

**SECURITY AND POLICY REVIEW OF DEPARTMENT OF DEFENSE
INFORMATION PRIOR TO PUBLIC RELEASE**

1. REFERENCES:

- a. DoD Directive 5230.09, "Clearance of DoD Information for Public Release," August 22, 2008.
- b. DoD Instruction 5230.29, "Security and Policy Review of DoD Information for Public Release," January 8, 2009.
- c. Under Secretary of Defense for Intelligence Memorandum, "Security and Policy Reviews of Articles, Manuscripts, Books and Other Media Prior to Public Release," April 26, 2011.
- d. DAU President Memorandum, "Clearance for Release of DAU Information," October 13, 2011.

2. PURPOSE: This Directive establishes Defense Acquisition University's (DAU's) policy and responsibilities regarding security and policy review of qualifying DoD information proposed for public release by DAU or its employees.

3. GENERAL INFORMATION:

- a. What is a security and policy review (pre-publication review)? A security and policy review, or pre-publication review, is the process by which information proposed for public release is examined to ensure compliance with established national and DoD policies, and to determine that it contains no classified, controlled unclassified, or export-controlled information. For materials authored by DAU employees, security and policy review is performed by the Office of Security Review (OSR) within Washington Headquarters Services.
- b. Why are these reviews necessary? The purpose of the security and policy review process is to ensure information damaging to the national security is not inadvertently leaked, and that information released publicly by DoD employees acting in their official capacity is congruent with established national and DoD policies.

4. APPLICABILITY AND SCOPE:

- a. Who is covered by this policy? In accordance with references a. and b. above, all current, former, and retired DoD employees and military service members (whether active or reserve) who have had access to DoD information or facilities, must submit qualifying materials containing DoD-related information for pre-publication review and clearance prior to public release.

b. What types of materials are covered by this policy? In general, pre-publication review may be required for any work that relates to military matters, national security issues, or subjects of significant concern to the Department of Defense in general. This can include such things as books, articles, or newspaper “op-ed” pieces dealing with substantive subjects related to national security or DoD issues, as well as spy novels or biographical accounts of operational deployments and wartime experiences. It includes all types of media by which such information can be conveyed, including digital copies and materials posted on websites. The specific criteria that trigger a requirement for pre-publication review are listed in paragraph 7.a. below. Materials about gardening, cooking, sports, crafts, hobbies, and the like do not need to undergo pre-publication review if there is no connection to the author’s current or former affiliation with the Department of Defense.

c. What about materials posted on Web sites? Information intended for placement on Web sites, or other publicly accessible computer servers, and which is available to anyone without access controls, requires review and clearance for public release if it meets the criteria in paragraph 7.a. below. Pre-publication review is not required for information to be placed on DoD Web sites or computer servers that restrict access to authorized users.

d. Must everything containing “DoD-related information” be submitted for pre-publication review? No. The specific criteria that trigger the requirement for pre-publication security review are listed in paragraph 7.a. below. DAU employees and supervisors should exercise good judgment about what materials legitimately require pre-publication review versus those for which such scrutiny is not required.

5. POLICY: It is DAU policy that all materials satisfying the criteria set forth in paragraph 7.a. below shall be submitted for pre-publication security and policy review prior to public release of such materials.

6. RESPONSIBILITIES:

a. DAU Employees: It is the individual responsibility of each DAU employee to submit materials that appear to satisfy the criteria set forth in paragraph 7.a. below for pre-publication review. This will be accomplished by preparing a review package in accordance with the instructions at paragraph 8.a., and then submitting that review package to the employee’s supervising Dean or Director for preliminary review. Materials created by a Dean or Director, or by any other senior DAU employee not subordinate to a DAU Dean or Director, will be submitted to the DAU Chief of Staff for preliminary review and releasability recommendation.

b. Deans and Directors: Upon receipt of a review package from an employee, the employee’s Dean or Director will promptly perform a preliminary review of that material. As a threshold matter, this preliminary review should confirm whether or not formal pre-publication review by OSR is required, based on the criteria in paragraph 7.a. below. If no further review is required, the package will be returned to the employee for publication or release. If formal review is required, the Dean or Director will complete the other preliminary review tasks

detailed in paragraph 8.b. and forward the entire package to the DAU Public Affairs/Protocol Office. (See paragraph 8.b. for additional information.)

c. DAU Public Affairs/Protocol Office:

(1) The DAU Public Affairs/Protocol Office will review security review packages received from Deans/Directors to determine whether any require the DAU President's approval prior to public release under the provisions of Reference D (attached). If such approval is required, the DAU Public Affairs/Protocol Office will submit the package to the DAU President for prior approval. If disapproved, the packages will be returned to the submitting Dean/Director for return to the employee with no further action. If approved, the package will then be processed as shown in paragraph c.(2) below.

(2) The DAU Public Affairs/Protocol Office will prepare a transmittal letter and forward qualifying packages, including those requiring prior approval by the DAU President, via e-mail to Washington Headquarters Services' Office of Security Review. The Public Affairs/Protocol Office shall serve as the direct point of contact for dealing with OSR in connection with all security review matters, and will be the office at DAU that receives OSR's clearance responses.

(3) The DAU Public Affairs/Protocol Office will maintain a file of all security-review packages submitted, including a record of OSR's clearance determinations.

d. General Counsel: The DAU General Counsel will provide advice to DAU employees, Deans, and Directors as necessary to help them judge which materials should be submitted for formal pre-publication review. The relevant Dean or Director (or the DAU Chief of Staff, in cases of materials authored by a Dean, Director, or other senior DAU official) shall be the final authority with respect to whether or not a particular set of materials requires formal pre-publication review.

7. REVIEW CRITERIA:

a. Materials requiring pre-publication review. Official DoD information that is prepared by or for DoD personnel and is proposed for public release shall be submitted for review and clearance if the information:

(1) Originates or is proposed for release in the National Capital Region by senior personnel (e.g., flag officers and Senior Executive Service) on sensitive political or military topics;

(2) Is or has the potential to become an item of national or international interest;

(3) Affects national security policy, foreign relations, or ongoing negotiations;

(4) Concerns a subject of potential controversy among the DoD Components or with other Federal agencies;

(5) Is presented by a DoD employee who, by virtue of rank, position, or expertise, would be considered an official DoD spokesperson;

(6) Contains technical data that may be militarily critical and subject to limited distribution, but on which a distribution determination has not been made; or

(7) Addresses any of the following subjects, or affects operations security pertaining to such subjects:

(a) New weapons or weapons systems, significant modifications or improvements to existing weapons or weapons systems, or the capabilities and vulnerabilities of any weapon, weapons system, equipment item, combat technique or tactical procedure, or military unit;

(b) Military operations and significant exercises of national or international significance;

(c) Command, control, communications, computers, and intelligence; information operations; weapons of mass destruction; improvised explosive devices; and computer security;

(d) Military activities or applications in space; nuclear weapons, including nuclear weapons effects research; chemical warfare and defensive biological warfare; initial fixed weapons basing; and arms control treaty implementation;

(e) Any other contemporary topic likely to provoke controversy about the leadership, policies, or practices of the United States Government, the Department of Defense, the military services, or Defense Acquisition University.

b. Exemption for internal academic papers. To ensure a climate of academic freedom and to encourage intellectual expression, DoD policy (see Reference a. at p. 2) specifies that students and faculty members of an academy, college, university, or DoD school are not required to submit papers or materials prepared in response to academic requirements for review if they are not intended for release outside the academic institution. However, any such materials that are subsequently intended for public release, or which will be stored in a library or digital database to which the public has access, must be submitted for security and policy review if they contain information satisfying the criteria set forth in paragraph 7.a. above.

c. “Private Capacity” Materials. DAU employees and military service members, while acting in a private capacity and not in connection with their official duties, have the right to prepare information for public release through non-DoD forums or media. This information must nevertheless be reviewed for clearance if it meets the criteria in paragraph 7.a. above.

e. Former civilian employees and military members. All current and former DoD employees and service members have a lifelong obligation to protect classified information and controlled unclassified information, and to follow established procedures to obtain security reviews of articles, books, and other media prior to public release. Classified information, even when it appears in the public domain, remains classified until it is declassified by an appropriate

U.S. Government authority. Former DAU employees and military members contemplating public release of any work that appears to satisfy the criteria of paragraph 7.a. above should contact the Office of Security Review directly at (703) 696-4671 or secrev1@whs.mil to arrange for pre-release security review.

8. SUBMISSION PROCEDURES:

a. Format. DAU employees and military service members will submit requests for security review in digital format (no paper submissions). Digital submissions shall include one copy (Microsoft Word) of the material to be reviewed in its final form, together with a completed DD Form 1910, "Clearance Request for Public Release of Department of Defense Information," (<http://www.dtic.mil/whs/directives/infomgt/forms/eforms/dd1910.pdf>) signed by the author.

b. Submission steps. As explained above, DAU employees and military members will first e-mail the material to be reviewed, together with a signed DD Form 1910, to their appropriate Dean or Director for preliminary review. The Dean or Director will review the material to ensure that a formal security and policy review is actually required. If so, the Dean or Director will ensure that the submitted material reflects DAU policy; does not contain classified, Privacy Act, or other non-public information; and conforms with any relevant operations security guidelines. The Dean or Director will e-mail the package (material to be reviewed, author's DD 1910) to the DAU Public Affairs/Protocol Office for review and transmission. After final review (and, if necessary, clearance by DAU President), the DAU Public Affairs/Protocol Office will prepare a transmittal letter (Attachment A) indicating that the material has been reviewed internally within DAU and giving DAU's recommendation with respect to the releasability of the material. It will then e-mail the entire package (material to be reviewed, author's signed DD Form 1910, and DAU transmittal letter) to Washington Headquarters Services' Office of Security Review (OSR) at the following e-mail address: secrev1@whs.mil.

c. Full text required. Only the full and final text of material proposed for release shall be submitted for review. Notes, outlines, briefing charts, etc. may not be submitted as a substitute for a complete text. If briefing charts or slides are intended to be used to supplement a speech or similar presentation, those charts or slides should accompany the presentation text.

d. Disclaimer required for academic works. Academic papers authored by DAU faculty or students which are submitted to OSR for review should include the following disclaimer statement on the cover page:

"The views expressed are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government."

e. Time guidelines (OSR). The time guidelines given below are the minimum processing times established by OSR. Additional processing time may be required for lengthy, complex, controversial, or technical works, or for those that require coordination and clearance by other DoD or Government agencies (e.g. CIA or Department of Homeland Security). DAU employees, as well as Deans and Directors, should act accordingly to ensure that materials requiring pre-publication review are submitted to OSR in a timely fashion.

(1) Speeches and briefings should be submitted to OSR at least five working days before the event at which they are to be presented.

(2) Other general materials (e.g. papers and articles) should be submitted to OSR at least ten working days before the date needed.

(3) Technical papers should be submitted to OSR at least fifteen working days before the date needed.

(4) Books and book-length manuscripts should be submitted to OSR at least thirty working days before the date needed.

(5) Statements and other materials intended to be submitted by the Department of Defense to Congress shall be provided to OSR no later than five days before submission to the DoD Office of Legislative Counsel.

f. OSR clearance determinations. After reviewing submitted materials, OSR will make one of the following determinations:

(1) Cleared for Public Release. The information may be released without restriction by the originating author, official, agency, or component. OSR may require a disclaimer to accompany the information as follows:

“The views expressed are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government.”

(2) Cleared “with Recommendations” for Public Release. The material is cleared for public release without restriction, although OSR has recommended optional corrections, deletions, additions. Although OSR has no responsibility for correcting errors of fact or for making editorial changes, obvious errors may be identified in the text and noted as “recommended.” These corrections are not binding on the author or submitter.

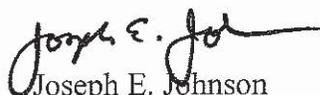
(3) Cleared “as Amended” for Public Release. Amendments, made in red, are binding on the submitter. Red brackets identify information that must be deleted. If the amendments are not adopted then the DoD clearance is void. When possible, alternative wording is provided to substitute for the deleted material. Occasionally, wording will be included that shall be added to the text before public release. A disclaimer, as shown above, may also be required.

(4) Not Cleared for Public Release. The information submitted for review may not be released to the public.

g. Appeals. All amendments or “not cleared” determinations may be appealed through OSR to the DoD Director of Administration and Management.

h. Copyright and ethics clearance not included. DAU employees should note that DAU's and OSR's pre-publication review assesses releasability only from a security and policy standpoint. Responsibility for assuring that materials intended for public release comply with relevant copyright, trademark, ethics, and any other applicable restrictions is entirely the purview of the author/submitter.

9. **FURTHER INFORMATION:** Individuals having questions about this policy, or about the applicability of this policy and its procedures to any particular set of circumstances, should contact the DAU General Counsel.


Joseph E. Johnson
Chief of Staff

Attachments:

- A. Sample Transmittal Letter
- B. DAU President Memorandum, "Clearance for Release of DAU Information," June 10, 2011.

SAMPLE TRANSMITTAL LETTER

Director, Office of Security Review
Washington Headquarters Service
(Via e-mail)

[Date]

Dear Sir or Madam:

On behalf of the President of Defense Acquisition University (DAU), I am forwarding the attached material for pre-publication security and policy review in accordance with the provisions of DoD Directive 5230.09, "Clearance of DoD Information for Public Release," August 22, 2008, and DoD Instruction 5230.29, "Security and Policy Review of DoD Information for Public Release," January 8, 2009. These materials have been reviewed internally and DAU recommends that they be cleared for public release without restriction.

Please provide OSR's clearance determination either via e-mail reply directly to me. If you have any questions or comments about this action, please feel free to contact me at 703-805-5134.

Sincerely,

[Name]
DAU Public Affairs Officer

Attachment A



DEPARTMENT OF DEFENSE

DEFENSE ACQUISITION UNIVERSITY
OFFICE OF THE PRESIDENT
9820 BELVOIR ROAD
FORT BELVOIR, VA 22060-5565

FEB 7 2014

MEMORANDUM FOR ALL DEFENSE ACQUISITION UNIVERSITY PERSONNEL

SUBJECT: Clearance for Release of Defense Acquisition University Information

Everyone at the Defense Acquisition University (DAU) has a role in delivering clear, compelling, timely, and consistent messages that fully support the DAU mission, vision, and strategic goals.

Our key audiences include our stakeholders, the Defense Acquisition Workforce, acquisition organizations, defense and commercial industry, strategic partners, media, conference participants, benchmarking organizations, and DAU faculty, staff, and contractors. To ensure consistent messages are being delivered to these various audiences, it is policy that DAU information must be cleared for release. The level of approval required differs depending on the type of information being released.

Office of the President approval: Release of the following requires the approval of the Office of the President:

- Congressional inquiry responses. In addition, dean and directors should ensure that the Office of the President is notified of any interfaces with congressional staff
- GAO/DoD IG responses
- Responses to AT&L inquiries from USD(AT&L), PDUSD(AT&L), and ASD(A)
- Speaker invitations to USD(AT&L), PDUSD(AT&L), and ASD(A)
- Opinion articles for publication using your government title
- Freedom of Information requests: through Human Resources
- Budget submissions/reclamas through Performance and Resource Management
- Conference briefings on emerging DAU concepts though Planning, Policy, and Leadership Support Communications Office
- At the discretion of deans and directors, any documents that they believe the Office of the President should review

Dean/Director Approval: Release of the following requires the approval of the dean or director:

- Briefings and classes on DAU training products and services
- Briefings on the acquisition system and policies
- Standard DAU command and classroom briefings (www.dau.mil/aboutdau)

Public Affairs Office Approval: Release of the following requires the approval of the DAU Public Affairs Office:

- Press interviews
- Media inquiries

Effective communication via clean, compelling, timely, and consistent messages is a critical component of DAU's success and a key enabler of the Defense Acquisition Workforce achieving the right acquisition outcomes.



James P. Woolsey
President