

# Department of Defense INSTRUCTION

NUMBER 5405.3 April 5, 1991

ASD(PA)

SUBJECT: Development of Proposed Public Affairs Guidance (PPAG)

References: (a) <u>DoD Directive 5122.5</u>, "Assistant Secretary of Defense (Public Affairs)," August 4, 1988

- (b) DoD Directive C-5030.44, "Military Operations in or Near Politically Sensitive Areas (U)," June 29, 1973
- (c) DoD Directive C-5030.43, "Significant Military Exercises (U)," March 26, 1970
- (d) DoD 5200.1-R, "Information Security Program Regulation," June 1986, authorized by <u>DoD Directive 5200.1</u>, June 7, 1982

# 1. PURPOSE

This Instruction:

- 1.1. Establishes policy, assigns responsibilities, and prescribes procedures for development of PPAG under reference (a).
- 1.2. Establishes standards, format, and content for development of PPAG requests under reference (a).

# 2. APPLICABILITY

This Instruction applies to the Office of the Secretary of Defense (OSD); the Military Departments; the Chairman, Joint Chiefs of Staff and the Joint Staff; the Unified and Specified Commands; and the Defense Agencies (hereafter referred to collectively as "DoD Components").

#### 3. POLICY

It is DoD policy that PPAG shall be provided to the Assistant Secretary of Defense (Public Affairs) (ASD(PA)) by the Unified and Specified Commands and others, as required, for all Part I and Part II military training exercises, training activities occurring in areas classified as military-sensitive in accordance with reference (b) and other smaller but sensitive exercises and events that could attract national and/or international media attention. PPAG shall not be used without ASD(PA) approval.

#### 4. RESPONSIBILITIES

- 4.1. The Commanders of the Unified and Specified Commands shall:
- 4.1.1. Ensure that the PPAG is cleared and approved by the appropriate organizations within the exercise and/or training commandos theater of operation; e.g., embassies, country team, participating subordinate and/or supporting commands, host governments, etc., before submission to the ASD(PA).
- 4.1.2. Include all coordinating agencies in the theater on the PPAG message as information addressees when PPAG is developed by a supporting Commander in Chief (CINC) from outside the supported CINC's area of responsibility (AOR) and there is insufficient lead time to permit advance theater coordination. The action addressees shall be the appropriate supported CINC and/or Public Affairs Officer (PAO) and the ASD(PA). The supported CINC and/or PAO shall ensure that theater coordination occurs and shall provide consolidated comments to the ASD(PA) for inter-Agency coordination.
- 4.2. The <u>Assistant Secretary of Defense (Public Affairs)</u>: (ASD(PA)) shall staff the proposed PPAG in Washington, DC, with appropriate DoD organizations; the Chairman, Joint Chiefs of Staff (CJCS); the Department of State (DoS); participating Armed Services; and other Executive Agencies as deemed appropriate. The ASD(PA) shall then issue a message either approving, modifying and approving, or disapproving the PPAG. (See enclosure E3.)

#### 5. PROCEDURES

5.1. The Significant Military Exercise Brief (SMEB) and Public Affairs Guidance

# <u>(PAG)</u>:

- 5.1.1. In accordance with subsection IV.B. of DoD Directive C-5030.43 (reference (c)), the ASD(PA) is responsible for providing input to the Under Secretary of Defense for Policy (USD(P)) at certain times before significant military exercises about public affairs (PA) aspects of those exercises.
- 5.1.2. To enable the ASD(PA) to provide effective input as required, appropriate use of the PA portion of the SMEB by sponsoring commands is necessary.
- 5.1.3. Normally, the PA section of the SMEB is under paragraph 1b of enclosure El. SMEBs are operational documents and, as such, are not the appropriate vehicles for proposing comprehensive PAG. Since SMEBs normally are provided well in advance of an exercise, they shall contain only PA policy and objectives. (For information on PA input to SMEB, see enclosure E1.)

#### 5.2. Submission of PPAG

PPAG requiring ASD(PA) approval should be submitted as far in advance as possible or practical. Exercise PAG should be submitted in accordance with, but not part of, the SMEB, preferably a minimum of 30 days before the exercise will start or before the PAG will be needed, whichever is sooner. For exercises involving foreign countries and/or movements of large numbers of personnel or equipment, the deadline for the PPAG shall be earlier than the 30 days required for routine exercises. At a minimum, since the ASD(PA) is required to notify the USD(P) not later than 10 days before the critical cancellation date (CCD) of PA aspects of the exercise, final approval of PPAG must be completed by that time. In addition to SMEB and Exercise PPAG, PPAG for deployments to a theater command's AOR should be submitted by the supporting command to the theater command's PA directorate with information addressees including the ASD(PA), affected component commands, and embassies a minimum of 50 days before the deployment. Optimal timeliness for development, submission and approval of PPAG are shown at enclosure E4.

#### 5.3. Exercise Announcements Dates

#### 5.3.1. General

Exercises normally shall not be announced until the National Security Council (NSC) has approved the exercise and the CCD has passed. That date can be obtained from the SMEB or from the CJCS. Exercises are subject to cancellation by any of the

participating governments before the CCD. Premature announcement could cause embarrassment if the exercise were later canceled. However, it may be necessary, on occasion, to announce an exercise before the CCD, because of sensitivities of other nations that are involved or to prevent speculation that the pre-exercise build-up is for "real world" contingency plans. To announce an exercise before its CCD, NSC approval must be obtained for a full pre-announcement or contingency statement and must be coordinated by the ASD(PA) with the USD(P).

## 5.3.2. Reserve Components

Reserve components' members scheduled to participate in exercises frequently require months of notification time to maintain necessary support from civilian employees. Accordingly, Reserve components authorities may inform families and employees of "anticipated dates of absence for military training purposes" as soon as the facts are known. Likewise, for National Guard deployments for training (DFT) of small units, sub-units or cells (normally from five to 60 people), state public affairs officers (PAOs) may release information on a subordinate unit's DFT in coordination with their Adjutant General and the National Guard Bureau Public Affairs Office (NGB-PA).

5.4. <u>PPAG Message Contents</u>. The format for PPAG messages and associated rationale follows:

## 5.4.1. Classification

#### 5.4.1.1. Initial Classification

PPAG should normally be classified according to the classification of the material from which the PPAG was derived and the sensitivity of the PAG itself. Section 5 to Chapter I of DoD 5200.1-R (reference (d)) provides examples of classified information. This guidance is appropriate to PPAG because it is normally staffed before an exercise receives final approval. Therefore, exercise information should remain classified until the exercise is approved and the CCD has passed to avoid embarrassment and/or misunderstandings between the United States and other governments.

# 5.4.1.2. <u>Subsequent Classification</u>

Normally, PPAG will be declassified upon approval by the ASD(PA), if the guidance is for immediate use. If not, the originator should specify a date for declassification. Declassification instructions should be specified in the last paragraph of the message.

See Paragraph 5.4.13. below of this Instruction for additional guidance.

# 5.4.2. Message Addressees

A PPAG message shall have as a minimum the following addressees:

FROM: (SPONSORING COMMAND)

TO: SECDEF WASHINGTON DC//ASD(PA):DPL//

INFO: SECSTATE WASHINGTON DC//PA-P//

SECDEF WASHINGTON DC//USD(P)//

SECDEF WASHINGTON DC//ASD-RA (if Reserve or National Guard are participants)

PERTINENT EMBASSIES

CJCS WASHINGTON DC//PA//

AFFECTED THEATER COMMANDS PA DIRECTORATES

COMPONENT COMMANDS PA DIRECTORATES

PAO OF PARTICIPATING ARMED SERVICE(S)

#### 5.4.3. Subject

The subject line of the PPAG should state "PROPOSED PUBLIC AFFAIRS GUIDANCE - followed by the exercise and/or event name (U)." For coordination, it is best if the subject is unclassified. If an exercise or event is so sensitive that the actual name cannot be used, an unclassified short title should be used; e.g., "PROPOSED PUBLIC AFFAIRS GUIDANCE - CC-(U)."

#### 5.4.4. References

Pertinent messages or other documents shall be cited in the reference section. If the PPAG is based on PA policy in the SMEB, then the SMEB message Date-Time-Group (DTG) shall be listed.

#### 5.4.5. Exercise Information

The first paragraph of the PPAG shall explain the references, the exercise, and any significant existing or anticipated problems associated with the exercise. The information in this paragraph is not for release so may remain classified after the PAG is approved for release. This paragraph may restate some PA information from the SMEB.

#### 5.4.6. Coordination Information

5.4.6.1. The second paragraph shall explain the purpose of the message; identify it as being fully coordinated and theater-approved; request ASD(PA) approval and specify the date it is required for use. If the PAG is transmitted to the ASD(PA) before it is fully coordinated, it is the responsibility of the submitting command to ensure that the ASD(PA) is promptly informed of the results of the remaining coordination. The submitting command should always follow-up a PPAG message with a phone call to ensure that the primary addressee(s) is aware that the message is en route.

5.4.6.2. When the submitting command is a supporting CINC from outside the supported CINC's AOR, the supported CINC is responsible for theater coordination.

# 5.4.7. PA Approach

The third paragraph shall discuss the public affairs approach for the exercise; i.e., active or passive. This may be a restatement of the PA policy indicated in the SMEB.

# 5.4.7.1. Active Approach

For this discussion, an "active approach" involves efforts made to stimulate public or press interest such as distributing press releases and inviting the press to observe the exercise. If an exercise or event is to be publicly announced, this paragraph shall state who will make the announcement, the method of announcement, and preferred time, and date for the announcement. If unusual circumstances prevail, the rationale for the recommendation should also be included. Part I and II exercises shall normally be announced by the ASD(PA) by issuing a news release (blue top). Other lesser exercises or training deployments, if announced by the ASD(PA), normally shall be made by release of a memorandum for correspondents (MFC). The preferred release

time and/or date of exercise announcements is 1200 Eastern Standard Time (E.S.T.) on either Tuesdays or Thursdays in conjunction with the normally scheduled DoD press briefing. If a combined announcement is desired with a host country, complete details of the methods, time, and procedure shall be included in this paragraph. The active approach is recommended whenever possible to ensure appropriate media coverage of specific commands and/or units.

# 5.4.7.2. Passive Approach

A "passive approach" is where no action is taken to generate media and/or public interest in an issue or activity beyond answering specific inquiries. If a passive approach is desired, the PPAG shall so indicate and specify that the PAG is for response to query (RTQ) only. It shall also specify who is authorized to respond; e.g., "Only OASD(PA) may RTQ," or "All of the following addressees may use this PAG for RTQ only." To de-emphasize an event, it is best to authorize release or RTQ at the lowest possible level.

#### 5.4.8. Public Satement

The fourth paragraph shall contain a statement that explains the exercise and/or event. The statement shall be for public release in an active PA approach or for RTQ in a passive PA approach. For ease of coordination, each paragraph of the statement shall be identified as a sub-paragraph of the message; for example: The following statement is for initial public release: (TEXT FOLLOWS): QUOTE.

- 5.4.8.1. EXERCISE (NAME).....
- 5.4.8.2. THE EXERCISE WILL.....
- 5.4.8.3. PREVIOUS MILITARY.....
- 5.4.8.4. FOR ADDITIONAL INFORMATION, CONTACT.....(UNQUOTE).

As indicated above, the last paragraph of the statement shall identify points of contact where additional information may be obtained.

# 5.4.9. Questions and Answers (Q&As)

The fifth paragraph shall contain a list of proposed Q&As to enable the user to respond

to the majority of anticipated questions. They should all be contained in one paragraph and should be numbered sequentially; e.g., Q1, A1; Q2, A2; Q3, A3, etc. Q&As are for use in both active and passive PA approaches, but are strictly for RTQ only and shall not be given to media as handouts.

# 5.4.10. Contingency Statement

The sixth paragraph of the PPAG shall contain a contingency statement to be used before release of the final PAG. Usually, the contingency statement should be that we don't discuss exercises before they have been formally announced. However, this approach can be modified, as appropriate, depending on the circumstances of the exercise. If a contingency statement is not required, so state in Paragraph 6 of the PAG.

#### 5.4.11. Miscellaneous Information

The seventh paragraph shall contain other pertinent information to include the following items (when a certain sub-paragraph is not applicable, so state):

5.4.11.1. <u>Media Information Centers</u> (e.g., Joint Information Bureaus (JIBs), Press Information Centers (PICs), exercise PA elements, etc.)

Discuss whether centers are joint or combined; delineate who is responsible for the establishment; give generic description of its composition (e.g., U.S. Army desk (O-4 and E-6/E-7), U.S. Navy/Marine desk (USN O-4/O-5, and USMC E-5/ E-6), etc.); establish the center's functions (coordination of all exercise media and/or PA activities, clearance of U.S. military-generated news material before release, production of news material for release, escort of accredited news media representatives); etc.

# 5.4.11.2. Command Relationships

Designation of sole approving authority for all exercise-related news materials; procedures for the release and/or clearance of information (to include list of addressees for notification in case of accident and/or incident); request for participating commands and/or units to ensure that the media center is action and/or information addressee on all messages with potential PA impact (to include incident and/or accident reports); hometown news release requirements and/or instructions (passive PA approach may make hometown releases inappropriate); etc.

# 5.4.11.3. Media Coverage

State whether media coverage is encouraged or solicited, giving rationale; news media transportation instructions; point of contact (POC) and procedures for handling such requests; requirements for news media representatives (valid passport, working media visa, local accreditation requirements, funds for food, lodging, return travel (if military air is not available), etc.); instructions regarding assistance to continental United States (CONUS)-based units for handling request from news media for accompanying travel before and following public announcement of the exercise; etc.

#### 5.4.11.4. DoD National Media Pool

Each exercise is a potential opportunity for activation and deployment of the DoD National Media Pool to cover exercise activities. As a minimum, planning should include arrangements for local ground and/or air transportation, special clothing or equipment to be provided, messing, billeting, protection of media equipment and gear, local escort requirements, and communications support for filing of pool products. Sponsoring commands shall indicate whether the exercise should be considered for a pool deployment. Identify the primary POC should the pool be activated.

# 5.4.11.5. Internal Media and Audiovisual Coverage

Provide instructions on assistance that will be provided to this effort; degree of freedom of movement (to include whether escorts are necessary); screening of visual information (VI) materials upon completion of exercise; sponsoring command POC for handling internal information matters; etc. Also include guidelines for Armed Forces audiovisual teams documenting the exercise.

#### 5.4.11.6. Media Opportunities

If known well enough in advance, provide chronology of potential exercise events that would be of interest to media.

#### 5.4.11.7. Miscellaneous PA Considerations

Indicate any other proposed PA activities or considerations; if there are none, then so state.

#### 5.4.12. Points of Contact

The eighth paragraph shall state the originating POC's name and phone number.

#### 5.4.13. Declassification Instructions

Declassification instructions shall be the last part of the message and in accordance with subsection 4-207 of DoD 5200.1-R (reference (d)).

## 5.4.14. Sample Message

See enclosure E2.

# 5.4.15. ASD(PA) Staffing Procedures

Proposed PAG will normally be assigned to the Directorate for Plans (DPL) for staffing as follows:

# 5.4.15.1. Action Officer Review

The plans action officer for the command and/or area involved shall review the message to ensure that it is complete and complies with this Instruction,

#### 5.4.15.2. Dissemination for Comment

The action officer shall determine which organizations and/or agencies need to review the PPAG, determine an appropriate suspense date for return comments, and prepare a memorandum to the appropriate addressees requesting their review and comments. That memorandum shall be signed by the Director for Plans, and normally will be hand-carried or telecopied to all addressees.

# 5.4.15.3. <u>Coordination of Responses</u>

The coordinating agencies action officers routinely respond telephonically to PPAG staffing requests. Response comments are reviewed for incorporation into the PAG. If comments significantly alter the PPAG, the DPL action officer shall try to resolve any disagreements. If unable, the disagreement shall be elevated to the Director, Directorate for Plans, for resolution or guidance.

#### 5.4.15.4. ASD(PA) Approval

When the PPAG has been fully staffed, the plans action officer shall prepare an outgoing message, with a cover memorandum, to be sent through the Director for Plans

to the ASD(PA) for final approval. The Directorate for Management shall forward the message to the message center for transmission once it has been approved.

# 5.4.15.5. Approval Message Example

See enclosure E3.

# 6. EFFECTIVE DATE AND IMPLEMENTATION

This Instruction is effective immediately. Forward two copies of implementing documents to the Assistant Secretary of Defense (Public Affairs) within 180 days.

Pete Williams

Assistant Secretary of Defense

Melia

(Person Adams)

#### Enclosures - 4

- 1. Sample Public Affairs Entry to SMEB
- 2. Sample PPAG Message Format
- 3. Sample ASD(PA) PAG Approval Message
- 4. Timeliness for Development, Submission and Approval of PPAG

# E1. <u>ENCLOSURE 1</u> SAMPLE PUBLIC AFFAIRS ENTRY TO SMEB

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# 16. (C) Recommended Public Affairs Policy

- a. Recommend active public affairs approach. Preparations for the exercise are underway with full cooperation of the government(s) of (Host Country(ies)). However, the opposition party is expected to conduct a campaign condemning government participation. Therefore, an active public affairs approach is deemed appropriate to counter anticipated disinformation efforts.
- b. (Sponsoring commands) shall provide contingency statement and Q&A to the country team for coordination with the host nation approx. (number) days before (STARTEX). Following host-nation comments and/or concurrence, proposed PAG shall be forwarded to the ASD(PA) for approval.
  - c. Public affairs objectives:
    - (1) Emphasize that the exercise is a routine, regularly scheduled exercise.
- (2) Emphasize that training is a demonstration of U.S. commitment to the defense of (Country(ies)) against external aggression.
- (3) Demonstrate combat readiness of (country) and U.S. supporting forces through a combined exercise.
  - (4) Focus on host-nation(s) and/or U.S. interoperability.

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12 ENCLOSURE 1

# E2. ENCLOSURE 2

# SAMPLE PPAG MESSAGE FORMAT

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# E3. ENCLOSURE 3

# SAMPLE ASD(PA) PAG Approval MESSAGE

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E4. <u>ENCLOSURE 4</u>
Timeliness for Development, Submission and Approval of PPAG

