responsible for circulating to the appropriate scientists and engineers in his nation all Information received from other nations pertaining to the work of the group. He will make detailed arrangements for group meetings held in his nation and will be responsible for producing the minutes of those meetings (see Annex A). He will ensure that his National Representative of the parent Group is informed of all changes of membership and all significant technical accomplishments and problems.

107. Technical Panels, Action Groups and Projects are reviewed by the parent Group at least once each year, usually at the Group annual meeting, and they normally propose new tasks or workshops at this meeting. Any new task approved by the Group must be described in a Task Proposal Summary. The Level 3 element will prepare this paper. Similarly when a task or major part of a task is completed, the Level 3 element must submit a Task Outcome Report. This is a summary report separate from the technical reports that are prepared to fully document the task and the results. Both the Task Proposal Summary and the Task Outcome Report are submitted to the Executive Chair. Annex D gives formats to aid in the preparation of these reports and a special form that can aid in proposing a workshop. While these requirements apply to all Level 3 elements, including Projects, note that any substantial change in scope or in assignment of responsibility in a Project requires amendment of the Project Arrangement.

108. The Level 3 elements meet and correspond as required to perform their work. Meetings require approval by the Group. Correspondence and electronic communications will be used to minimize the need for meetings. The procedures are the same as for Groups. See Section 4.2.4.7 for the procedures and for limitations on the use of electronic communications.

109. The performance of all Level 3 elements will be reviewed annually by the Group as described in Annex E. There is no longer a requirement prescribed in POPNAMRAD for the Level 3 elements to undertake a self assessment. However, each Level 3 element is

responsible for complying with Group directives in regards to provision of the necessary information to assist the Group level assessment of their performance.

110. Level 3 elements produce technical reports and other publications to present their plans, methodology, and results as needed or as directed by the parent Group. The procedures and requirements for format, marking, and distribution of these publications are given in Section 5.9 of this document.

SECTION 5 – GENERAL PROCEDURES

5.1 *Achievement Awards and Recognition of Service*

111. The only awards to be made under TTCP are Achievement Awards approved by the Principals. These awards are given to recognize outstanding achievements in collaborative defense research undertaken in TTCP. Every effort must be made to uphold the prestige of these awards. Approval of the awards is an activity of the annual NAMRAD meeting.

112. Nominations for awards are submitted to the Deputies by the Executive Chairs. Each Group is permitted to submit a maximum of three nominations each year. A Group should develop its own procedure for selecting and preparing nominations. This would normally involve its Level 3 elements. However, it must be emphasized that *the nominations are from the Group, and the Group is responsible for the quality of the nominations and for upholding the principle that only truly outstanding work is rewarded*. Therefore, the nomination process should culminate with the Executive Chair and all of the National Representatives of the Group agreeing that each nomination is warranted. *Nominations must be submitted to the Group Counselor by 31 July for consideration by the Principals at the subsequent NAMRAD meeting.*

113. Two categories of Achievement Award have been established:

- **Team Award** in recognition of exceptional team efforts. Key factors for this Award are excellence and originality in the scientific and technical content of the work, as well as outstanding results in terms of military benefit.
- **Personal Award** in recognition of exceptionally meritorious service to TTCP by an individual.

Normally, the Principals will approve no more than seven awards in any year and no more than one will be a Personal Award.

114. The Participants are encouraged to enhance the prestige of the Achievement Awards by involving government ministers or other high-level officials in making the presentations. Participants may also wish to take advantage of such opportunities to involve their military executives and the media and so publicize TTCP and the achievements of their own organizations concurrently.

115. From time to time there is an individual who makes an extraordinary contribution to TTCP but not within the context of a single project/activity or to the degree that would merit a Personal Award. In this case, a letter of appreciation is appropriate. For a person serving at Level 2, the letter should be signed by the national Principal or all of the Principals. For a person serving at Level 3, the letter should be signed by the Group Executive Chair or the National Representative. Such letters of appreciation are not to be considered Achievement

Awards

5.1.1 Team Awards.

116. Nominations for Team Awards must address three fundamental criteria:

- (1) Quality of science
- (2) Significance of results for defense
- (3) Quality and degree of collaboration

Guidance is given in the table below.

<p>(1) Quality of science</p> <p>Ensure that the scientific quality of the work is highlighted. Clearly state what advance in technology has occurred. How difficult/challenging was the project from a scientific perspective? Did it involve mostly the application of existing knowledge and techniques, or did it require the development of new technology? How original and innovative was the scientific approach? To what degree was creativity demonstrated? Have publications in the scientific literature resulted from this work? What was the scope of the effort (extent of experiments, analysis, theoretical development, code development, etc.)?</p>
<p>(2) Significance of results for defense</p> <p>Describe the significance of the results in terms of their relevance to current or emerging national defense capabilities. Clearly state the operational benefits that may be derived from this work. Operational benefits may be realized, for example, in system development, acquisition, warfighting or potential savings in resources that might accrue to member nations. For the latter, be quantitative when possible (e.g. reductions in operating and maintenance costs, fewer people, fewer sorties per target destroyed, reduced stand-down caused by weather, etc.).</p>
<p>(3) Quality and degree of collaboration</p> <p>Describe the role that cooperation through TTCP made in achieving this advance. Make clear the contribution from each participating nation. Indicate what savings in time and cost resulted from the cooperation. What were the challenges in terms of logistics and coordination? Did the work progress according to schedule and budget?</p>

117. Each nomination must include the name and title of each individual recipient as it will appear on the certificate. (Also include addresses and phone numbers to facilitate contacting recipients to arrange an appropriate awards ceremony.) The nomination must also include a brief citation, similar to the example shown in Annex F, highlighting the military relevance

and value of the work. As far as possible, the citation should be written such that someone who is not a technical expert can still appreciate the outstanding contribution.

118. Nominations for the Team Award must address all of the above selection criteria and must include sufficient technical and operational detail to permit an expert to fully appreciate what was accomplished, how this contributes to science or technology, and its ultimate value to combat capability. (This formal nomination may be supported by short papers or other supporting material that would help an independent expert to understand what was accomplished and to judge the value of the results.) A nomination must also include a letter of recommendation from a flag level official or a laboratory director who understands and appreciates the technical and operational significance of the accomplishments.

119. Each nomination must also be accompanied by an electronic poster. Further information regarding the poster can be found in Section 5.2.

120. To summarize, a nomination for a Team Award must include the following

- the justification for an award, addressing the criteria listed in the above table (generally no more than three pages in length)
- a draft citation
- the name, address and phone number of each proposed individual recipient
- a letter of recommendation
- an electronic poster.

121. The Executive Chair is responsible for ensuring the timeliness of the submissions, suitability of the nominations, completeness of the submitted material, and the appropriateness of the proposed recipients. The Washington Deputies will evaluate the nominations. This evaluation will include peer review (i.e., review by independent experts) to ensure that high standards of excellence are maintained. The Deputies will then consider all the nominations collectively and will recommend to the Principals those they believe to be worthy of awards. All of the nominations will be provided to the Principals.

122. Normally, each team member listed in the nomination will receive an embossed certificate displaying the name of the individual, as well as a separate citation stating the team's achievement. When more than about 10 people are listed in the nomination, a different procedure may be invoked. This could involve presenting one certificate to each participating nation, listing the names of this nation's team members; each Principal could then send a letter of commendation to the individual recipients from his nation.

5.1.2 Personal Achievement Award

123. The Personal Achievement Award will be used in exceptional circumstances and the Principals will normally consider making only one such award in any year. To qualify for a Personal Award, the following broad criteria also should be met

- It should be demonstrated that the individual has made a significant and specific contribution to a TTCP activity, which has resulted in a demonstrable success in a collaborative item of work (AG or TP). It may be that the collaborative activity could not have achieved success without the special contribution, and that the value of the personal contribution was well in excess of the average contributions by the fellow collaborators. Clear and notable benefits of the work to a Group, TP or AG must be demonstrated.
- The personal achievement may have been made either during a defined and specific activity of a Group, such as an AG activity, or may have been made over a long period in support of a wide range of Group activities. However, the Personal Award is **not** made simply in recognition of long service to a Group.
- Long-term Group support activities deserving a Personal Achievement Award could include:
 - Long-term Executive Chair or Chair, where it has been clearly demonstrated that considerable benefit to the success of the Group and to the aims and objectives of TTCP have been achieved as a result of the individual's contributions.
 - A member who has supported a particular technology as an expert, resulting in exceptional progress.
 - A particularly effective leader in achieving cross-Group or cross-TP/AG/Project interactions, resulting in exceptional achievements from the integration of multi-group contributions.

124. A nomination for a Personal Achievement Award must include:

- a description of the achievement (2-3 pages)
- a citation
- a letter of recommendation from either a flag-officer customer (or civilian equivalent) or the director of a national laboratory

An electronic poster is not required

5.2 Posters and the World Wide Web

125. To meet its goal of enhancing national defense, TTCP must do more than extend and develop science and technology. TTCP must also ensure that this new knowledge is communicated to organizations that can apply it. This requires that the people who develop or buy military systems and the people in our military services who fight wars with these systems understand the progress that is being made in science and technology. For many Defense staffs, the usual technical reports and symposia are not appropriate or adequate. Therefore, TTCP has established an outreach program for communicating with military organizations and the systems-acquisition community.

126. Two main types of outreach or promotional materials are regularly prepared and

updated – TTCP posters and TTCP Web pages. Posters are suitable for display in high traffic areas, and Web pages are made available to a wide audience at the publicly accessible TTCP Web site <<http://www.dtic.mil/ttcp>>. The purposes of both are to heighten the awareness of results achieved through TTCP cooperation and to stimulate use of the new Information. Posters and Web pages may be submitted at any time, but an electronic poster (a data file) is required as part of any nomination for a Technical or Project Achievement Award. See Section 5.1.1.

127. Posters and Web pages should follow these simple rules:

- a. the information should be unclassified and approved for unlimited release and distribution,
- b. keep presentation simple for maximum impact;
- c. include the TTCP crest (available on the TTCP Web site) and TTCP Web site address on posters;
- d. include the crest on the Web page;
- e. use no smaller than 18 point font on posters;
- f. use a minimum of words—emphasize the photographs or graphics;
- g. minimize jargon and abbreviations. The expected audience includes those outside the R&D community who may know little about TTCP or R&D.

128. Posters are to be produced using the TTCP PowerPoint template that is available on the TTCP Web site. The resulting PowerPoint file can be easily distributed, and printed as required. Instructions are included in the PowerPoint file.

129. Posters (and case studies, when specifically requested by the Principals) are prepared by the Groups. The Secretariat coordinates all of the requests, accepts the input, and distributes the posters (and case studies) to the five Participants for display and further distribution.

130. The TTCP home page on the World Wide Web <<http://www.dtic.mil/ttcp>> explains the organization and its purposes, provides a convenient way to contact an official through e-mail, and provides key points of contact. The home page has hot links to Web versions of posters, case studies, and other materials that can aid in communicating TTCP activities to potential users. The Washington Secretariat is responsible for the general content and maintenance of the TTCP home page. All additions or changes to the home page and all questions about what can be placed on the home page and how it must be protected should be referred to the Secretariat.

131. Each Group is responsible for a Group Web page showing its Level 3 structure, its meeting schedule and some recent technical highlights. With approval from the Group, any Technical Panel or Action Group can create its own Web page. These must be linked to the Group Web page and all must be linked to the TTCP home page. Each Group provides the text, diagrams, and photographs for its own Web pages. These pages should be updated at least once each year. The Executive Chair has overall responsibility for the Web pages of the

Group and its subordinate elements.

132. Sensitive Information and Controlled Unclassified Information, which includes any document protected by a TTCP Disclosure and Use caveat, will not be placed on the Web. Items such as minutes of meetings, detailed reports, technical Information, and task sheets are considered sensitive even though they may be unclassified. Such material will not be placed on the Web. The only information that can be placed on the Web is that approved for public release. In particular, there will be no information that identifies any UK individual or the specific location of any meeting in the UK.

133. The primary Web site (where the TTCP home page resides) is managed by the TTCP Web coordinator. All changes to this Web site must be coordinated with the Secretariat.

5.3 Activities of Public Media Interest

134. TTCP activities include conducting a range of test and trials as part of its everyday business. Some risk of injury to personnel, property or the environment will exist to a greater or lesser extent in every experiment undertaken. The Principals expect that all trials associated with TTCP will be managed in a professional manner by the activity Leader and that this will include careful management of risks to personnel (including the public), property and the environment (including wildlife). Careful safety assessment and management by the activity Leader is expected to mitigate these risks to a level acceptable to the host nation. Nevertheless, it cannot be guaranteed that an incident will not occur.

135. In addition, TTCP conducts activities that are of a sensitive nature to one or more of the TTCP nations and not necessarily the participant nations of the activity.

136. It is for reasons such as these that it is important to have in place prior to the event an appropriate media plan that is agreed by the host Participant for responding to an incident. When a situation occurs the Leader on the scene must know who will be the interface with the media on behalf of the TTCP Participants. Activity Leaders will confirm with their Group Executive Chair and National Representative the points of contact for TTCP media matters.

137. During an event of media interest, the Group Counsellor will serve as the TTCP Level 1 point of contact for that Group to ensure that the other Deputies and, through them, the Principals are kept informed. NOTE: The Deputies are **NOT** the national points of contact for media releases.

138. Responsibilities and duties within a Group will be planned and executed by the Group, and could be as follows:

The Executive Chair will ensure that all Technical Panel/Action Group Chairs and Project Leaders in his Group know the contact details of who must be notified immediately of any media interest situation. The National Representative of each Participant will validate the completeness of this information, possibly tailoring it to meet local requirements.

The Technical Panel/Action Group Chair/Project Leader will ensure that the lead official in direct control of an activity on-site (e.g. Chief Scientist or Field Test Manager) has this information. It is expected that this information will be included in a document such as the Test Planning Document, Risk Management Document or similar and is readily available to the lead official on-site.

If an event occurs that has media interest, the lead official on-site will immediately notify the authorities that have been identified by the Deputies and National Representatives. Those to be notified must always include the National Representatives, the Group Counsellor and the media representative of the Participant hosting the activity. [If the activity is being hosted in a Third Party nation, the media representatives of the host nation and of the Participant nation of the lead official on site must be notified.]

To relieve the burden on the lead official on site of the activity, it would not be unreasonable for the host National Representative, or another official designated by him, to assume the responsibility to notify the remaining authorities who have been identified in all TTCP nations. [When the activity is conducted in a Third Party nation, the National Representative of the Participant nation of the lead official on site, or another official designated by him, will assume that responsibility.]

All such arrangements must be in place before the activity begins.

5.4 Cooperative Program Personnel

139. Employees of one TTCP Participant can be assigned to work in the organization of another Participant under the supervision of that host Participant. The assigned person or persons are called Cooperative Program Personnel, and ordinarily the assignment is for at least one year.⁷ Such assignments of Cooperative Program Personnel should be considered whenever this arrangement would provide a clear benefit to a TTCP activity or to a Participant.

140. The assignment of Cooperative Program Personnel requires the agreement of only the parent and host Participants but the assignment must be for work on specified TTCP activities. The scope and duties of the Cooperative Program Personnel will be stated in a position description mutually determined by the parent and host Participants.

141. The parent and host Participants must also agree on numerous conditions, limitations, and financial arrangements. The National Representatives or National Leaders of the Participants involved will work out this arrangement. It will be approved first by the National Representatives of the parent and host who will establish that the arrangement can be carried out within the laws and practices of their respective nations. Then, the Deputies of the parent and host will give final approval to implement the arrangement. Each Participant will deter-

⁷ For temporary duty of less than one year duration, a normal visit request and approval is the usual practice.

mine the procedures to be used in its own organization to meet its part of the obligations.

142. Access to Information will be limited in accordance with Sections IX and XI of the TTCP MOU. All Information made available to the Cooperative Program Personnel will be considered as having been furnished to the parent Participant. The security clearance of the Cooperative Program Personnel will be established by the host Participant to allow access to facilities and to Classified Information and Material as needed for the Cooperative Program Personnel to accomplish their assignments.

143. Before posting and on arrival, the host Participant's representative will inform the Cooperative Program Personnel of applicable laws and customs and the need to comply with them. At the discretion of the host, the Cooperative Program Personnel can be required to certify that they understand certain key items such as the scope of the assignment, access to Information, applicable regulations of the host, provisions of the TTCP MOU, and security. A template for this certification is at Annex H.

144. Cooperative Program Personnel will not act as liaison officers for the parent, will not act outside the scope of their assignment unless specifically authorized by the parent and host, and will not be assigned to a position that by law must be filled by an employee of the host. Cooperative Program Personnel will not be assigned duties that are politically sensitive or that could jeopardize the interests or lead to the embarrassment of either Participant. Cooperative Program Personnel will not be assigned to work where hostilities are underway or are likely.

145. No Participant will exercise disciplinary powers over Cooperative Program Personnel of another Participant. Each Participant will exercise appropriate disciplinary powers over its own Cooperative Program Personnel.

146. The financial arrangements are generally as follows. The parent Participant pays the normal costs of employment and relocation. These include all pay and allowances, relocation to the host country and return, all TDY costs when the travel is required by the parent Participant, relocation of dependents, and compensation for loss or damage of personal property. The host Participant pays the costs of the Cooperative Program Personnel performing their duties. This includes travel to do their jobs, relocations that the host requires, and the cost of facilities and equipment. These financial arrangements are more explicit in Section XVI of the TTCP MOU.

5.5 Contracting

147. Contributing Participants in harmonization and alignment efforts and in TTCP Projects are authorized to contract to meet their parts of the agreed effort. In doing so, a Participant will contract in accordance with its national laws and will also meet the provisions of the TTCP MOU. The other Participants will not incur any obligation or liability.

148. Contributing Participants in TTCP Projects are also permitted to contract on behalf of one or more of the other Contributing Participants. Here again, the Participant letting the contract will do so under its own national laws and will also meet the provisions of the TTCP MOU. Such contracting must be detailed in the Project Arrangement. Bids will be solicited

from Contractors in the nations of all the Contributing Participants whenever possible.

149. Whenever one Participant contracts in behalf of other Participants, the requesting Participants will provide the funds necessary for the contract and will do so in sufficient time to meet the obligations of the contract. Failure to do so might result in additional contract costs or penalties, and these become the obligations of the requesting Participant. The requesting and contracting Participants will jointly determine bid assessment factors and will provide members to the proposal evaluation team.

150. Groups contemplating contracting for TTCP efforts should carefully study Section VI, Contractual Arrangements, in the TTCP MOU and should ensure that the contracting officers are aware of the TTCP requirements. The contracting Participant must ensure that the Contractor meets the requirements for Disclosure and Use of Information, control of sensitive and Controlled Unclassified Information, security, Third Party Sales and Transfers, and any other applicable provision of the MOU. The Contractor must sign a legally binding arrangement concerning nondisclosure of Information. The specific requirements for assuring confidentiality are discussed in Section 5.6. Also see paragraph 182.

151. Contracts that could lead to Inventions should contain clauses establishing the rights of TTCP Participants to the use of those Inventions. See Section 5.8.5 Inventions.

5.6 Participation

152. “Participation” means engaging in a TTCP effort as an active contributor to the planning or execution of the effort and, through this activity, securing access or other rights to TTCP Information of any category – Background, National Foreground or Jointly Generated Foreground Information. These categories are defined in the Glossary, page v.

153. Contractors or other entities that only provide a facility, equipment or service but that do not have access to TTCP Information and do not gain rights to such Information by their efforts are not participants. No special authorization is required to obtain such support.

154. Participation in TTCP activities is normally limited to employees of the Participants (the Defense departments that signed the TTCP MOU) or their governments and associated national Contractor Support Personnel.⁸ Each TTCP Participant is responsible for assuring that its employees and Contractor Support Personnel observe all provisions of the TTCP MOU.

155. A Participant can elect to engage a corporation, individual or any other private entity to participate in a TTCP activity by executing a Confidentiality Arrangement with that entity. Annex I gives a model Confidentiality Arrangement. If the private entity is recognized as national to a TTCP nation, the National Representatives of all the participating TTCP nations must consent to the Confidentiality Arrangement. Otherwise, the entity is considered a

⁸ Contractor Support Personnel are persons who provide administrative, managerial, scientific, or technical support services to a Participant under a contract with that Participant.

private Third Party⁹ and the TTCP Principals must unanimously authorize the Confidentiality Arrangement.

156. Governmental Third Parties can also take part in a TTCP activity. Whether the activity is Information exchange, including symposia and workshops, harmonization and alignment, or a TTCP Project, a special MOU between the TTCP Participants and the governmental Third Party is required. A template for this MOU is given in Annex J. The TTCP Principals must unanimously authorize this Third Party MOU. Confidentiality Arrangements are not used government to government.

157. Note that when a Third Party, whether it is a private or governmental entity, is involved in a TTCP effort in which the Third Party has access to TTCP Information, the provisions for Third Party Sales and Transfers discussed in Section 5.8.3 must be observed.

158. In many instances it is not clear whether an entity is a Third Party. Multi-national corporations and world organizations are likely to defy easy categorization. If this issue should arise, the Group Counselor can be asked to obtain a ruling, or the rules that apply to Third Parties can be used.

159. The following table summarizes the requirements for participation by entities not normally included in TTCP efforts:

Activity	Required Arrangement	Approval Authority
Support of TTCP activity with no access to TTCP Information	None ¹⁰	N/A
Support or cooperative effort by a Contractor or other entity of a TTCP Participant with access to TTCP Information	Confidentiality Arrangement ¹¹	National Representatives of all TTCP Contributing Participants ¹² must consent
Support or cooperative effort by a private entity Third Party with access to TTCP Information	Confidentiality Arrangement	Principals of all TTCP Participants, not just the Contributing Participants, must authorize

⁹ The MOU defines a Third Party as “Any person or other entity whose government or agency thereof is not a Participant in this MOU.”

¹⁰ This support is not considered participation. However, TTCP Participants must provide any physical or procedural measures necessary to assure that the supporting party cannot gain access to TTCP Information.

¹¹ The Confidentiality Arrangement can be a part of a contract, perhaps already in place. In this case, the National Representatives of the Contributing Participants must all agree that the provision is adequate.

¹² The Executive Chair and the Group Counselor must be kept informed about such participation.

Support or cooperative effort by a governmental Third Party with access to TTCP Information	Third Party MOU	Principals of all TTCP Participants, not just the Contributing Participants, must authorize
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160. Recall that if a Contractor or other entity will have absolutely no access to TTCP Information, no special approval for its involvement is necessary. This can be the case for an organization that merely provides a facility or service or for a person who briefs a symposium but does not engage in a two-way exchange. The TTCP Participants must protect TTCP Information to assure that it will not be disclosed. If the Information cannot be protected with reasonable assurance, a Confidentiality Arrangement is required. This might be the case for trials at sea where the close quarters make protection of data and working notes difficult.

161. Note that Contractors and other private entities that are national to one of the TTCP countries are distinguished from their Third Party counterparts. *National Representatives*¹³ of the *participating* TTCP nations must consent for the former while the *Principals* of *all* TTCP nations must authorize the latter.

162. As a national decision, any Principal may delegate approval of Third Party Confidentiality Arrangements and MOUs to his National Representative or Deputy.

163. Only employees of the Participants' governments can hold an appointment in TTCP or standing membership at any level.

164. Any TTCP Group or subordinate element wishing to involve a Third Party must inform its Group Executive Chair and Group Counselor. The process of negotiation for Third Party involvement may proceed, but the Group Executive Chair must be kept fully informed of progress and issues; and no arrangement for Third Party involvement can be concluded without a properly executed Confidentiality Arrangement or MOU, as appropriate.

165. The following cases might be instructive:

Case 1. The Situation. A defense laboratory of a TTCP Participant, as part of its national program, employs a national Contractor to assist in its program. The Contractor provides a commercial vessel to support at-sea trials. This vessel is used to provide logistic support to defense department ships and logistic support to defense scientists. They live on board, are fed on board, use laboratory and office workspace on board, and use the vessel as a platform to record and analyze data. Sensors are deployed from the vessel. It provides communications relay. The ship's crew assists with manual labor tasks but otherwise does not get involved with the scientific

¹³ Authorization to represent a nation is a national decision. The National Representative (Level 2) of the sponsoring Group is the person normally authorized to approve participation by an entity that is not a Third Party. A National Leader (Level 3) should not assume he has this authority unless it has been specifically delegated to him.

program. Recall that this is part of a national program. Now, assume that this effort is offered as a national contribution to form part of a TTCP activity involving other TTCP Participants.

The Resolution. The Contractor in Case 1 does not need access to TTCP Information. The contracting Participant can meet the requirements of the TTCP MOU in two ways. One way is to establish means to prevent TTCP Information from being disclosed. This could involve procedures, restricted areas, encryption or other means. The other way is to implement a Confidentiality Arrangement with the consent of the National Representatives of the participating TTCP nations. See Annex I.

Case 2. The Situation. Exactly the same as case 1, except that the Contractor is not from a TTCP nation.

The Resolution. In Case 2 the Contractor is a Third Party but, as in Case 1, does not need access to TTCP Information. This Contractor is not a participant. Either there must be a way to protect TTCP Information so the Contractor cannot gain access to it, or a Confidentiality Arrangement must be implemented with the authorization of all the Principals.

Case 3. The Situation. Similar to either case above, except it is a specialized dry land facility that is contracted to provide lab space and equipment for national programs that are then used for a TTCP Activity. Test results may or may not be shared with the facility provider.

The Resolution. The geographical location of the Contractor's facility or support is not a factor. Test results should not be disclosed to the Contractor unless this is necessary. If the Contractor's workers must have access to TTCP Information, there must be a Confidentiality Arrangement to protect this Information.

Case 4. The Situation. A TTCP Group organizes an Action Group on unmanned combat air vehicles (UCAVs). A German corporation is known to be a leader in unmanned air vehicles and to have recently proposed a UCAV to the German Ministry of Defense. The Action Group wishes to conduct a workshop and wishes to invite the German corporation to participate.

The Resolution. The German corporation is a Third Party and is participating in an Information exchange. This is permitted by using the Confidentiality Arrangement form (shown in Annex I). Because the German corporation is a Third Party, the Confidentiality Arrangement must be authorized by all the TTCP Principals. The provisions for Third Party Sales and Transfers must also be observed.

Case 5. The Situation. The Group in Case 4 decides to follow up with trials that include UCAVs from the U.S., Canada and the German corporation. The UCAVs from the U.S. and Canada are either non-proprietary or the Participants have secured the rights needed for the trials. The Group tasks one of its Technical Panels to invite the participation of the German corporation and to conduct the trials. To participate, the German corporation must provide one of its proprietary UCAVs and must support this

UCAV during the trials. All TTCP nations are participating. The results of the trials for all UCAVs are to be provided to all participants, including the German corporation.

The Resolution. The German corporation is a Third Party participating in a TTCP Activity (either harmonization and alignment or a Project). The German corporation must be placed under a Confidentiality Arrangement authorized by all the TTCP Principals. A template is at Annex I. In addition, the Technical Panel must be certain that the rights secured for the U.S. and Canadian UCAVs will allow the results to be given to the German corporation.

Case 6. The Situation. Similar to Case 5 except that the Technical Panel is not able to secure the needed rights from U.S. and Canadian corporations. The Technical Panel then decides to contract with the German corporation for the use and support of its UCAV but to provide to that corporation only the results that relate exclusively to the German vehicle. These results will be proprietary and will not be shared with any other Contractors.

The Resolution. Unlike Case 5, here the German corporation is not a participant. The corporation is providing material and services and not gaining access to Information other than that that the Technical Panel has decided to disclose. The Information to be disclosed is Jointly Generated Foreground Information, so the release of this Information to the German corporation requires the approval of all of the TTCP Participants. Each Participant must follow its own national procedures to obtain the necessary release. No Confidentiality Arrangement or MOU is required.

5.7 Equipment and Material Transfers

166. Some TTCP activities require that Equipment and Material be transferred between TTCP Participants. Such transfers are permitted after being properly documented and approved. The proper documentation for a harmonization and alignment effort is the TTCP E&MT form (see Annex K). It provides agreed-to clauses and conditions and a convenient way to present the information needed for the transfer. For TTCP Projects, the Project Arrangement must provide the proper documentation or a procedure for later authorization of the transfers. See Section X of the Project Arrangement template at Annex G¹⁴. The Executive Chair should inform the Group Counselor at the earliest opportunity of any potential E&MT.

167. An E&MT form or Project Arrangement will describe the conditions of the transfer, the responsibilities of the parties, and the issues of liability in the event of damage or loss to the transferred Equipment and Material. One form or Project Arrangement may cover a number of different items. Test equipment, material and other items that must be transferred

¹⁴ If the United States is involved in a specific transfer, the U.S. must comply with the requirements of Section 65, Arms Export Control Act (AECA) (22 U.S.C. 2796d) even though there is an approved TTCP E&MT form or a Project Arrangement. The U.S. National Leader should contact his service international programs office.

on a periodic basis during a TTCP project, or throughout the term of a reporting period, may be included under a single E&MT form or Project Arrangement. It is the responsibility of the provider to gain the endorsement of the owner of any equipment or material to be transferred. Subsequent requirements for additional transfers should be separately documented when they do not fall within the scope of the initial E&MT form or Project Arrangement. Both returnable and consumable Equipment and Material can be transferred. The E&MT form or Project Arrangement will specify which items are to be returned.

168. National Representatives are authorized to sign TTCP E&MT forms in accordance with national procedures. The Executive Chair of the Group will review the proposed E&MT form to ensure conformance with the TTCP MOU and POPNAMRAD. E&MT forms will be assigned a sequential number within each subordinate element. For example, the serial number "E&MT-1/01/AER-TP-2" will be assigned to the first transfer from TP-2 of Group AER during the TTCP year 2001. The TTCP year 2001 starts at the conclusion of the 2000 NAMRAD meeting and runs through the 2001 NAMRAD meeting. The Executive Chair must send a copy of the E&MT form to the Secretariat through the Group Counselor.

5.8 Intellectual Property

169. Since its inception, TTCP has sought to foster a spirit of open cooperation and collaboration among the nations involved. To permit the broadest possible exchange of technical information, the MOU establishes the limits on the Disclosure and Use of intellectual property exchanged or developed in TTCP activities. In particular, the TTCP MOU contains provisions in Sections III, VIII, IX and XII that address these issues. The following paragraphs are intended only as a guide to these provisions and their practical implementation.

170. The primary output of TTCP is Information. The TTCP MOU categorizes this Information in different ways. Within each category, various restrictions apply to the Disclosure and Use of Information and its transfer to a Third Party. Annex L provides a reference guide to these categories and the restrictions that apply.

171. Some definitions are in order. Background Information is generated outside a TTCP activity and is contributed by a TTCP nation (or other entity) participating in the activity. That is, Background Information is *input* to a TTCP activity. Foreground Information is generated within a TTCP activity. It is *output* from the TTCP activity. If Foreground Information is generated solely by one Participant, it is called "National Foreground Information"; if generated by more than one Participant, "Jointly Generated Foreground Information." The official definitions of these terms, taken from the MOU, are given in "Definitions" on pages v and vi of the prefatory material.

5.8.1 Disclosure

172. In Information exchange activities, the disclosure of Information is at the discretion of the furnishing Participant.

173. In harmonization and alignment efforts and in TTCP Projects, the general principle is

that both Background and National Foreground Information are disclosed to all Contributing Participants and that further disclosure to other TTCP Participants is at the discretion of the furnishing Participant. Jointly Generated Foreground Information can be disclosed by unanimous consent of the Contributing Participants.

174. The normal practice is to provide all TTCP publications to all TTCP Participants unless there is an extraordinary reason to do otherwise. This practice is expected to apply to the majority of TTCP activities. National reports that contain Background Information necessary for a TTCP activity normally will be distributed to all TTCP Participants provided that (a) the disclosure does not violate proprietary rights and (b) the disclosure is consistent with the national disclosure policies and regulations of the furnishing Participant. The furnishing Participant is permitted to restrict distribution of this Background Information to just the Contributing Participants, but this restriction is discouraged. National Foreground Information (that generated by a single Participant in a TTCP Activity) will be disclosed to all of the Contributing Participants. This Information may be disclosed to other TTCP Participants (and even to Third Parties and other entities) at the discretion of the Participant generating the Information. Disclosure to all TTCP Participants is encouraged. Jointly Generated Foreground Information is disclosed to all Contributing Participants, and further disclosure requires the approval of all Contributing Participants. Disclosure to all TTCP Participants is encouraged.

175. Procedures for the disclosure of TTCP Information to Third Parties is discussed in Section 5.8.3.

5.8.2 Use

176. Background Information disclosed under the Information exchange provisions of the TTCP MOU (as distinguished from that exchanged as part of a harmonization and alignment activity or a TTCP Project) can be used only for information and evaluation purposes, i.e. it cannot actually be applied, unless the furnishing Participant gives permission in writing.

177. Background Information provided within a TTCP harmonization and alignment activity or a TTCP Project can be used by Contributing Participants only for conducting the activity, and the results can be used only for Defense Purposes.¹⁵ National Foreground Information and Jointly Generated Foreground Information can be used by the Contributing Participants for Defense Purposes. A Participant providing Background Information or National Foreground Information can elect to grant further authorization for use to the other Contributing Participants or grant authorization for use to non-Contributing Participants or a Third Party. For Jointly Generated Foreground Information, all Contributing Participants must agree before use by non-Contributing Participants or Third Parties can be authorized.

178. The above paragraph may sound quite restrictive but, in fact, it permits all Information

¹⁵ Defense Purposes are defined as the manufacture or other use in any part of the world by or for the armed forces of any Participant, or any lawful manufacture or other use by or for the governments of the Participants in the interest, promotion, or enforcement of their national security and civil defense but excluding defense sales or other transfers.

flowing from TTCP activities to be used for nearly anything a Defense establishment would like to use it for. The most notable exception is that a receiving participant cannot use the Information to manufacture (or otherwise generate) a product that is then sold to a Third Party unless written permission to do so is obtained from the furnishing Participant.

5.8.3 Third Party Sales and Transfers

179. The sale or transfer of TTCP Information to Third Parties is prohibited except when permission is specifically granted in writing in accordance with the following paragraphs.

180. When a Third Party requests TTCP Information that has been provided by a single TTCP Participant (i.e. either Background or National Foreground Information), that Participant alone can decide whether to release the Information and can do so entirely according to its own national procedures. The requesting party should be informed that the request has been forwarded to the Participant providing the Information.

181. When an Executive Chair or National Representative receives a Third Party request for TTCP Jointly Generated Foreground Information, the Executive Chair and National Representatives of the Participants with rights to the Information (the Contributing Participants) will determine whether the Group favors release. If it does, the National Representatives then become responsible for obtaining the formal authorization of the national authorities of each of the Contributing Participants for releasing the Information. The Executive Chair will send to the Washington Deputies (by way of the Group Counselor) a memorandum stating the pertinent facts (i.e., the requesting party and agency, intended use, difficulty of providing only the requested Information, possible defense and commercial consequences, and benefits to the TTCP Participants). Each Deputy will coordinate with his National Representative to assure that all releases required by his nation are obtained. The Executive Chair is authorized to release the Information to the Third Party after obtaining official written authorization, with the concurrence of the Deputy, from each Contributing Participant.

182. If a Contractor is employed by a TTCP Participant to use TTCP-furnished Information on behalf of that Participant, the Contractor must be placed under a legally binding obligation not to further disclose that Information or use it for any purpose other than that for which it was supplied. If a Contractor is employed to generate TTCP Information, the Contracting Agency will negotiate to obtain the rights to disclose and use the Information consistent with the TTCP Disclosure and Use provisions. Contracting Agents should be advised of paragraph 6.5 of the TTCP MOU. Also see Sections 5.5 and 5.6 regarding contracting and participation.

5.8.4 Computer Software and Software Documentation

183. Computer software and software documentation can be generated and exchanged under TTCP in the same way as other forms of Information, and they are subject to the same disclosure, use, and Third Party Transfer restrictions. Although no specific instructions are provided for the preparation, handling and transmission of such material, it should be marked in accordance with the instructions provided in Section 5.9.2 below. Handling and transmission must conform to national regulations.

5.8.5 *Inventions*

184. Special provisions are included at Section VIII of the TTCP MOU to ensure that Inventions, an especially valuable category of intellectual property, are properly protected. At the same time, these provisions ensure that any legal protection obtained for TTCP Inventions does not interfere with the legitimate use of Information generated and exchanged under TTCP by the TTCP Participants.

185. Any Invention made in the course of a TTCP activity, whether by a government employee or a Contractor employee, will be reported to the National Representatives of the Participants engaged in that activity. If after consultation with the other Participants the originating Participant decides to file a patent application, copies of the application must be provided to those other Participants through the National Representatives.

186. Under the TTCP MOU, each Participant engaged in the TTCP activity is granted a royalty-free license to use or have used any Patent granted for its Defense Purposes.

187. Paragraph 8.6 of the TTCP MOU contains contract provisions relating to Inventions. These should be brought to the attention of Contracting Agents. A Contracting Participant will secure for all Contributing Participants non-exclusive, irrevocable, royalty-free licenses under all Patents secured for any Invention, to practice or have practiced the patented Invention for Defense Purposes.

5.9 *TTCP Publications*

188. To facilitate distribution and archiving of TTCP publications, they should be released on electronic media (normally CD-ROM) whenever practical. Hard copy publications may also be produced, in which case the national defense repositories (see paragraph 194) should receive both an electronic version and a hard copy. Care must be taken to ensure that the appropriate TTCP Disclosure and Use caveat is printed on the CD label and on the CD cover. The following provisions apply regardless of the medium used for the publication.

5.9.1 *Types of Publications*

189. The following are defined as TTCP publications. Note that the first two types of publications, TTCP Documents and TTCP Technical Reports are both TTCP Documents as the term is used in the MOU. In practice the two are distinguished on the basis of content but both are available to all Participants.

- a. **TTCP Documents** are used to publish all minutes of meetings, proceedings of workshops, management studies, compilations of Terms of Reference, the TTCP Roster, and similar publications *that are not principally technical in nature*. TTCP Documents are available to all Participants.
- b. **TTCP Technical Reports** are used to describe scientific, mathematical, technological, and engineering activities and achievements. Technical Reports can present theory and empirical results, operational analyses, system effectiveness

studies, and any other technical activity undertaken by a TTCP element. The compendium of technical papers from a symposium can be a Technical Report. TTCP Technical Reports are available to all Participants.

- c. **TTCP Limited Release Technical Reports** are similar to TTCP Technical Reports but are distributed to fewer than all five Participants. Use of this type of publication requires the unanimous agreement of the National Representatives of the Contributing Participants. Its use is discouraged except when necessary to comply with national disclosure policy, to avoid infringement of proprietary rights, or for other compelling reasons.

190. TTCP publications are normally distributed among all member nations. They also may be released to additional parties and may even be given unrestricted distribution. See paragraph 194. Technical papers that report the activities of a single Participant, contributed as a part of a TTCP activity, may be distributed through TTCP but need not be classed as official TTCP publications nor reported within TTCP covers. Such papers must be available to all Contributing Participants.

5.9.2 Markings for Publications

191. TTCP publications (Documents, Technical Reports and Limited Release Technical Reports) must have the following markings:

- a. All TTCP hard copy publications will carry the TTCP logo prominently on the front cover and in other appropriate places in the publication. Authors should not vary the prescribed design of covers for TTCP publications. Although the color of the covers is not prescribed, it may be necessary to assign colors that conform to the common security classification requirements. The formats for the covers displayed in Annex M can be obtained in electronic form from the POPNAMRAD located on the TTCP Web site.
- b. Any publication issued on CD-ROM, the preferred medium, must include the TTCP cover in the electronic data. In addition, a label on the CD-ROM disc and the cover sheet, if used, should contain the title, publication number, date and, most importantly, the proper caveat as described below. The label should also include the TTCP logo or crest. Use of color is encouraged to enhance the appearance of the CD-ROM. Appendix 4 of Annex M shows a basic layout that can be adapted to specific needs.
- c. TTCP publications will be numbered consecutively by the Groups from the start of each TTCP year in the format shown in Annex M. For example, DOC-WPN-2-2001 is the second TTCP Document issued by the Conventional Weapons Technology Group in TTCP year 2001. TR-JSA-13-2001 is the thirteenth Technical Report issued by the Joint Systems and Analysis Group in TTCP year 2001. The TTCP year starts at the end of a NAMRAD meeting and extends through the following NAMRAD meeting. TTCP year 2002 is roughly from

November 2001 through October 2002.

- d. All TTCP Documents and Technical Reports will include a text box near the footer of the front cover containing one of the three caveats below in addition to any applicable security markings. This caveat should also be repeated on the actual CD-ROM label when publishing electronically. No other caveats may be used on TTCP Documents and Technical Reports. Other statements for Limited Release Technical Reports are given in paragraph 192. Although the caveat in paragraph (i) permits a recipient nation to use the disclosed Information for its Defense Purposes, it should be noted that the alternative caveat in paragraph (ii) limits the application of the disclosed Information to *evaluation* with respect to Defense Purposes. The statement in paragraph (i) will generally be applicable except where proprietary or government interests require the greater degree of protection provided by the statement in paragraph (ii).
 - (i) “This document contains Information which is provided in confidence to the Governments of Australia, Canada, New Zealand, the United Kingdom and the United States under The Technical Cooperation Program (TTCP) among these Governments. The Information contained herein may be used and disseminated for national Defense Purposes only within the recipient Governments and their national defense Contractors. The recipient Governments will ensure that any other use or disclosure of the Information is made only with the prior written consent of each of the above Governments.”
 - (ii) “This document contains Information which is provided in confidence to the Governments of Australia, Canada, New Zealand, the United Kingdom and the United States under The Technical Cooperation Program (TTCP) among these Governments. This document may contain proprietary or commercially valuable Information and recipient Governments will not treat it in any manner likely to prejudice the rights of any owner thereof, including the right to obtain patent or like statutory protection thereof. The Information may be used and disseminated only for evaluation with respect to Defense Purposes within the recipient Governments who will ensure that any other use or disclosure is made only with the prior written consent of each of the above Governments.”
- e. When the National Representatives of the Contributing Participants unanimously authorize the release of a TTCP publication for open publication and unlimited distribution, the statement in paragraph (i) below will be applied to the document:
 - (i) “This document contains Information authorized under the auspices of The Technical Cooperation Program (TTCP) for unlimited release and distribution.”

192. TTCP LRTRs are to have the following markings:

- a. Hard copy TTCP Limited Release Technical Reports must display prominently on the front and back covers a header and footer statement indicating that distribution is limited to the specified nations **“Eyes Only.”** The front cover must conform to the example provided in Annex M, Appendix 3. CD-ROMs must contain the "Eyes Only" notation and the appropriate caveat on the label and the cover sheet, if used.
- b. One of the following caveats (suitably configured to be nationally relevant) must be included in a text box near the foot of the front cover page, clearly indicating the nations entitled to receive the report. As with the instances cited above in paragraph 191.d.(ii), the following caveat in paragraph 190.b.(ii) should be used in those instances where the Information presented may have commercial or proprietary interests, and its use with respect to Defense Purposes is thus confined to *evaluation*.

- (i) “This report contains Information which is provided in confidence to the Governments of [*state the nations concerned*] under the auspices of The Technical Cooperation Program (TTCP). The Information contained herein may be used and disseminated for national Defense Purposes within the recipient Governments and their national defense Contractors. Any other use or disclosure of the Information requires the prior written consent of the Governments of [*each of the above referenced nations*]”.

- (ii) “This report contains Information which is provided in confidence to the Governments of [*state the nations concerned*] under the auspices of The Technical Cooperation Program (TTCP). The Information contained herein may contain proprietary or commercially valuable Information and recipient Governments will not treat it in any manner likely to prejudice the rights of any owner thereof, including the right to obtain patent or like statutory protection thereof. The Information may be used and disseminated only for evaluation in respect of Defense Purposes within the recipient Governments. Any other use or disclosure of the Information requires the prior written consent of the Governments of [*each of the above referenced nations*]”.

- c. When a LRTR contains primarily proprietary Background Information that is essential for the use of TTCP Foreground Information in another LRTR, its use will generally be restricted to that needed to utilize the Foreground Information. In this instance, in place of the caveat (i) or (ii) above, the following caveat should be used:

- (i) “This report contains Information which is provided in confidence to the Governments of [*state the nations concerned*] under the auspices of The Technical Cooperation Program (TTCP). The Information

disclosed herein may be used and disseminated only to the extent necessary to utilize the Information contained in Limited Release Technical Report No. [state Report number] for national Defense Purposes. Any other use or disclosure of the Information requires the prior written consent of [*state the nation or nations providing the Background Information*].”

5.9.3 Distribution of Publications

193. The procedures for handling and transmission of TTCP Documents and Technical Reports will be the same as for general TTCP correspondence. Group National Representatives are responsible for distribution of TTCP Documents and Technical Reports within their own nations (Section 4.2.4).

194. Unlimited distribution of a TTCP Document or Technical Report is subject to the unanimous endorsement of the Contributing Participants on a case-by-case basis. Executive Chairs will submit the TTCP Document or Technical Report proposed for unlimited distribution to the Group Counselor for concurrence of the Deputies. National Representatives will ensure that their respective national release procedures are followed. If the publication contains intellectual property, the procedure to authorize unlimited distribution is the same as that for release of TTCP Information to a Third Party. This is given in Section 5.8.3.

195. TTCP LRTRs will be distributed only among the participating nations. Wider release of TTCP LRTRs will be subject to the unanimous written concurrence of the National Representatives of the Participants.

196. TTCP publications and minutes prepared by Groups, Technical Panels, Action Groups and Projects will be distributed according to the following guidelines:

- a. Each TTCP Level 2 and Level 3 element will establish standard distribution lists for publications and minutes. The TTCP Roster can be of assistance in determining the distribution and the corresponding addresses.
- b. Only persons needing the detailed Information contained within official TTCP publications and minutes should be on the distribution lists. Normally, these are members of the organizational element involved. If there is a need to make other elements of TTCP aware of the work, then the Executive Chair or Chair of those elements should be included in the distribution.
- c. TTCP National Representatives are to ensure that a copy of each TTCP publication is placed in the appropriate defense document repository in electronic media (normally CD-ROM) and, optionally, in hard copy. This task can be accomplished by sending TTCP publications to the addresses that follow:

- AS: Document Exchange
DSTO Library Edinburgh
PO Box 1500
Salisbury, SA 5111
Australia
- CA: Director R&D Knowledge and Information Management (DRDKIM 3)
National Defence Headquarters
Major General George Pearkes Building
101 Colonel By Drive
Ottawa, Ontario K1A 0K2
Canada
- NZ: Library
Defence Technology Agency
Auckland Naval Base, Private Bag 32901
Auckland
New Zealand
- UK: Defence Research Information Centre
Kentigern House
65 Brown Street
Glasgow G2 8EX
United Kingdom
- US: Defense Technical Information Center
8725 John J. Kingman Rd., Ste 0944
Fort Belvoir, VA 22060-6218
U.S.A.

5.10 Relationship with Service Standardization Organizations

197. The aims and activities of TTCP bring the organization into contact with several existing Service Standardization Organizations whose interests are related to those of TTCP:

- a. Basic Standardization Agreement (American, British, Canadian and Australian [ABCA] Armies), including the Quadripartite Research Committee (QRC);
- b. Air Standardization Coordinating Committee (ASCC);
- c. Combined Communications and Electronics Board (CCEB);
- d. Australia, Canada, New Zealand, UK, and United States Naval C4 Interoperability Organization (AUSCANNZUKUS).

198. Informal discussions and technical Information exchanges are encouraged between all levels of TTCP and the Service Standardization Organizations. To facilitate this Information exchange, TTCP and the standardization organizations have nominated liaison officers to be

the points of contact between these groups and TTCP. TTCP liaison officers are listed on the TTCP Web site; the standardization organizations' liaison officers are listed on their respective organization Web sites. The Deputies must be informed of all significant discussions, and copies of all significant correspondence will be forwarded to the Secretariat. Groups can arrange and conduct joint activities with these other organizations, but all policy issues must be referred to the Deputies.

ANNEX A. MINUTES OF MEETINGS

1. The Minutes of Meetings will in all cases contain records of the following:

- dates and place of the meeting;

- names and appointments of those attending;

- confirmation of acceptance of the minutes of the previous meeting, or a schedule of agreed amendments;

- a discussion of actions arising from the previous minutes;

- new agenda items;

- other business.

2. The minutes will report the discussion on each item as necessary to ensure that all decisions can be fully understood, without ambiguity, by readers who did not attend the meeting. The decisions, conclusions and recommendations will be clearly identified and the responsibility for further action will be specifically designated.

3. For meetings of Groups, Technical Panels, Action Groups and Projects where technical annexes are to be included in the minutes, the minutes will be separated into two parts wherever practicable.

4. The first section of the minutes will comprise the business portion of the meeting and items such as the agenda, list of presentations and authors, discussions, conclusions, recommendations and assigned actions. This section will be assembled and circulated as soon after the meeting as possible and in no case more than 60 days later. It should be UNCLASSIFIED if possible.

5. The second section will comprise position papers, technical presentations, proceedings, and any resulting discussion. It may be circulated separately or attached to the first section, but it must be distributed within four months from the date of the meeting. There will be no limit on the security classification of this section.

6. Minutes should be issued in electronic media (normally CD-ROM) to facilitate distribution and archiving. The appropriate TTCP Disclosure and Use caveat should be printed on both the CD adhesive label and the CD cover sheet. Hard copies may also be produced, but hard copy should not be the sole publication medium.

ANNEX B. TEMPLATES FOR TERMS OF REFERENCE (TOR)

Appendix 1

Example for a Group TOR

[Instructions for use: Replace all parts that are enclosed in square brackets with material that is proper for the particular Group. Retain all parts that are not in square brackets. Please note that while Group CBD is used in this example, this is not a current TOR for Group CBD.]

TTCP

[CHEMICAL, BIOLOGICAL AND RADIOLOGICAL DEFENCE GROUP]

Short name: [CBD]

TERMS OF REFERENCE

1. Field: [Technology and system concepts for countering chemical, biological and radiological hazards]
2. Authority: The Group is established and will operate as a component of The Technical Cooperation Program (TTCP) of Australia, Canada, New Zealand, the United Kingdom, and the United States under authority of the Subcommittee on Non-Atomic Military Research and Development (NAMRAD) of the Combined Policy Committee.
3. Scope: [The Chemical, Biological and Radiological Defence Group may undertake collaborative research and Information exchange on all methods of defence against chemical, biological and radiological hazards. This threat includes materials and devices that could be used by terrorists as well as those that could be used by national forces. Subjects may include detection of hazards (remote and point detection), protection of people and equipment (individual and collective protection), medical prophylaxis and treatment, decontamination, environmental remediation, and hazard assessment and modeling.]

[The work of CBD must be closely co-ordinated with the other TTCP Groups, particularly the Human Resources and Performance Group (HUM), Sensors Group (SEN), Command, Control, Communications and Information Group (C3I), Conventional Weapons Group (WPN), and Joint Systems and Analysis Group (JSA). These and other TTCP Groups may be conducting programmes that could contribute to defence against weapons of mass destruction, and co-ordination is necessary to prevent undue duplication and to achieve maximum efficiency. These Groups are encouraged to harmonise their programmes and co-operate on projects.]

The activities of the Group may encompass basic research, exploratory development, and demonstrations of advanced technology development (i.e. United States categories 6.1, 6.2 and 6.3). In addition to research and development of technology, this can include demonstrations of new system concepts, techniques and equipment, and their test and evaluation in technical and operational environments; and the pursuit of alternative solutions

to potential military problems. Development of specific systems intended for production is beyond the scope of TTCP; however, systems may be constructed to demonstrate technology and explore solutions to military problems. Systems may be studied to gain an understanding of the state of the art, to derive the departure point for future activity, and to evaluate current and near-term technical and operational capabilities.

4 Responsibilities: In its field the Group is responsible for meeting the following objectives:

- a. to improve the coordination and utilization of the collective resources and capacities of the member countries, broaden the base of scientific and technical knowledge, avoid unwarranted duplication, and take advantage of particular national capabilities;
- b. to maintain a continuous overview of the various programs and review the state-of-the-art to identify gaps in knowledge, limit technical problems, and exploit opportunities for collective action;
- c. to identify, promote and implement cooperative activities, projects and programs of high potential mutual benefit, subject to subsequent endorsement by the Principals;
- d. to ensure that the program of work is directed toward improved system performance, increased affordability, reduced life cycle cost and increased military capabilities, and that these benefits have a high potential payoff to the military community;
- e. to effect an interchange of Information, personnel, and materiel as needed to accomplish the Group's program of work and as approved by national authorities;
- f. to promote common design criteria and test and evaluation procedures to facilitate interoperability of systems and the common use of test results;
- g. to establish and manage a limited substructure of Technical Panels and Action Groups as required to fulfill its mandate.

5. Direction: The Group will operate under the direction the NAMRAD Principals within the provisions of the TTCP MOU and as amplified by the supporting document "Policies, Organization and Procedures in Non-Atomic Military Research and Development" (POPNAMRAD). National security regulations and procedures will be followed. Information received through TTCP will be safeguarded as set out in the MOU and POPNAMRAD. Difficult cases in the release of Information will be referred to the Washington Deputy designated as Group Counselor. The Principals will appoint an Executive Chair of the Group from one of the participating nations. The Executive Chair and a National Representative from each participating nation will manage the agreed program and ensure its timely execution.

6. Formal Group Reviews: The Group will provide a written annual report on its activities, accomplishments, and plans to the Washington Deputies each year by 31 July. At the annual NAMRAD Principals meeting, the Group Executive Chair, or in exceptional circumstances his representative, will verbally present the Group strategic direction, annual progress, future

plans and issues or problems that require the Principals' consideration. The NAMRAD Principals will assess the accomplishments, potential for high mutual benefit, direction and focus of the Group, and will endorse or redirect the planned work program.

7. Term: The lifetime of the Group is not predetermined but depends on the assessment of the Principals regarding the Group's continuing value and potential to contribute.

Example¹ for a Technical Panel**TERMS OF REFERENCE
CBD Technical Panel 9 (TP-9) – HAZARD ASSESSMENT**

Field: The measurement and prediction of the hazard presented by chemical, biological and radiological agents in the atmosphere and in military or industrial settings

Authority: The Technical Panel is a subordinate element of the Chemical, Biological and Radiological Defense Group (CBD) that operates as a component of TTCP under the authority of the NAMRAD Subcommittee. The Technical Panel is authorized to conduct activities in basic research, advanced technology development, and exploratory development and demonstration.

Objectives:

Provide a means to evaluate the challenge to personnel and their CB defensive equipment through the development, enhancement and validation of mathematical models (or a family of models) which describe the transport, dispersion (atmospheric dispersion), and deposition of CB agents.

Exchange data as required for the enhancement, development and validation of such models and, where possible, conduct collaborative laboratory and/or field experiments to fill data gaps.

Provide expert advice to the CB defense community on CB hazard modeling.

Work Program for the Year 99-00:

Task 1: Review air transport and dispersion models and techniques developed in TTCP and non-TTCP countries and assess their applicability to TTCP modeling needs.

Task 2: Continue next generation model development and validation with the following sub-tasks:

- a. Agent persistency modeling and data (UK/US)
- b. Concentration time series (UK)
- c. Monitor toxicity studies (all)
- d. Wind field monitoring (all)

Task 3: Continue urban CB hazard model development with the following sub-tasks:

- a. Conduct water channel urban wind/turbulence experiments (all).
- b. Develop low resolution CFD urban wind field model(CA).
- c. Conduct wind tunnel studies of the effects of 2D obstacles (UK).

¹ This example TOR is not the actual TOR of CBD TP-9.

- d. Complete prototype Universal Dispersion Model components for short-range/long-range urban dispersion (UK).

Administrative Guidance:

The Technical Panel TOR will be approved annually by the Group. For each new proposed task, the Technical Panel Chair will provide a Task Proposal Summary. These summaries should be distributed to all National Representatives of the Group.

The Technical Panel Chair will submit a report to the CBD Group at least 60 days prior to the next Group annual meeting indicating the specific tasks completed in the past year and providing an assessment of the performance of TP-9 against the following metrics:

- a. Compliance with CBD Group directives (e.g. Terms of Reference, action items)
- b. Customer satisfaction (e.g. commendations, promotions or other indications of satisfaction that can be attributed to the work of TP-9)
- c. Scientific quality (e.g. peer review publications, TTCP awards, other evidence of scientific achievement)
- d. Achievement of milestones
- e. Value added through collaboration (e.g. capability gains, cost benefit)
- f. Articulation of achievements
- g. Future program (e.g. suggested terms of reference of suitable scientific quality with challenging measurable milestones and benefits)

The Technical Panel will review, if appropriate, the use of advances in technology outside defense that could have an impact on their tasks (technology watch).

Within 45 days of the completion of a task, the Chair will submit a Task Outcome Report and a final Technical Report to the Group.

Approval:

With the concurrence of all CBD National Representatives, these Terms of Reference are approved.

CBD Executive Chair

Date

**ANNEX C. FORMAT FOR THE PREPARATION OF
ANNUAL REPORTS AND BRIEFINGS**

Appendix 1

GROUP ANNUAL REPORT

At NAMRAD 2001, the Principals directed the Deputies to “*Develop a new format for Group Annual Reports based on bullet-type presentation emphasizing strategy, successes, opportunities and issues, as well as instances wherein the Principals must be engaged.*” The objective of this format change is to reduce the workload on the Executive Chairs and at the same time provide the Principals with exactly the sort of information that they need to make informed judgments about the Groups’ programs. The new format is to be employed by all Executive Chairs for their Annual Reports to NAMRAD 2002 and from then on. Questions and comments may be directed to the TTCP Washington Secretariat or Deputies.

Note that parts 4 to 7 of the report must be in bullet format. ***The total length of parts 1 to 7 must not exceed 7 pages.*** Roadmaps and upcoming meetings are no longer part of the Annual Report. However, each Executive Chair must provide to the Secretariat:

- The Group Roadmap, in order that the Secretariat may assemble a *Compendium of Group Roadmaps*.
- The list of upcoming meetings of the Group and its Panels and Action Groups.

Group annual report structure.

1. Group Name:

2. Reporting Period: 1 August to 31 July

3. Strategy (1/2 to 1 page)

- Strategic objectives and directions.

4. Progress (1-2 pages)

- Success stories from the past year.
- Major activities and progress over the past year.

5. Future Program (1-2 pages)

- Technology trends and primary opportunities for TTCP collaboration
- Key activities planned for execution in the near term, with emphasis on the next year.

6. Issues and Concerns (1 page or less)

- Problem areas worth drawing to the Principals’ attention.

7. Request for Decisions and Guidance (1 page or less)

- Decisions, guidance or actions requested of the Principals.

ANNEX Group Interactions

- Tables of inter- or extra-Group interactions.

Example Format of Intra-Group Interactions Table

AER	TP1	TP2	TP3	TP4	TP5	AG1	AG2			
TP1										
TP2										
TP3	✓									
TP4										
TP5	✓		✓							
AG1		✓		✓						
AG2						✓				

NOTES:

- 1.
- 2.

Example Format of Inter-Group Interactions Table

AER	C3I	CBD	EWS	HUM	JSA	MAT	MAR	SEN	WPN
TP1						✓			
TP2							✓		
TP3	✓			✓					
TP4		✓							✓
TP5			✓						
AG1					✓			✓	
AG2						✓			

NOTES:

- 1.
- 2.

Example Format of Extra-Group Interactions Table

AER	ABCA	ASCC	AUSCANNZUKUS NAVAL C3	CCEB	NATO (xxxx)	Nation A	Nation B		
TP1		✓				✓	✓		
TP2			✓		✓				
TP3		✓							
TP4				✓					
TP5		✓					✓		
AG1	✓								
AG2					✓				

NOTES:

- 1.
 - 2.
-

**LEVEL 3 ANNUAL REPORT FORMAT
FOR TECHNICAL PANEL OR ACTION GROUP**

EXAMPLE ANNUAL REPORT

1. TP/AG Name and Designator:

2. Reporting Period:

3. Strategic Objectives and Directions: *The TP/AG's statement of strategic objectives and directions drawn from the Group's strategic objectives and directions.*

4. In-Year Progress: *In-year progress should be described with respect to the plan in the previous year's Annual Report: Show achievement of key milestones and deliverables, explaining how the progress is related to the TP/AG's strategic objectives.*

Identify highlights from the current year as candidates for inclusion in the Group annual report. Highlights are to be expressed in a language suitable for a general technical audience, not a technical specialist.

5. Proposed Program for Next Year: *Describe key elements from the proposed Tactical Plan identifying their relationship to the TP/AG's strategic objectives.*

6. Issues and Concerns: *Discuss subjects that the Executive Chairs and National Representatives should know about or should take action on.*

Annex A –Tactical Plan: *The Tactical Plan consists of:*

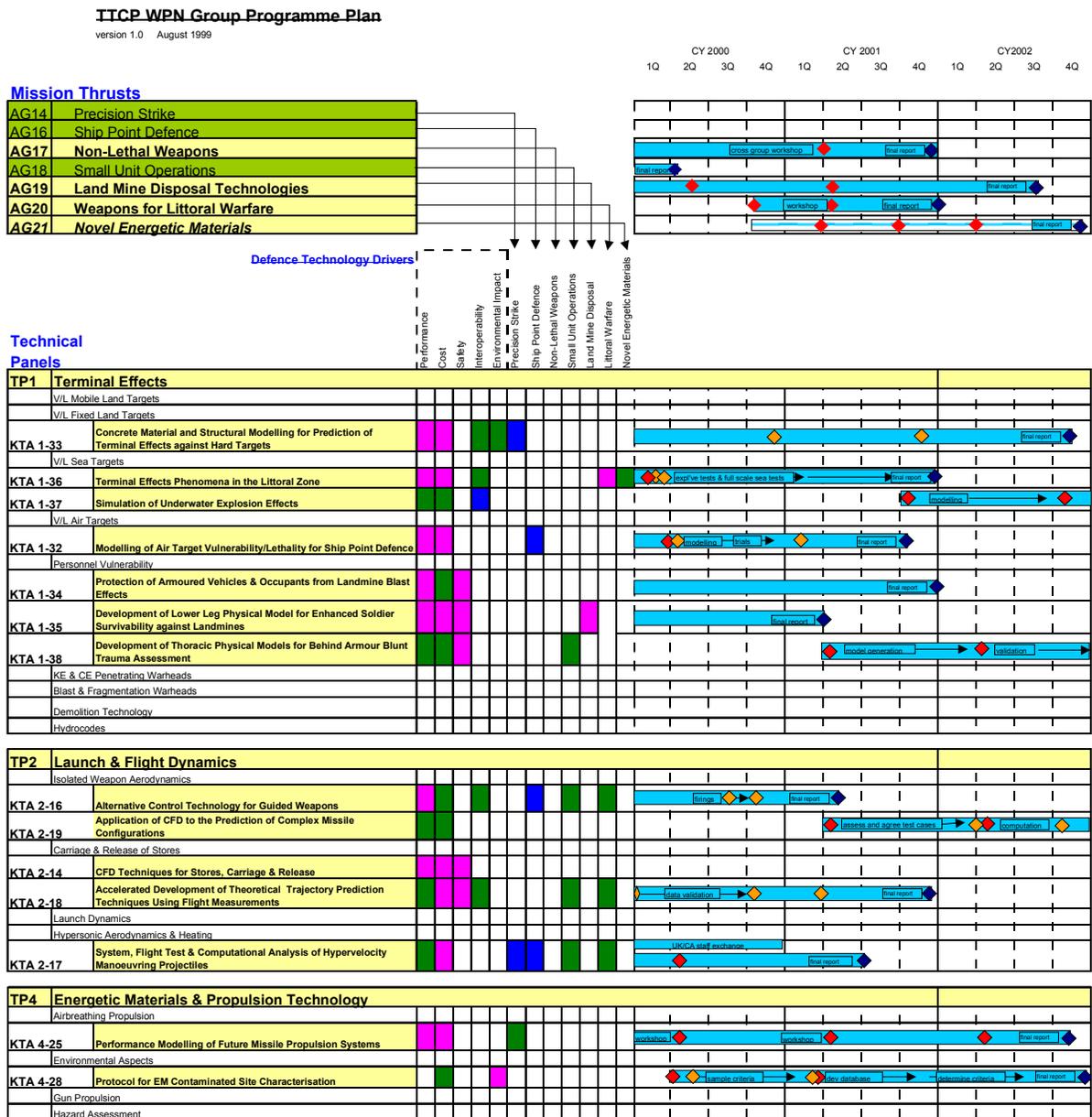
- *a roadmap (Excel Gantt chart) showing key deliverables and identifying the elements of the Group's Strategic Plan to which they contribute. Note that the Group should be able to create the Group-level roadmap by consolidating the roadmaps of its subordinate elements. Appendix 3 shows an example of a Group roadmap.*
- *a complete, up-to-date collection of Terms of Reference and Task Proposal Summary Sheets for the TP/AG's subordinate activities (tasks, key technical areas, workshops, studies, etc.) proposed for the next 3 years.*

Annex B - Meetings Planned:

Annex C – Bibliography: *Bibliographical references to all TTCP publications completed in the reporting year. Include in the bibliography all Task Outcome Reports for tasks and major milestones completed in the reporting period.*

Annex D - Group Interaction Efforts Table: *Present the TP/AG input to the Group intra-, inter-, and extra-Group interaction tables.*

EXAMPLE OF ROADMAP (GANTT CHART)



EXECUTIVE CHAIR BRIEFING TO THE PRINCIPALS

The annual NAMRAD meeting presents a Group Executive Chair with his best, and often his only, opportunity to show the Principals how productive his Group has been and to explain the exciting prospects for the proposed program. Although objectivity should never be compromised, the Executive Chair should make certain that the Principals come away with a full appreciation for the significance of the results achieved and of the research planned. Models, charts, video clips all can aid in creating an appreciation for the work of the Group. An Executive Chair should try to make a dynamic, interesting presentation so that his message will get across and so it will be remembered. In particular, he should avoid explanations that can be appreciated only by the technologists who did the research. The time allotted for a Group briefing at the NAMRAD meeting is typically fifty minutes. There is no fixed structure for the Group annual briefing to the Principals. It should be tailored to the circumstances of the Group. The following outline is not prescriptive, but it might be helpful as a starting point and as a reminder of what is likely to be important:

Group objectives and strategic plan

- Strategic objective (what the Group is trying to accomplish, in general)
- Grand strategy or approach (how the Group is going about it)
- Group structure as it relates to the strategic plan

Strategic achievements (mainly during the past year)

- Major assignments completed (results, significance, and payoff)
- On-going efforts (key milestones reached, expectations and difficulties, especially any problem that the Principals can solve)

Way ahead for the Group

- Changes to Strategic Plan, if any
- Group-level plans, e.g. a workshop involving a Third Party
- Tactical Plan (high level, summary roadmap with key milestones to be reached in the coming year)
- Changes to Level 3 structure or assignments

Group self-assessment

- How well the Group has done over-all relative to what was planned
- How effective the Level 2 executives were in managing Group activities
- How the Level 3 elements are rated by the Group executives
- What things were done very well and what could have been done better

ANNEX D. TASK PROPOSAL SUMMARY AND TASK OUTCOME REPORT

Appendix 1

TASK PROPOSAL SUMMARY

TTCP Sub-element:

TTCP Reference No:

Task Title:

Scope and Objectives:

State the boundaries of what is to be done under the task and outline the objectives to be accomplished.

[4-10 lines]

Rationale and Defence Relevance:

Outline the purpose of the task, the reason for undertaking the task in a multilateral environment and the anticipated outcomes, benefits and impact.

[4-10 lines]

Sponsor:

Who commissioned the task

What nations, organizations, agencies, or Services require the outcome

Client Requirements:

Who will take the technology to the next stage of development and/or acquisition?

Who will be the ultimate user of this technology (preferably a warfighter)?

How does the technology address a real client need or requirement?

[15-20 lines]

Estimated Effort/Resources:

Participants *(include as appropriate)*

AS

CA

NZ

UK

US

Staff Years *(total for each nation)*

—

—

—

—

—

Milestones:

In a table or chart format, list the important events in the life of the task including the start and completion dates, significant deadlines, decision points and any relevant trials dates.

Prepared By:

Name, phone number and e-mail address

TASK OUTCOME REPORT

Insert name of task

The purpose of this report is to provide information regarding the outcome of a task at task completion. It is to convey the value of the work to the warfighter - to whom the report is directed. It is important to note that the intended reader of this report is not necessarily an expert in the subject matter addressed by the task. Consequently, this report should not be too technical in content. It should be readable by a generalist rather than a specialist. If helpful, a free paragraph (right here after the name of the task) can be used to give the motivation for undertaking the work. The following section headings are intended as a guide and can be tailored, as appropriate. The importance of the achievements should be presented where it seems most logical, either with the achievements section or with the conclusions section. Throughout the report clear graphics, tables, illustrations, and very simple equations are recommended to present the material effectively to the general readership.

Task Description: - *This section should provide a general summary statement describing the objectives that the work group set out to achieve. The objectives should be set in a context of military relevance.*

Achievement of Task Objectives: - *This section should discuss the results achieved with respect to task objectives and goals. The intent of this section is to highlight task achievements; however, shortfalls against intended goals should also be discussed, if appropriate. Here are some typical achievements:*

- *prototype or proof-of-concept demonstrated;*
- *new knowledge discovered;*
- *products produced;*
- *service provided; and/or*
- *processes improved.*

Conclusions: - *This section should include summary conclusions that can be drawn from the data or experience of the task. An example set of topics follows:*

- *task impact (e.g. how it improves a military capability, what new military capability is provided, how it advances technology, provides educational opportunity, heightens awareness, or produces cultural change);*
- *problems encountered which have implications for warfighting;*
- *“lessons-learned”; and/or*
- *best practices .*

Recommendations: - *When useful, this section should be included. This section should contain recommendations regarding possible applications for the work, how it can be taken further and by whom, and the direction the work group or TTCP at-large should take with*

regard to future work. Recommendations should be actionable. An example set of recommendations follows:

- use output to enhance operational models;
- transition to next phase (e.g. production, training, operation);
- cancel plans for future efforts in related areas; and/or
- pursue follow-on work.

Annex A – Personnel and Organizations Involved: - This section should list the task leader and the POC from each TTCP nation and the telephone, fax and e-mail information. If the task has had a military advisor for operational or requirements information, this person can also be listed if his organization has no objection. Also include the TTCP reference number, if assigned. Include a statement such as “Further information can be obtained by contacting any of the national POCs.”

TTCP WORKSHOP/SEMINAR PROPOSAL

TTCP Sub-Element: **Group Reference No. (as required):**

Workshop/Seminar Title:

Dates:

Location:

Additional Comments (e.g. is the workshop held in conjunction with another TTCP event?):

Scope and Objectives:

State the boundaries of what is to be done under the task and outline the objectives to be accomplished.

[3-6 lines]

Rationale and Defense Relevance:

Outline the purpose of the task (why have a workshop?), and the anticipated outcomes, benefits and impact. What TTCP objective will be furthered by this workshop?

[4-10 lines]

Participation:

Which TTCP nation has agreed to host the workshop?

What nations, organizations, agencies, or Services require the outcome?

Are there Third Parties or other non-TTCP Parties involved?

What attendance is anticipated?

Milestones:

In a table or chart format, list the important events. These include:

arrangement for site and choice of date

list of invitees and date of publishing call for papers

organization of agenda and notification of authors and panel members

publication of proceedings

other as required

Prepared By:

Name, phone number and e-mail address

ANNEX E. PERFORMANCE METRICS

1. Performance metrics that could be used in evaluating the activities of TTCP Level 3 elements are shown below. These should be considered a minimum set. Groups are free to develop custom metrics that suit their work, e.g. include "near-term application" as a metric. Each Level 3 element will provide to its Group the information necessary to arrive at an objective assessment of the performance of the Level 3 element.

2. The Group will grade each of its Level 3 elements on each metric on a scale of 1 to 5 with 5 being excellent. The Group must be able to provide a reason or rationale for each score given. After all Level 3 metrics are scored, sum the scores for the seven metrics. Then rate the Level 3 element on the basis of the total score. A score of 7 to 13 (Red) may indicate remedial action is required, 14 to 28 (Amber) indicates room to improve, and 29 to 35 (Green) is excellent. Consider the reasons given for the ratings when formulating advice to the Level 3 group and when preparing to brief the Principals.

3. At each NAMRAD meeting, the Group Executive Chair will present a self-assessment of the over-all performance of the Group along with the performance metrics of the Group's subordinate elements. See paragraphs 74 and 109. The Executive Chair must be prepared to discuss the ratings given.

LEVEL 3 PERFORMANCE METRICS

Metric		Level 3 Elements					
		TP-1	TP-2	TP-3	---	AG-1	----
1	Compliance with Group directives						
2	Customer satisfaction						
3	Clarity of technical objectives						
4	Achievement of milestones						
5	Value added through collaboration						
6	Articulation of program and achievements						
7	Future program						
TOTAL SCORE							
Red (R)/Amber (A)/Green (G)							

ANNEX F. AWARD CITATION

**The NAMRAD Principals are pleased to approve a
1999 Achievement Award to**

(name of recipient)

for participation in the work of the

**Helicopter Aerodynamics, Dynamics and Man-Machine Integration
Technical Panel**

of the

Aerospace Systems (AER) Group

Citation

This award is made for a significant contribution in demonstrating the use of Computational Fluid Dynamics (CFD) to compute the turbulent airflow in the immediate vicinity of a ship. By each nation applying a different CFD code to an agreed simple frigate-shaped body, issues that include type of code and grid configuration as well as code validation were able to be resolved in a relatively short time. The ability to model the airwake is a vital step towards the achievement of accurate simulation of ship-borne helicopter operations and hence the reduction of dependence on expensive trials at sea to determine ship helicopter operating limits.

ANNEX G. TTCP PROJECT ARRANGEMENT

Appendix 1 – MODEL PROJECT ARRANGEMENT

THE TECHNICAL COOPERATION PROGRAM (TTCP)

PROJECT ARRANGEMENT NO. *(insert No.)*

among/between

(insert the Contributing Participants among the following)

CHIEF DEFENCE SCIENTIST
DEPARTMENT OF DEFENCE OF AUSTRALIA

ASSISTANT DEPUTY MINISTER (SCIENCE AND TECHNOLOGY)
DEPARTMENT OF NATIONAL DEFENCE OF CANADA

DIRECTOR, DEFENCE TECHNOLOGY AGENCY
NEW ZEALAND DEFENCE FORCE

DIRECTOR, SCIENCE AND TECHNOLOGY
MINISTRY OF DEFENCE OF THE UNITED KINGDOM

DIRECTOR OF DEFENSE RESEARCH AND ENGINEERING
DEPARTMENT OF DEFENSE OF THE UNITED STATES OF AMERICA

concerning

(insert name of TTCP Project)

INTRODUCTION

This Project Arrangement (PA) is entered into pursuant to the Memorandum of Understanding (MOU) among the Chief Defence Scientist on behalf of the Department of Defence of Australia, the Assistant Deputy Minister (Science and Technology) on behalf of the Department of National Defence of Canada, the Director, Defence Technology Agency on behalf of the New Zealand Defence Force, the Deputy Under Secretary for Science and Technology on behalf of the Ministry of Defence of the United Kingdom and the Deputy Under Secretary of Defense for Science and Technology on behalf of the Department of Defense of the United States of America concerning The Technical Cooperation Program (TTCP) of 24 October 1995 the provisions of which are hereby incorporated by reference.

SECTION I - DEFINITION OF TERMS AND ABBREVIATIONS

(Define only those terms used in this TTCP PA that have not been defined in the TTCP MOU)

SECTION II - OBJECTIVES

2.1. The objectives of the *(insert name of TTCP Project)* are:

(Insert text on objectives using as many subparagraphs as needed)

SECTION III - SCOPE OF WORK

3.1. The following work will be carried out under this TTCP PA.

(Insert text on scope using as many subparagraphs as needed)

SECTION IV - SHARING OF TASKS

4.1. The sharing of tasks will be as follows:

(Insert text describing division of tasks among TTCP Project Participants, including tasks that will be performed solely by one Participant and tasks to be performed jointly. For joint tasks, indicate Contributing Participants involved in those tasks and lead nation)

SECTION V - BREAKDOWN AND SCHEDULE OF TASKS

(Insert text similar to the following in the event tasks covered under this TTCP Project may be performed using multiple phases or decision points)

5.1. This TTCP Project will proceed according to the following phases and estimated schedule:

<u>Phase</u>	<u>Duration</u>
--------------	-----------------

(Insert number/description of phases, as applicable)

SECTION VI - MANAGEMENT

6.1. Steering Committee (SC) Representatives:

Title/Position
Organization
Address

(The appointment of a Steering Committee is optional. If one is appointed, insert relevant SC Representative information for all Participants in this TTCP PA)

6.2. Project Officers (POs):

Title/Position
Organization
Address

(Insert relevant PO information for all Participants in this TTCP PA including the Lead PO known as the Project Leader)

6.3. Cooperative activities of the Participants in this TTCP PA over and above the jointly determined tasks detailed in the SCOPE OF WORK, SHARING OF TASKS and RESOURCE ESTIMATES Sections will be subject to written amendment to this TTCP PA or signature of a new TTCP PA.

6.4. Particular Management Procedures:

(Insert only those additional management responsibilities not covered under Section IV of the TTCP MOU that are required for effective management of this TTCP Project)

SECTION VII - RESOURCE ESTIMATES

7.1. The Participants in this TTCP PA estimate that the performance of the tasks under this TTCP PA will not exceed the resource estimates specified below:

(Insert the name of the Participant and corresponding resource estimates for each Participant in this TTCP PA, e.g., "The U.S. DOD resources expended in the performance of its PA tasks will not exceed ____")

SECTION VIII - CLASSIFICATION

(Insert only one of the two following text possibilities; note that one of these must be selected)

8.1. No Classified Information will be exchanged under this PA.

(or)

8.1. The highest level of Classified Information exchanged under this PA is (insert level of classification).

(NOTE: If the second option is selected, the PO's must prepare a project security instruction and classification guide within three (3) months of PA signature in accordance with TTCP MOU Section XI)

SECTION IX - PRINCIPAL ORGANIZATIONS INVOLVED

(Insert list of government laboratories, research centers, etc. associated with this TTCP PA for each TTCP PA Participant)

SECTION X - EQUIPMENT AND MATERIAL TRANSFERS

(If Equipment and Material Transfers are envisioned under this TTCP PA, insert the text required by Section VII (Equipment and Material Transfers) of the TTCP MOU here. If not applicable, state "Not Applicable").

**SECTION XI - AMENDMENT, TERMINATION, WITHDRAWAL,
ENTRY INTO EFFECT, AND DURATION**

11.1. Amendment, termination, or withdrawal from this TTCP PA will be in accordance with Section XVI (Amendment, Termination, Withdrawal, Entry into Effect, and Duration) of the TTCP MOU.

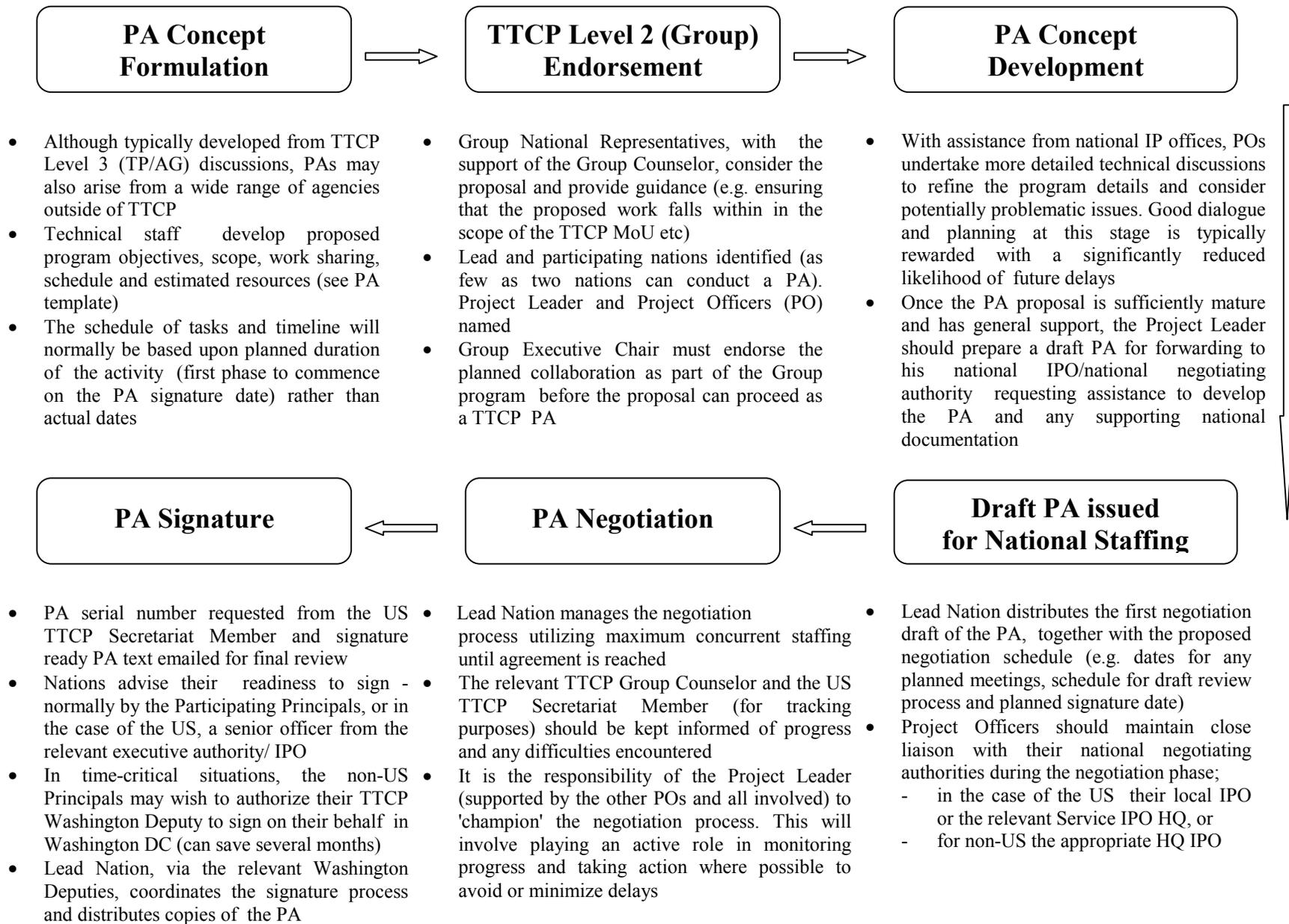
11.2. This TTCP PA will enter into effect upon the date of the last signature below and will remain in effect for *(insert number)* years.

(Delete extra signature block(s) if fewer than five TTCP MOU Participants are Participants in this TTCP PA)

Signature	Signature	Signature
Name	Name	Name
Title	Title	Title
Date	Date	Date
Location	Location	Location

Signature	Signature
Name	Name
Title	Title
Date	Date
Location	Location

Appendix 2 – TTCP PA Approval Process



**ANNEX H. MODEL CERTIFICATION OF CONDITIONS AND
RESPONSIBILITIES FOR COOPERATIVE PROGRAM PERSONNEL**

CERTIFICATION OF CONDITIONS AND RESPONSIBILITIES
FOR COOPERATIVE PROGRAM PERSONNEL

I understand and acknowledge that I have been accepted for assignment to [**conduct a TTCP Activity**] pursuant to the TTCP MOU. In connection with this assignment, I further understand, acknowledge, and certify that I will comply with the following conditions and responsibilities:

1. The purpose of this assignment is to provide my expertise [**in the conduct of the TTCP Activity**]. There will be no access to Information except as required to perform my assigned duties or as otherwise authorized in accordance with Section VIII (Disclosure and Use of Information).
2. I will perform only those functions that are properly assigned to me.
3. All Classified Information and Material and Controlled Unclassified Information to which I may have access during this assignment will be treated as Information provided to my government and will not be further released or disclosed by me, except as authorized by the TTCP MOU.
4. When dealing with individuals outside of my immediate office of assignment on official matters, I will inform them that I am a foreign national/CPP.
5. I have been briefed on, understand, and will comply with the applicable regulations of the host Participant, the provisions of the TTCP MOU, and any applicable security instructions or guidelines related to my assignment.
6. I will immediately report to my designated supervisor all unauthorized attempts to obtain Classified Information and Material or Controlled Unclassified Information to which I may have access as a result of this assignment.

(Typed Name)

(Signature)

(Rank/Title)

(Date)

ANNEX I. MODEL CONFIDENTIALITY ARRANGEMENT

CONFIDENTIALITY ARRANGEMENT

Among

[insert names of signatories]

1.0 TTCP *[insert name of Group, Technical Panel, Action Group or Project]* has requested the participation of *[insert name of person or organization and its nation]* in the conduct of a specific TTCP Activity.

2.0 The signatories to this Confidentiality Arrangement have decided to exchange Information in the following areas:

[insert details of Information to be exchanged]

3.0 Information means knowledge, which can be communicated, by any means, regardless of form or type, including, but not limited to, knowledge of a scientific, technical, business, or financial nature, whether or not subject to copyright, patent, or other legal protection.

3.1 Such Information will be protected in the following manner:

3.1.1 Each signatory of this Confidentiality Arrangement will observe and take every reasonable precaution to handle and maintain in confidence all Information exchanged amongst the signatories, as it would for its own proprietary Information, with the exception only of the following:

3.1.1.1 Information that is in the public domain.

3.1.1.2 Information already known to a signatory of this Confidentiality Arrangement not encumbered by the restrictions listed below.

3.1.2 The Information provided will be used only for purposes of information and evaluation, and such Information will not be copied or disseminated, except to the employees of the signatories, on a need to know basis. Written permission from the furnishing signatory will be required for any other use.

3.1.3 The signatories will not sell, lease, sublicense, or otherwise in any manner, directly or indirectly, assign, transfer or dispose of the Information (or any rights therein or with respect thereto) in whole or in part, or permit its use by any Third Party or organization, except as previously authorized in writing by the furnishing signatory.

3.1.4 *[insert any special provisions as appropriate, e.g. special handling provisions; return of Information; other use]*

1. 4.0 This Confidentiality Arrangement will remain in effect until terminated in writing by the signatories.

2. 5.0 *The foregoing represents the understandings among the signatories of this Confidentiality Arrangement.*

[insert signature blocks of signatories]”

**ANNEX J. MODEL MEMORANDUM OF UNDERSTANDING
FOR THIRD-PARTY PARTICIPATION**

MEMORANDUM OF UNDERSTANDING

among

THE DEPARTMENT OF DEFENCE OF AUSTRALIA*

and

THE DEPARTMENT OF NATIONAL DEFENCE OF CANADA*

and

THE NEW ZEALAND DEFENCE FORCE*

and

THE SECRETARY OF STATE FOR DEFENCE OF THE UNITED KINGDOM OF
GREAT BRITAIN AND NORTHERN IRELAND*

and

THE SECRETARY FOR DEFENSE ON BEHALF OF THE DEPARTMENT OF
DEFENSE OF THE UNITED STATES OF AMERICA*

and

[insert name(s)]

concerning

[insert title of programme/project]

*Delete where not applicable

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INTRODUCTION

The Department of Defence of Australia,* the Department of National Defence of Canada,* the New Zealand Defence Force,* the Secretary of State for Defence of the United Kingdom of Great Britain and Northern Ireland,* the Secretary for Defense on Behalf of The Department of Defense of the United States of America* being signatories to the Memorandum of Understanding for The Technical Co-operation Program dated 24 October 1995, as amended by Amendment One dated *[Insert date]* (the TTCP MOU) and desiring to enter into a Memorandum of Understanding (MOU) **with *[Insert Name(s)]***, for the purpose of conducting a project on *[insert title of programme/project]*, have reached the following understandings:

For the purpose of this MOU, the Department of Defence of Australia,* the Department of National Defence of Canada,* the New Zealand Defence Force,* the Secretary of State for Defence of the United Kingdom of Great Britain and Northern Ireland,* the Secretary for Defense on Behalf of The Department of Defense of the United States of America and *[Insert Name(s)]* will be known as “the Participants”.

SECTION I DEFINITION OF TERMS

1.1 The Participants confirm that they accept the definitions set out in Section I (Definition of Terms) of the TTCP MOU, except as follows:

Background Information	Information generated outside the scope of this MOU.
Contributing Participant	A signatory to this MOU, also referred to as a Participant to this MOU.
Equipment and Material	Any material, equipment, end item, subsystem, component, special tooling or test equipment used in the performance of this MOU.
Invention	Any invention or discovery formulated, made (conceived or first actually reduced to practice) in the course of this MOU.
Jointly Generated Foreground Information	Information jointly generated by the Participants in the performance of this MOU.
National Foreground Information	Information generated solely by one of the Participants in the performance of this MOU.

Non-Contributing Participant	A signatory to the TTCP MOU who is not a Participant in this MOU.
Third Party	Any person or other entity whose government or agency thereof is not a Participant to this MOU.

1.2 The Participants confirm that the following terms that are defined in the TTCP MOU, will not be used in this MOU: National Technical Representatives, TTCP Document, and TTCP Subordinate Element.

1.3 The Participants confirm that the following terms in the TTCP MOU are interpreted as follows for the purposes of this MOU:

1.3.1 Where the TTCP MOU uses the terms “TTCP Activity,” “TTCP Project,” or “TTCP Project Arrangement (TTCP PA)” they refer to the work performed under this MOU.

1.3.2 Where the TTCP MOU uses the term “this MOU,” it refers to this MOU and not the TTCP MOU.

SECTION II OBJECTIVES

2.1 The objectives of this MOU are *[insert necessary provisions]*

SECTION III SCOPE

3.1 The scope of work to be performed under this MOU is *[insert necessary provisions, which should include sub-sections dealing with Sharing of Tasks and Breakdown and Schedule of Tasks]*

3.2 The Participants will prepare an executive summary describing the results of their work, which will be released to all signatories of the TTCP MOU.

SECTION IV MANAGEMENT

4.1 The Participants will be responsible for overseeing the conduct of activities under this MOU and monitoring its overall use and effectiveness.

3. If appropriate, the Participants may appoint a Steering Committee to exercise these responsibilities on their behalf, in which case the following paragraphs are to be included in the MOU:

4.

5. [4.* The members of the Steering Committee will be designated national representatives who are employees of the Participants. They, or their equivalent in the event of re-organization, are as follows:

[insert name of representatives of each Participant]

4.* The Steering Committee will have the following responsibilities:

4.*.1 Overseeing the conduct of activities under this MOU;

4.*.2 Providing general guidance and direction to the Project Officers; and

4.*.3 Recommending amendments to this MOU to the Participants.]

4.2 The following designated national representatives, who are employees of the Participants, will be the Project Officers (PO) for this MOU.

For *[insert country and PO information as appropriate]*

4.3 The POs will have primary responsibility for:

4.3.1 Effective implementation, direction and efficient management of activities under this MOU, including technical, cost and schedule performance against the requirements in Sections III and V of this MOU;

4.3.2 Reporting the status, activity and results of this MOU to the Steering Committee (or to the Participants if no Steering Committee is established);

4.3.3 Referring any issues that they cannot resolve to the Steering Committee (if appointed) or to the Participants for decision;

4.3.4 Preparation of the executive summary as required by Section III; and

4.3.5 Recommending amendments to this MOU to the Steering Committee (if appointed) or to the Participants.

Special Management Procedures

4.4 *[insert any procedures particular to this MOU]*

SECTION V FINANCIAL ARRANGEMENTS

5.1 The Participants confirm that when taking part in activities under this MOU they will conform to the provisions of Section V (Financial Arrangements) of the TTCP MOU (excluding paragraph 5.2).

5.2 The Participants in this MOU estimate that the cost of performance of the work under this MOU will not exceed: *[insert total cost in appropriate currencies]*

The *[insert country]* tasks will not cost more than *[insert amount]*
[repeat for each Participant]

SECTION VI CONTRACTUAL ARRANGEMENTS

6.1 The Participants confirm that when taking part in activities under this MOU they will conform to the provisions of Section VI (Contractual Arrangements) of the TTCP MOU (excluding paragraph 6.3).

SECTION VII EQUIPMENT AND MATERIAL TRANSFERS

7.1 The Participants confirm that when carrying out Equipment and Material Transfers under this MOU they will conform with the provisions of Section VII (Equipment and Material Transfers) of the TTCP MOU (excluding paragraph 7.1 and 7.2) except that:

7.1.1 Where the TTCP MOU uses the term “TTCP E&MT Form(s),” it refers to the E&MT Form attached at Appendix 1 to this MOU. For the purposes of this MOU, the E&MT Form will be developed, maintained, and revised as necessary by the POs.

SECTION VIII DISCLOSURE AND USE OF INFORMATION

8.1 The Participants confirm that the Disclosure and Use of Information provisions under this MOU will conform to the provisions of Section VIII (Disclosure and Use of Information) of the TTCP MOU (excluding paragraphs 8.1.3, 8.1.6, 8.2, 8.4, and 8.5).

8.2 All sales, transfers of title, disclosures, or transfers of possession of Information by Participants to this MOU to Third Parties as defined in this MOU will be subject to the provisions of Section XII (Third Party Sales and Transfers) of this MOU

8.3 Production Information will not be exchanged or provided under this MOU.

SECTION IX CONTROLLED UNCLASSIFIED INFORMATION

9.1 The Participants confirm that when dealing with Controlled Unclassified Information under this MOU they will conform to the provisions of Section IX (Controlled Unclassified Information) of the TTCP MOU (excluding paragraph 9.2).

9.2 To assist in providing the appropriate controls, the originating Participant will ensure that Controlled Unclassified Information is appropriately marked. As a minimum, the

originating Participant will mark Controlled Unclassified Information provided to the other Participants with a legend indicating the country of origin, the conditions of release, and the fact that it relates to this MOU and that it is supplied “in confidence” or the equivalent marking.

SECTION X CHANNELS OF COMMUNICATION AND VISITS

10.1 The Participants confirm that when dealing with channels of communication and visits under this MOU they will conform to the provisions of Section X (Channels of Communications and Visits) of the TTCP MOU (excluding paragraph 10.1).

10.2 POs are authorized to exchange Information on behalf of the Participants in accordance with this MOU. Information exchanged among the Participants will be forwarded by POs to their counterparts via government channels for appropriate dissemination.

SECTION XI SECURITY

11.1 The Participants confirm that when handling Classified Information or Material, they will conform to Section XI (Security) of the TTCP MOU (excluding 11.3.1 and 11.10).

11.2 A receiving Participant will not release Classified Information or Material to any government, national organization, or other entity of a Third Party without the prior written consent of the originating Participant in accordance with the procedures set forth in Section XII (Third Party Sales and Transfers) of this MOU.

11.3 Classified Information or Material provided or generated in accordance with this MOU may be classified up to and including (*insert level*). The existence of this MOU and its contents are unclassified.

SECTION XII THIRD PARTY SALES AND TRANSFERS

12.1 The Participants confirm that when dealing with Sales and Transfers to Third Parties, they will conform with the provisions of Section XII (Third Party Sales and Transfers) of the TTCP MOU (excluding paragraphs 12.1, 12.3 and 12.2, but retaining sub-paragraphs 12.2.1 to 12.2.6 inclusive), except that:

12.1.1 Where the TTCP MOU uses the term “Third Party” it refers to “Third Party” as defined in this MOU.

**SECTION XIII
CLAIMS AND LIABILITY**

13.1 The Participants confirm that they will conform to the provisions of Section XIII (Claims and Liability) of the TTCP MOU when dealing with liability for claims arising from activities under this MOU.

**SECTION XIV
CUSTOMS DUTIES, TAXES AND SIMILAR CHARGES**

14.1 The Participants confirm that they will conform to the provisions of Section XIV (Customs Duties, Taxes, and Similar Charges) of the TTCP MOU when dealing with customs duties, taxes and similar charges arising from activities under this MOU.

14.2 In addition, any European Union (EU) recipient Government will settle customs duties and comparable levies due to the EU in respect of parts, components and equipment needed for activities under this MOU. To this end parts or components of the equipment will proceed to their destination accompanied by the relevant customs documents enabling such settlement to be made.

**SECTION XV
SETTLEMENT OF DISPUTES**

15.1 Any dispute among the Participants arising under or relating to this MOU will be resolved only by consultation among the Participants and will not be referred to an individual, to any national or international tribunal, or to any other forum for settlement.

**SECTION XVI
COOPERATIVE PROGRAM PERSONNEL**

16.1 Assignment of CPP under this MOU will be carried out in accordance in Section XVI (Cooperative Program Personnel) of the TTCP MOU.

16.1.1 Appendix 2 of this MOU replaces Appendix 5 of the TTCP MOU.

**SECTION XVII
AMENDMENT, TERMINATION, WITHDRAWAL,
ENTRY INTO EFFECT, AND DURATION**

17.1 This MOU may be amended only upon the unanimous written consent of the Participants.

17.2 This MOU may be terminated at any time by the unanimous written consent of the Participants. In the event the Participants decide to terminate this MOU they will consult at the appropriate level prior to the date of termination.

17.3 A Participant may withdraw from this MOU upon 180 days written notification to the other Participants. The withdrawing Participant will continue participation until the effective date of withdrawal. Notwithstanding paragraph 3.12 of the TTCP MOU, the remaining Participants may decide to continue work under this MOU.

17.4 The respective rights and responsibilities of the Participants regarding Section VII (Equipment and Materials Transfers), Section VIII (Disclosure and Use of Information), Section IX (Controlled Unclassified Information), Section XI (Security), Section XII (Third Party Sales and Transfers), and Section XIII (Claims and Liability) will continue notwithstanding termination, withdrawal, or expiration of this MOU.

17.5 This MOU, which consists of the Introduction, *[insert number]* Sections and *[insert number]* Appendices will enter into effect upon signature by all Participants and will remain in effect for *[insert duration]* years. This MOU may be extended by the written consent of the Participants.

The foregoing represents the understandings reached among *[insert the names of the Participants]* upon the matters referred to therein and is signed in *[insert number]* copies.

[Insert signature blocks]

(insert as required for the number of Participants of this MOU)

FOR (Participant)

Signature
Name
Title
Date
Location

ANNEX K. EQUIPMENT AND MATERIAL TRANSFER TEMPLATE

THE TECHNICAL COOPERATION PROGRAM (TTCP)

EQUIPMENT AND MATERIAL TRANSFER NO.

among / between

(insert titles of the Organizations participating in the transfer)

under

6. (insert name of TTCP Subordinate Element)

INTRODUCTION

This Equipment and Material Transfer (E&MT) is entered into pursuant to the Memorandum of Understanding (MOU) among the Chief Defence Scientist on behalf of the Department of Defence of Australia, the Assistant Deputy Minister (Science and Technology) on behalf of the Department of National Defence of Canada, the Director, Defence Technology Agency on behalf of the New Zealand Defence Force, the Deputy Under Secretary for Science and Technology on behalf of the Ministry of Defence of the United Kingdom and the Deputy Under Secretary of Defense for Science and Technology on behalf of the Department of Defense of the United States of America concerning The Technical Cooperation Program (TTCP) of 24 October 1995. This TTCP E&MT Form is being executed by authorized representatives of the providing and receiving Participants pursuant to Section VII (Equipment and Material Transfers) of the TTCP MOU.

SECTION I - DESCRIPTION AND QUANTITY

1.1. The following Equipment and Material will be transferred by the providing Participant(s) to the receiving Participant(s):

<u>Providing Participant(s)</u>	<u>Receiving Participant(s)</u>	<u>Quantity</u>	<u>Description Part/Stock</u>
-------------------------------------	-------------------------------------	-----------------	-----------------------------------

(fill in as appropriate)

1.2. *(Choose one of the following alternatives, or use both if both situations apply)*

Alternative A – Use when return of Equipment and Material is planned.

"None of the Equipment and Material identified in paragraph 1.1 is intended to be consumed or expended during the course of the TTCP Activity described in paragraph 2.1.1."

Alternative B – Use when return of Equipment and Material is not planned due to its consumption during the activity.

"The Equipment and Material *(specify as appropriate by highlighting in paragraph 1.1)* described in paragraph 1.1 is intended to be consumed or expended during the course of the TTCP Activity described in paragraph 2.1.1."

SECTION II - PURPOSE

2.1. The purpose of this Equipment and Material transfer is to support the following TTCP Activity.

2.1.1. (fill in as appropriate)

SECTION III - MANAGEMENT AND RESPONSIBILITIES

3.1. Each Participant will establish a point of contact who will be responsible for implementing this Equipment and Material Transfer.

3.1.1. For the providing Participant(s) the point(s) of contact is/are
_____*

3.1.2. For the receiving Participant(s) the point(s) of contact is/are
_____*

(* *Insert the appropriate names, titles/office symbols, addresses, and telephone numbers of the individuals assigned to implement this Equipment and Material Transfer.*)

3.2. Responsibilities of the Providing Participant(s)

3.2.1. Transfer of the Equipment and Material - The providing Participant(s) will transfer the Equipment and Material listed above for the duration of the transfer period specified in paragraph 5.4 unless extended by mutual written consent.

3.2.2. Equipment and Material Delivery - The providing Participant(s) will deliver the Equipment and Material (*specify arrangements*). Custody of the Equipment and Material will pass from the providing Participant(s) to the receiving Participant(s) at the time of receipt of the Equipment and Material. Any further transportation is the responsibility of the receiving Participant(s) unless otherwise specified in this paragraph.

3.2.3. Information - The providing Participant(s) will furnish the receiving Participant(s) such Information as is necessary to enable the Equipment and Material to be used in the Activity described in paragraph 2.1.1 in accordance with Section VIII (Disclosure and Use of Information) of the TTCP MOU.

3.3. Responsibilities of the Receiving Participant(s)

3.3.1. Inspection and Inventory - The receiving Participant(s) will inspect and inventory the Equipment and Material upon receipt. The receiving Participant(s) will also inspect and inventory the Equipment and Material prior to its return to the providing Participant(s) unless the Equipment and Material is consumed in accordance with paragraph 3.3.2.

3.3.2. *(Choose one of the following alternatives, or use both if both situations apply)*

Alternative A – Use when return of Equipment and Material is planned.

Return of Equipment and Material - Upon expiration or termination of the transfer period specified in paragraph 5.4 (taking into account any approved extension by the providing Participant(s)), the receiving Participant(s) will return the Equipment and Material to the providing Participant (*specify arrangements*). If the Equipment and Material is lost, unintentionally destroyed, or damaged beyond repair, while in the custody of the receiving Participant(s), the receiving Participant(s) will issue a certificate of loss/destruction/irreparable damage to the providing Participant(s)."

Alternative B – Use when return of Equipment and Material is not planned due to its consumption during the Activity.

Consumption of Equipment and Material - It is intended that the receiving Participant(s) will consume the Equipment and Material specified in paragraph 1.1 during the course of the Activity described in paragraph 2.1.1. If this does occur, the receiving Participant(s) will provide written notice of its consumption to the providing Participant(s). In the event consumption does not occur prior to the end of the transfer period specified in paragraph 5.4, the receiving Participant(s) will return the Equipment and Material to the providing Participant (*specify arrangements*). If the Equipment and Material is lost, unintentionally destroyed, or damaged beyond repair prior to its intended consumption while in the custody of the receiving Participant(s), the receiving Participant(s) will issue a certificate of loss/destruction/irreparable damage to the providing Participant(s)."

3.4. This TTCP E&MT Form provides only for transfer of Equipment and Material associated with the Activity described in paragraph 2.1.1. Signature of this TTCP E&MT Form does not imply any commitment by a Participant to participate in any activities beyond the E&MT described herein.

SECTION IV - CLASSIFICATION

4.1. *(Insert only one of the two following paragraphs; note that one of these two options must be selected).*

"No classified Equipment and Material will be transferred under this TTCP E&MT Form."

(or)

"The highest level of classified Equipment and Material under this TTCP E&MT Form is *(insert level of classification)*."

SECTION V - MODIFICATION, TERMINATION, AND TRANSFER PERIOD

5.1. The provisions of this E&MT Form may be modified or extended by written mutual consent of authorized representatives of the Participants in accordance with Section VII (Equipment and Material Transfers) of the TTCP MOU.

5.2. The Equipment and Material Transfer described in this TTCP E&MT Form may be terminated at any time in accordance with the following provisions.

5.2.1. Through the mutual written consent of the authorized representatives of the Participants.

5.2.2. Unilaterally by the receiving Participant(s) on 60 days written notice to the providing Participant(s).

5.2.3. Unilaterally by the providing Participant(s) at any time.

5.3. Responsibilities regarding security and protection against unauthorized use, disclosure, or transfer that accrued prior to termination or expiration of the transfer period will continue to apply without limit of time in accordance with Section XVI (Amendment, Termination, Withdrawal, Entry Into Effect, and Duration) of the TTCP MOU.

5.4. The transfer period for the Equipment and Material described herein begins on the date of the last signature below, and unless terminated or extended, and will continue until *(enter date or amount of time)*.

(Delete extra signature block(s) if fewer than five TTCP MOU Participants are participants in this Equipment and Material Transfer).

_____ Signature	_____ Signature	_____ Signature
_____ Name	_____ Name	_____ Name
_____ Title	_____ Title	_____ Title
_____ Date	_____ Date	_____ Date
_____ Location	_____ Location	_____ Location

_____ Signature	_____ Signature
_____ Name	_____ Name
_____ Title	_____ Title
_____ Date	_____ Date
_____ Location	_____ Location

ANNEX L. REFERENCE GUIDE—DISCLOSURE AND USE OF INFORMATION

INFORMATION SOURCE	INFORMATION CATEGORY	DISCLOSURE		USE		AUTHORITY NEEDED FOR THIRD-PARTY¹ RELEASES
TTCP Publications	Background National Foreground Jointly-Generated Foreground	To all TTCP nations ²		Defense Purposes ³		All TTCP nations decide
Information Exchange	Background	To all TTCP nations, provided at discretion of furnishing nation		Information & evaluation only unless otherwise authorized by originating nation		Originating nation's discretion
TTCP Activities Harmonization & Alignment and Project Arrangements	Background	<i>To CPs</i> ⁵	<i>To non-CPs</i>	<i>To CPs</i>	<i>To non-CPs</i>	Originating nation's discretion
		To all CPs, subject to ⁴	Originating nation's discretion	Defense Purposes	Originating nation's discretion	
	National Foreground	To all CPs	Originating nation's discretion	Defense Purposes	Originating nation's discretion	Originating nation's discretion
	Jointly-Generated Foreground	To All CPs	All CPs decide	Defense Purposes	All CPs decide	All CPs decide

¹ Third Party = a non-TTCP nation or an entity of a non-TTCP nation. See Definitions on page v of prefatory material.

² TTCP Publications are normally distributed to all nations, other than in exceptional circumstances such as outlined at Section 5.9.

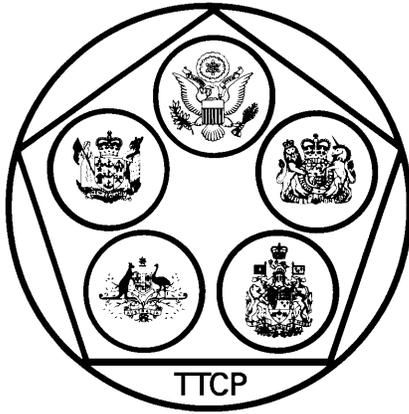
³ Information contained in TTCP Publications may be used for Defense Purposes except where a more limiting caveat has been applied by the TTCP furnishing party(s).

⁴ The originating nation determines that the Information is considered necessary to, or useful in a TTCP activity; that the Information can be made available without incurring liability to holders of proprietary rights; and that disclosure of the Information is consistent with national disclosure policies and regulations of the originating nation.

⁵ CP = Contributing Participant. See Definitions on page v of the prefatory material.

ANNEX M. SAMPLE PUBLICATION COVERS

Examples of three different covers are shown on the next pages. The first example would be for the first TTCP Document issued by Group CBD in 1999. The second and third would be for the first TTCP Technical Report and Limited Release Technical Report issued by Group CBD in 1999. See Section 5.9.2 to determine which caveat should appear on a particular document.



THE TECHNICAL COOPERATION PROGRAM

SUBCOMMITTEE ON NON-ATOMIC MILITARY RESEARCH AND DEVELOPMENT

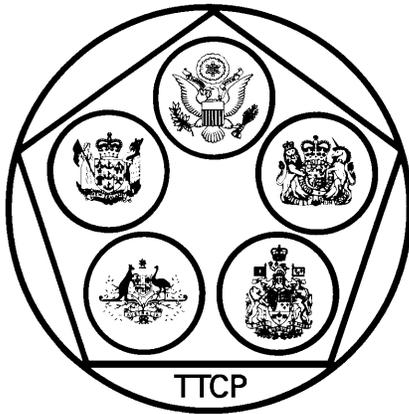
TTCP DOCUMENT

(Title of Document)

7. (Date)

DOC - CBD - 1 - 1999

This document contains Information which is provided in confidence to the Governments of Australia, Canada, New Zealand, the United Kingdom and the United States under The Technical Cooperation Program (TTCP) among these Governments. The Information contained herein may be used and disseminated for national Defense Purposes only within the recipient Governments and their national defense Contractors. The recipient Governments will ensure that any other use or disclosure of the Information is made only with the prior written consent of each of the above Governments.



THE TECHNICAL COOPERATION PROGRAM

SUBCOMMITTEE ON NON-ATOMIC MILITARY RESEARCH AND DEVELOPMENT

TTCP TECHNICAL REPORT

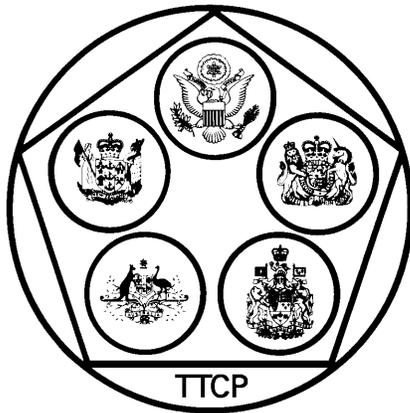
(Title of Technical Report)

8. (Date)

TR - CBD - 1 - 1999

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Canada, New Zealand and United Kingdom Eyes Only



THE TECHNICAL COOPERATION PROGRAM

SUBCOMMITTEE ON NON-ATOMIC MILITARY RESEARCH AND DEVELOPMENT

TTCP LIMITED RELEASE TECHNICAL REPORT

(Title of Document)

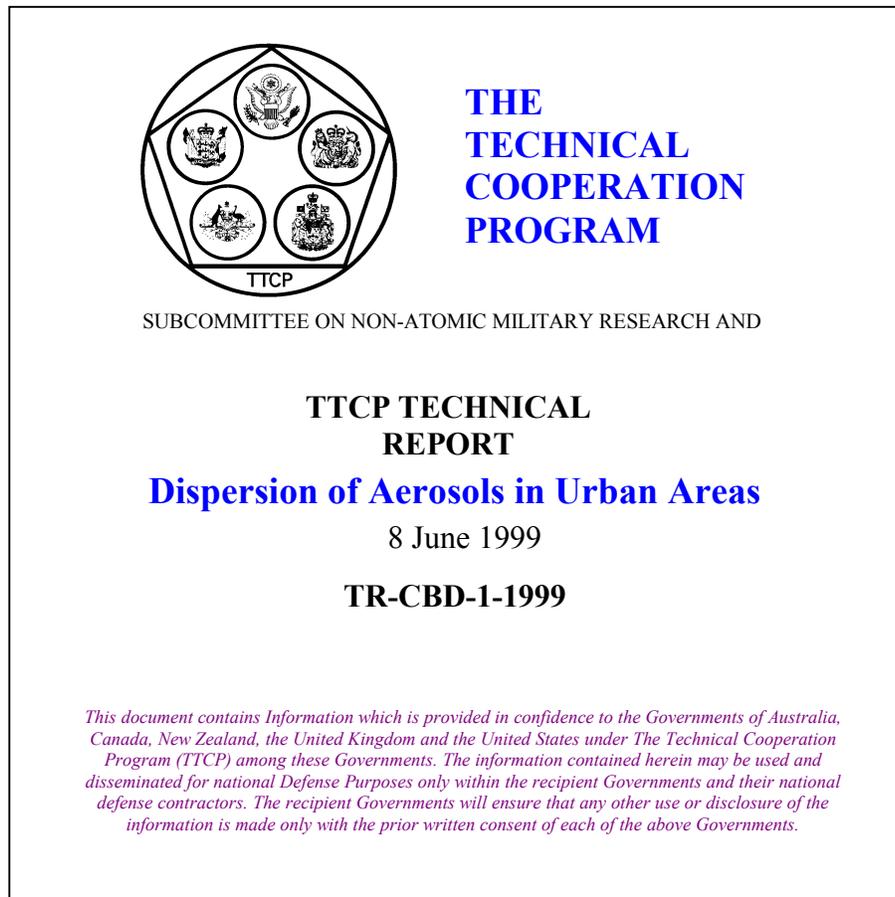
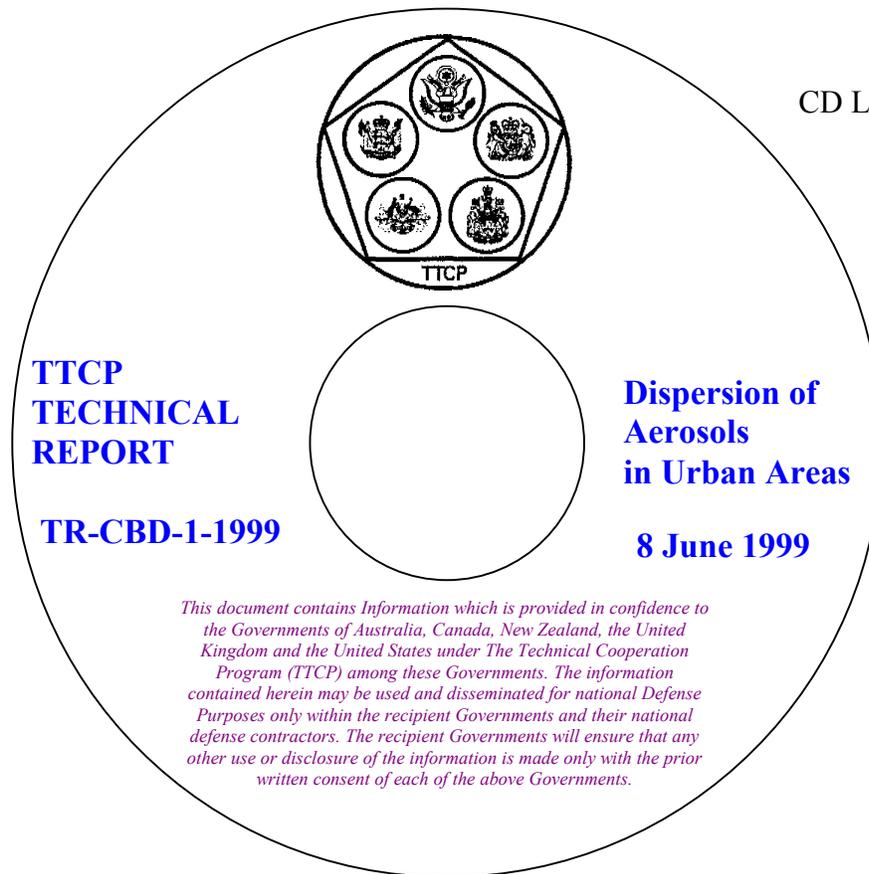
(Date)

[CANADA, NEW ZEALAND AND UNITED KINGDOM EYES ONLY]

LRTR - CBD - 1 - 1999

This report contains Information which is provided in confidence to the Governments of Canada, New Zealand and the United Kingdom under the auspices of The Technical Cooperation Program (TTCP). The Information contained herein may be used and disseminated for national Defense Purposes within the recipient Governments and their national defense Contractors. Any other use or disclosure of the Information requires the prior written consent of the Governments of Canada, New Zealand and the United Kingdom.

Canada, New Zealand and United Kingdom Eyes Only



ANNEX N. ROSTER APPOINTMENT ADVICE



TTCP ROSTER

TTCP APPOINTMENT ADVICE

(Version 1.3 12/00)

9. This form should be used to notify the TTCP Washington Secretariat of a staffing change to the TTCP Roster. Changes in personal contact details should be notified via the ‘TTCP Personal Particulars Change Advice’ form. The latest version of these forms can be obtained from the TTCP Website <http://www.dtic.mil/ttcp>

10. *Note: Changes to the TTCP Roster need to be authorised by the national authoriser for the position (normally the National Rep. for Level 3 appointments or the Principal for Level 1 & 2 appointments) and then sent to the Group Executive Chair.*

11. If the member has received a ‘letter of appointment’ from their national authoriser they should fax this form (with a copy of the letter) directly to the Group EC (info. AS Embassy).

12. Alternatively, the national authoriser can approve the appointment by signing this form.

13. Please check the following boxes as appropriate; [Use TAB key to move between fields]

14. This is a new appointment to the Roster and no deletions are necessary

15. This is a change of appointment for an existing Roster member. Current Appt. to be deleted is

16. Group:	17. Appointment:
------------	------------------

18. This is a replacement appointment. The person named in the deletion box should be removed from the TTCP appointment shown below.

19. The person named in the deletion box below should be removed from the roster completely.

20.

21. Roster Deletion	22. Last name:	23. First name:	24. Group:
----------------------------	----------------	-----------------	------------

This change form refers to the following TTCP position;

TTCP Appointment:	Group:	Panel/AG:	Nation:	Date of Effect (dd/mm/yy):
--------------------------	---------------	------------------	----------------	-----------------------------------

Comments (eg Navy member etc):

Please complete all details in this box for the new appointee:

Last Name:	Title/Rank:	Middle Initial:
First Name:	Email:	
Agency Name:		
Division/Branch/Code:		
Mailing Address:		

Agency Position:	
Phone #*:	2nd Phone # (eg DSN):
Facsimile #*:	

*Include area, but not country codes

Page 1 of 2

Additional Comments:

The following info. is optional but may assist in establishing your 'ENTRUST' document encryption capability

Computing Network POC:	POC	Email:
	POC Phone:	

Signature Block <i>(all script entries)</i>	Date (dd/mm/yy)
Member:	
Authoriser:	
Authoriser's name:	
Authoriser's Appointment:	

Executive Chair Signature:	Date (dd/mm/yy)
-----------------------------------	------------------------

TRANSMITTAL INSTRUCTIONS:

1. Member is requested to;
 - a. complete this form and either forward to authoriser for signature or attach appointment letter and forward direct to EC.
 - b. email or fax an information copy of this form to the Australian Embassy.
2. Authoriser (if required) is requested to sign this appt. advice form and fax to EC.
3. Exec. Chair is requested to sign this form and fax documentation to Australian Embassy for Roster action.

<p><u>Send This Form to;</u> Australian Embassy, Washington DC Attn: Conds EA, FAX: +1 (202) 797-1838 Email: condsea@usa.defence.gov.au Phone: +1 (202) 797-3352</p>	<p><u>For further information or comments on the TTCP Roster contact:</u> ttcp_as_secretariat@dtic.mil</p>
--	--

Consult your national secretary for up to date details of EC and group members.

Page 2 of 2



ANNEX O. PERSONAL PARTICULARS CHANGE ADVICE

TTCP ROSTER

25. PERSONAL PARTICULARS CHANGE ADVICE

(Version 1.3 12/00)

26. This form should be used to update your personal particulars as recorded in the TTCP Roster and can be sent directly to the address below. Changes in TTCP Appointments should be notified via 'TTCP Appointment Advice' form. The latest version of these forms can be found at the TTCP Website <http://www.dtic.mil/ttcp>

Please complete all details in this box. Use TAB key to move between fields.

Last Name:	Title/Rank:	Middle Initial:
First Name:	TTCP Group:	Panel/AG:
Email:	TTCP Appt¹:	
Today's Date (dd/mm/yy):	Country Represented:	

¹*If multiple TTCP Appointments are held, these can be listed in the comments box (if reqd.)*

Insert contact information to be updated in Roster as required.

Agency Name:	
Division/Branch/Code:	
Mailing Address:	
Agency Appointment:	
Phone #*:	2nd Phone # (eg DSN):
Facsimile #*:	

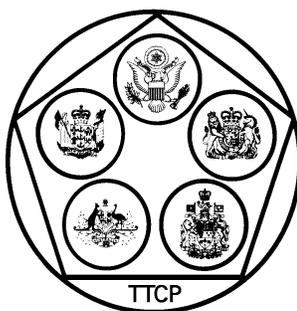
**Include area, but not country codes*

The following info. is optional but may assist in establishing your 'ENTRUST' document encryption capability

Computing Network POC:	POC	Email:
	POC Phone:	

Additional Comments:

<p>Send This Form to: Australian Embassy, Washington DC Attn: conds ea, FAX: +1 (202) 797-1838 Email: condsea@usa.defence.gov.au Phone: +1 (202) 797-3352</p>	<p>For further information or comments on the TTCP Roster contact: ttcp_as_secretariat@dtic.mil</p>
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**Further information may be obtained from
the Washington Secretariat:**

Australia

ttcp_as_secretariat@dtic.mil

Canada

ttcp_ca_secretariat@dtic.mil

New Zealand

ttcp_nz_secretariat@dtic.mil

United Kingdom

ttcpuk@moduk.org

United States of America

ttcp_us_secretariat@dtic.mil

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