

Responsible Office: Code IY/Earth Science Division
Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns



Office External Relations

Office Work Instruction

Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

Approved by: _____
John D. Schumacher
Associate Administrator for
External Relations

Responsible Office: Code IY/Earth Science Division
Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

DOCUMENT HISTORY LOG

<u>Status (Baseline/ Revision/ Canceled)</u>	<u>Document Revision</u>	<u>Effective Date</u>	<u>Description</u>
Baseline		01/11/00	.
Revision	A	4/26/00	Revisions reflect minor editorial changes to Sections 5, 6 and 7 to ensure clarity and consistency of procedure resulting from review of HQOWIs to address Pre-Assessment Audit of Feb 2000. In response to NCR 365, revisions made to references to quality records in Sections 5, 6 and 7 to ensure clarity and consistency.

Responsible Office: Code IY/Earth Science Division
Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

1. Purpose

The purpose of this process is to define the steps to be followed in the Office of External Relations (Code I), to obtain Diplomatic Clearances for NASA Research Aircraft and Scientific Balloon Campaigns overseas.

2. Scope and Applicability

- 2.1 This OWI applies for all NASA research aircraft used for flights that involve basing, transits, and refueling/rest stops overseas. This OWI applies to deployments that include one or multiple overseas destinations.
- 2.2 This OWI covers the process used for notification to foreign countries of scientific balloon campaigns and how to determine when an actual clearance is necessary to launch balloons.
- 2.3 This OWI is performed in Code IY, Earth Science Division.

3. Definitions

- 3.1 AO Action Officer - Code IY employee responsible for obtaining diplomatic clearance for NASA aircraft and balloon launches.
- 3.2 AMM Aircraft Mission Manager – Individual located at center for aircraft who requests clearances for research mission.
- 3.3 AmEmb American Embassy
- 3.4 BC Balloon Campaign
- 3.5 BCM Balloon Campaign Manager – Individual located at a NASA Center who is responsible for providing AO with information in order to request clearance for a Balloon Launch.
- 3.6 CDO Country Desk Officer – Individual responsible for all activities within a specified country. Individual can be located at Department of State or NASA Headquarters.
- 3.7 DAC Diplomatic Aircraft Clearance – Clearance for aircraft to perform research and/or transits in a foreign country. The request for and granting of clearance is in the form of Diplomatic Notes exchanged between the AmEmb the Host Government.
- 3.8 DOS Department of State

Responsible Office: Code IY/Earth Science Division
Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

- 3.9 Mission file Official file for DAC and BC. Upon completion this file will include:
- Request for DAC or BC from AMM or BCM
 - Copy of cable or Transport Canada memo requesting clearance
 - Official comeback copy of cable sent to AmEmb
 - Approval(s)/Denial(s) of DAC or BC

Upon completion this file could also include:

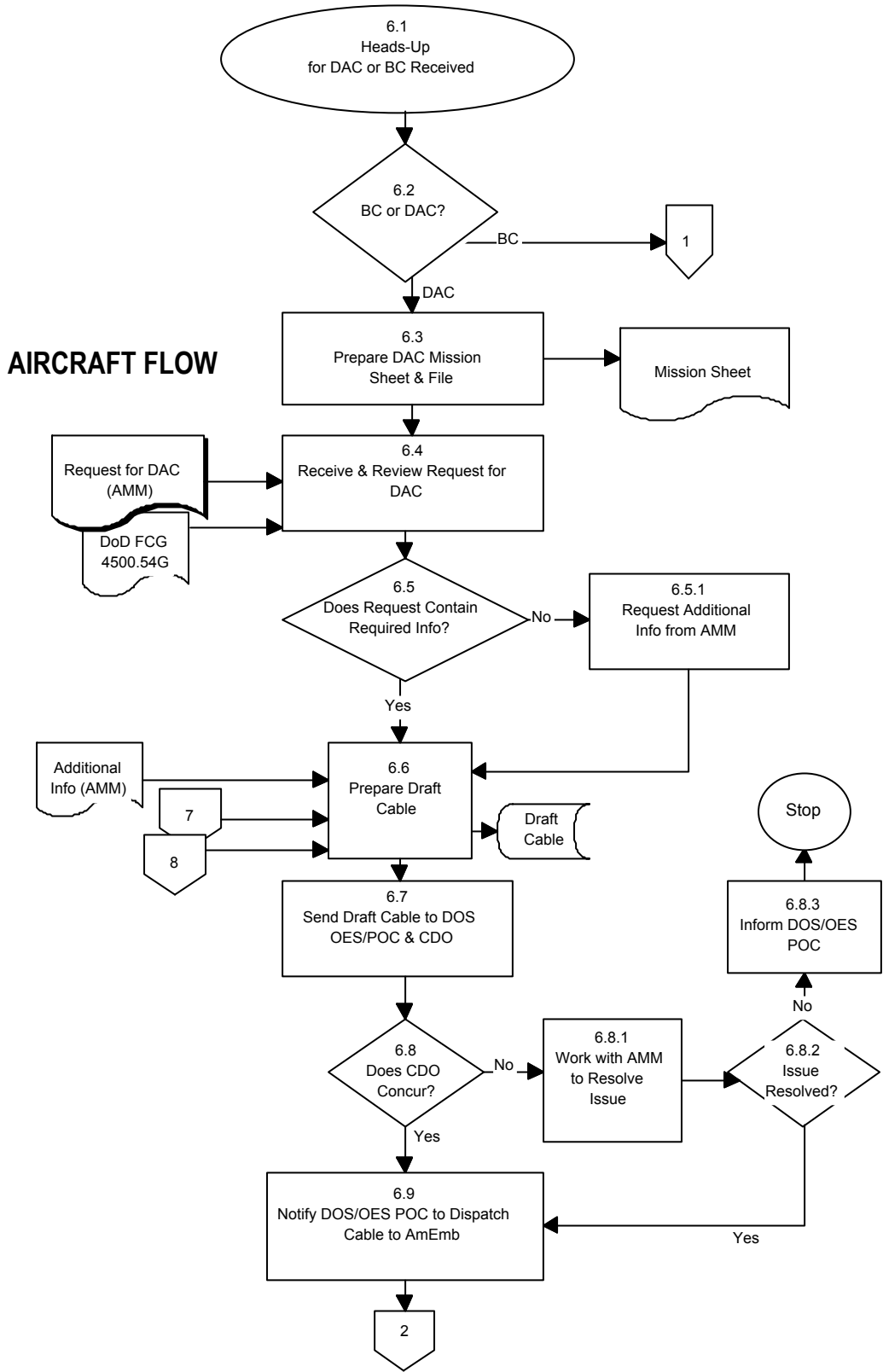
- POC information
 - Faxes between AO and AmEmb POC
 - Reclama cable, if required
 - Completed Danish form, if required
- 3.10 OES Bureau of Oceans and International Environmental and Scientific Affairs Office at Department of State. This office provides support in sending out the cable requesting DAC and BC.
- 3.11 POC Point-of-Contact

4. References

- 4.1 Department of Defense Foreign Clearance Guide (DoD FCG) 4500.54G

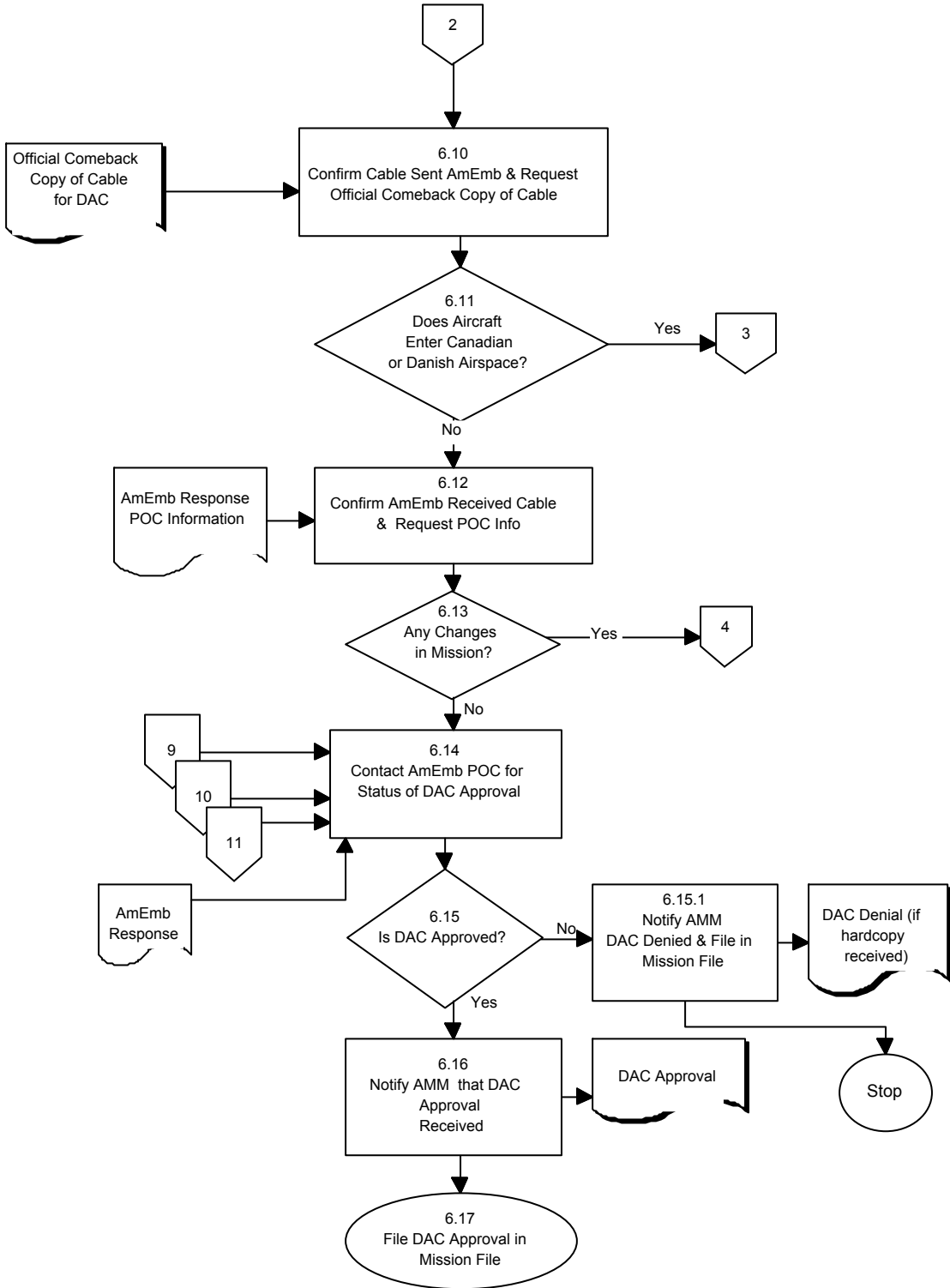
Responsible Office: Code IY/Earth Science Division
 Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

5. Flowchart



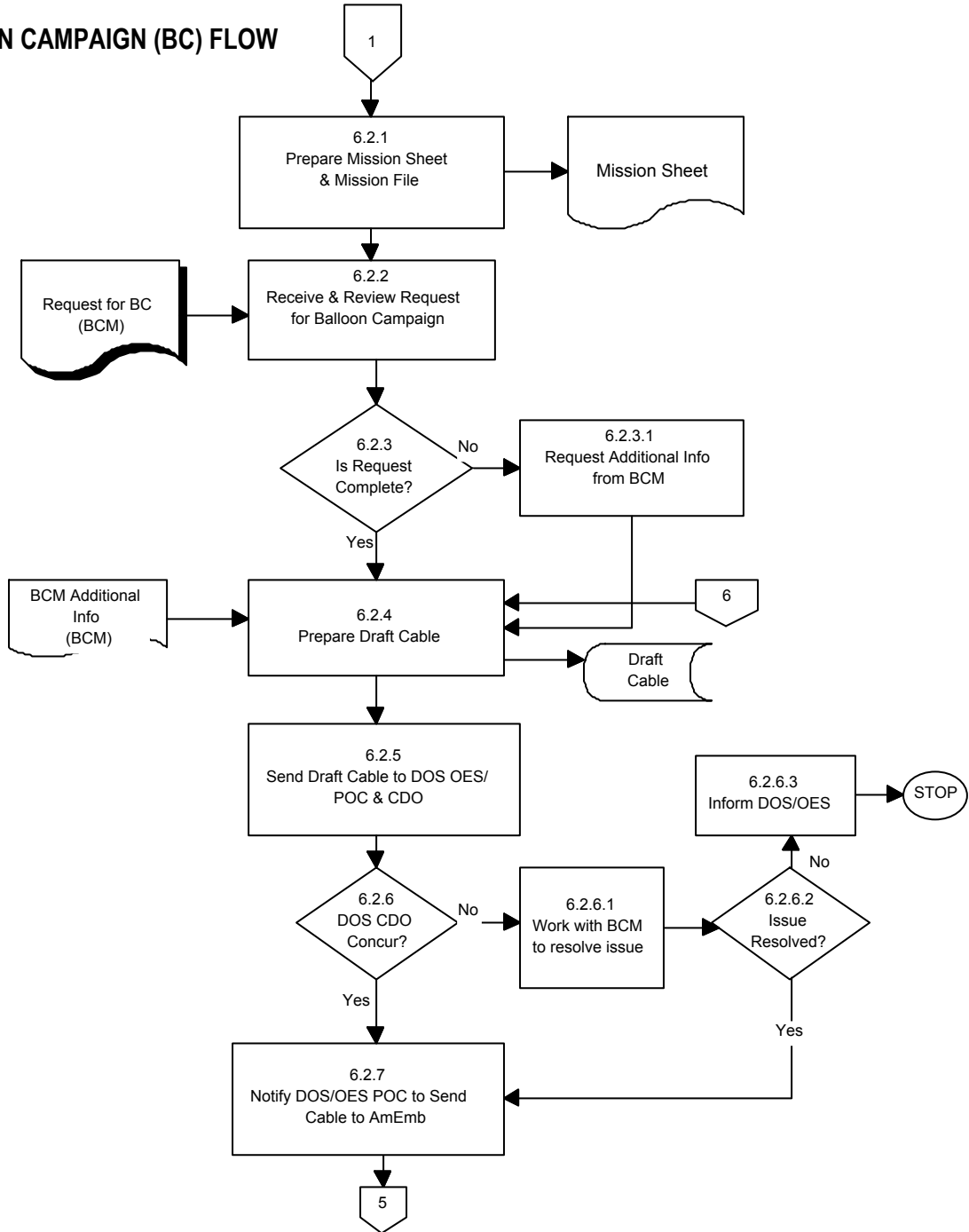
TO VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

Responsible Office: Code IY/Earth Science Division
Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

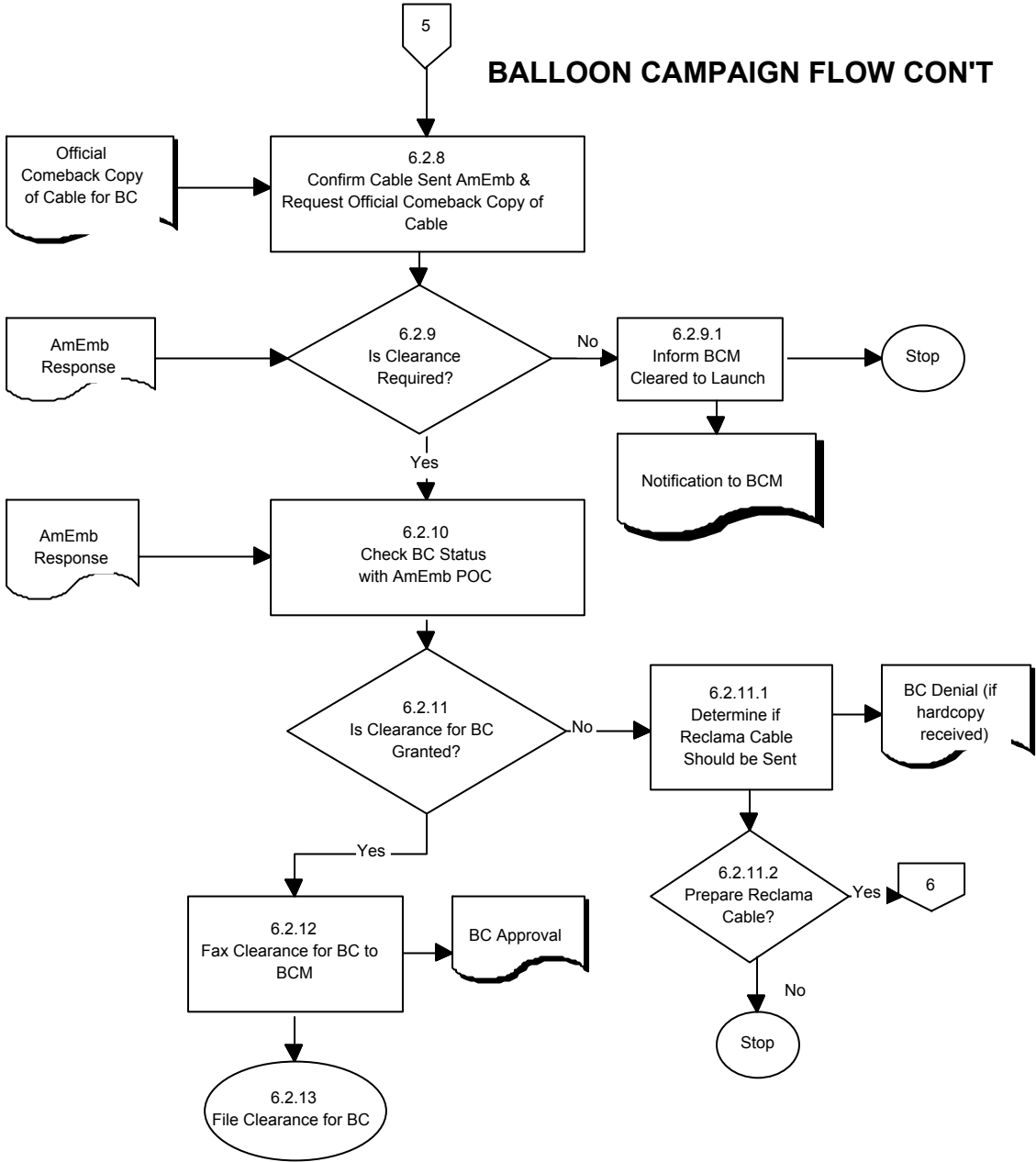


Responsible Office: Code IY/Earth Science Division
 Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

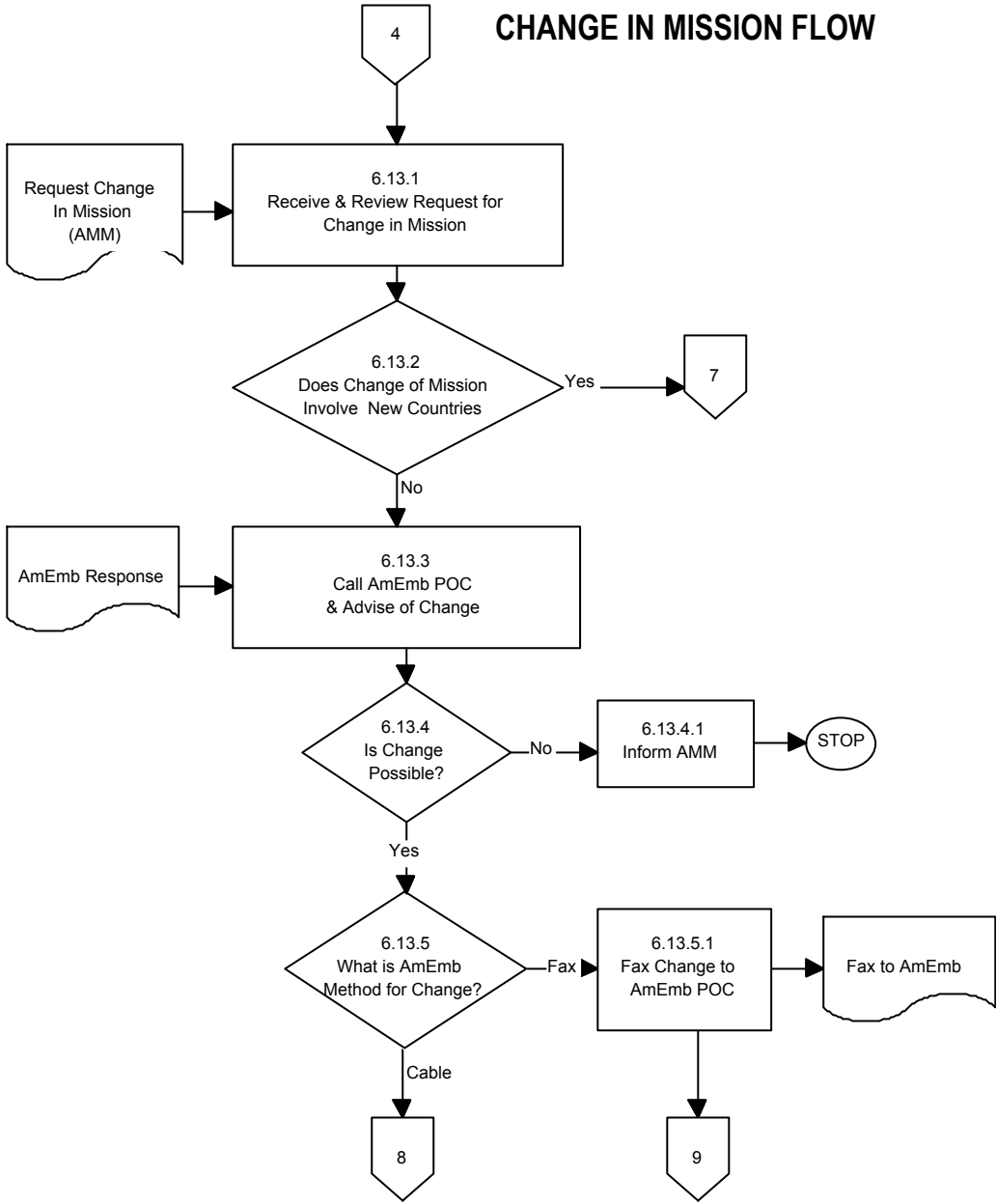
BALLOON CAMPAIGN (BC) FLOW



Responsible Office: Code IY/Earth Science Division
 Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

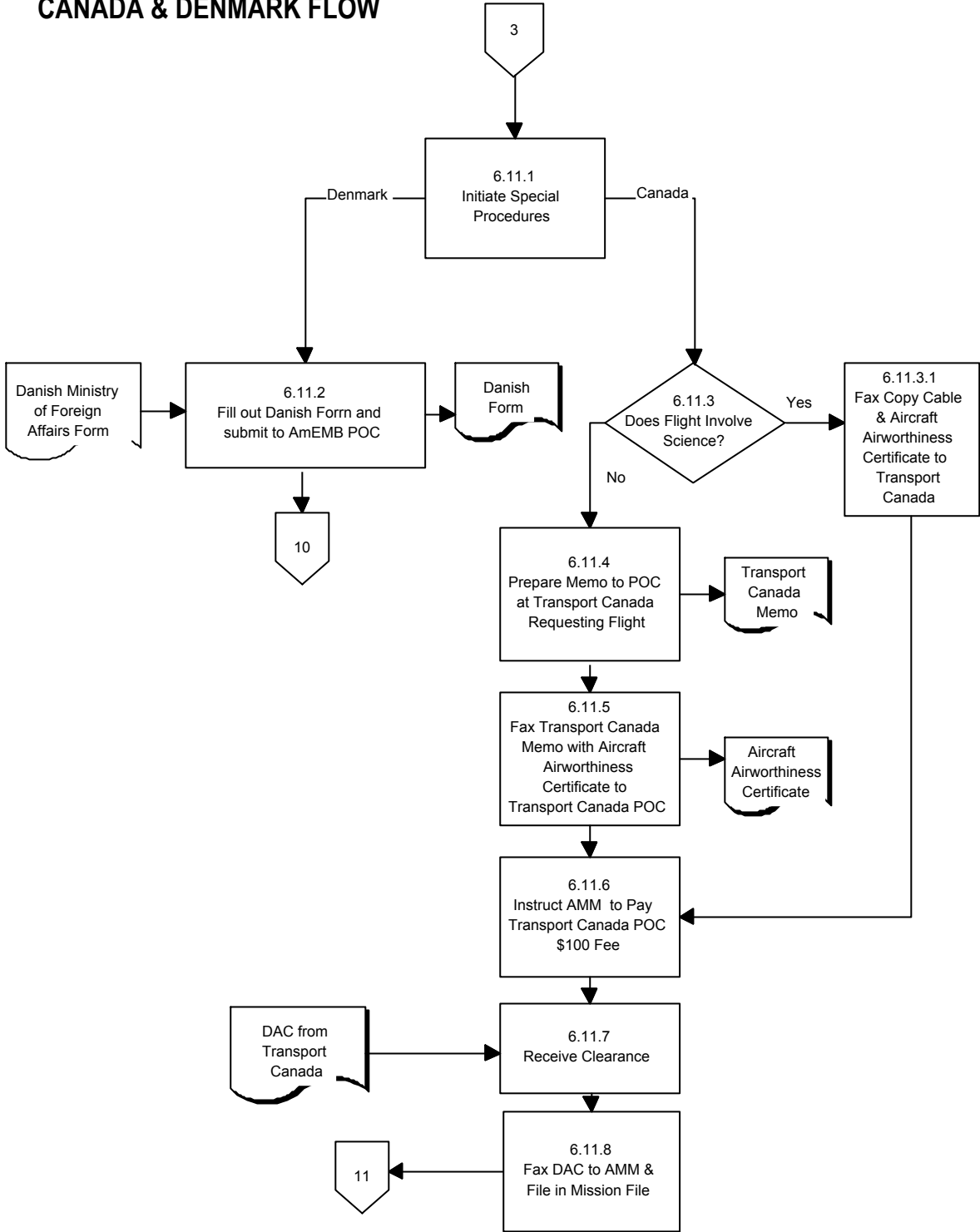


Responsible Office: Code IY/Earth Science Division
Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns



Responsible Office: Code IY/Earth Science Division
 Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

CANADA & DENMARK FLOW



Responsible Office: Code IY/Earth Science Division
 Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

6. Procedure

Step	Actionee	Action
6.1	AO	Receive heads up (email or telephone call) from AMM/BCM for upcoming DAC/BC mission or transit flight.
6.2	AO	If heads up is for Balloon Campaign, which involves launch of balloon(s) with a travel trajectory which enters foreign airspace, follow Steps 6.2.1 to 6.2.13. If heads up is for Diplomatic Aircraft Clearance, go to Step 6.3.
		BALLOON CAMPAIGN FLOW
6.2.1	AO	Prepare Mission Sheet (Basis Form 7855) and attach to front of manila folder. This becomes the official Mission file.
6.2.2	AO	Receive written request for BC from BCM. Determine if info received from BCM is complete. Compare with previous BC cable for accuracy. Info should include balloon specifications (height, diameter, weight), all countries' airspaces it might enter, purpose of balloon flight and designation of launch site and date of balloon launch.
6.2.3	AO	If request is complete, go to Step 6.2.4. If not complete, go to Step 6.2.3.1
6.2.3.1	AO	If info is not complete, inform BCM and request additional input.
6.2.4	AO	Prepare draft cable to AmEmb of all countries that balloon will transit. The cable includes all information regarding balloon and its flight. Cable requests AmEmb to notify host government of flight and advises AO if clearance is required.
6.2.5	AO	Send electronically and fax draft cable to DOS/OES POC to prepare for transmittal to AmEmb. Fax draft cable to DOS CDO for clearance. (NOTE: DOS CDO will call AO and/or DOS POC regarding concurrence/non-concurrence on cable.)
6.2.6	AO	If DOS CDO concurs, go to Step 6.2.7. If non concurs, go to Step 6.2.6.1.
6.2.6.1	AO	Inform BCM about DOS non-concurrence. Determine if changes can be made to secure concurrence and resolve issue and resubmit draft cable to DOS CDO.
6.2.6.2	AO	If changes can be made and DOS CDO concurs with changes go to Step 6.2.7. If changes required by DOS CDO impact mission and cannot be done, go to Step 6.2.6.3.
6.2.6.3	AO	Inform DOS/OES POC by phone or e-mail to not send cable. Process stops.
6.2.7	AO	Call DOS/OES POC and inform them that DOS CDO has concurred and instruct them to dispatch the cable.
6.2.8	AO	Confirm with DOS/OES POC that cable was sent and request official comeback copy. Once the copy is received, place in Mission file.
6.2.9	AO	AmEmb POC notifies AO that clearance to launch balloon is/is not required for their respective country. If clearance is required, follow Steps 6.2.10 thru 6.2.13.

Responsible Office: Code IY/Earth Science Division
 Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.2.9.1	AO	If no response from AmEmb POC, then AO notifies the BCM by e-mail or fax that clearance from that respective country is not required to launch. A copy of the e-mail or fax notification is placed in the Mission file. Special Note: If BC transits more than one country, all responses/non responses from each country are required before AO can inform BCM cleared for launch.
6.2.10	AO	Continue to check status of BC clearances with AmEmb POC. Check status via phone, fax or prepare a status cable. If a status cable is required, repeat Steps 6.2.4 thru 6.2.13
6.2.11	AO	If response from AmEmb grants clearance for BC, proceed to Step 6.2.12. If response from AmEmb denies clearance, go to Step 6.2.11.1.
6.2.11.1	AO	If response from AmEmb is a denial from host government, BCM & NASA CDO determine if they accept denial or choose to prepare reclama cable instructing AmEmb to go back to host government with request to reevaluate.
6.2.11.2	AO	If decision is to prepare reclama cable, repeat Steps 6.2.4 thru 6.2.13. If decision is to accept denial, then stop clearance process.
6.2.12	AO	Fax BC clearance from AmEmb to BCM. Inform BCM they can launch balloon.
6.2.13	AO	File clearance in Mission file.
AIRCRAFT FLOW		
6.3	AO	Prepare Mission Sheet (Basis Form 7855) and attach to front of manila folder. This becomes the Mission file.
6.4	AO	Receive request for DAC. Request could contain one or multiple countries to which that aircraft will travel. Determine if request for DAC contains required info according to DoD FCG. File DAC request in Mission file.
6.5	AO	If request is complete, go to Step 6.6. If request is incomplete, go to Step 6.5.1.
6.5.1	AO	Contact AMM and request additional info.
6.6	AO	Prepare draft cable to AmEmb in all countries that aircraft will transit, base and/or refuel/rest stops. The cable includes all information regarding aircraft mission. Cable requests AmEmb to secure DAC and advise AO.
6.7	AO	Send electronically and fax draft cable to DOS/OES POC to prepare for transmittal to AmEmb. Fax draft cable to DOS CDO for clearance. (NOTE: DOS CDO will call AO and/or DOS POC regarding concurrence/non-concurrence on cable.)
6.8	AO	If DOS CDO concurs, go to Step 6.9. If nonconcur, go to Step 6.8.1.
6.8.1	AO	Inform AMM of DOS non-concurrence. Determine if changes can be made to secure concurrence and resolve issue, and resubmit to DOS CDO (Step 6.7).
6.8.2	AO	If changes can be made and DOS CDO concurs with changes go to Step 6.9. If changes required by DOS CDO impact mission and cannot be done, go to Step 6.8.3.
6.8.3	AO	Inform DOS/OES POC by phone or e-mail that cable will not be sent. Process stops.

Responsible Office: Code IY/Earth Science Division
 Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.9	AO	Call DOS/OES POC and inform them that DOS CDO has concurred and instruct them to dispatch the cable.
6.10	AO	Confirm with DOS/OES POC that cable was sent and request official comeback copy. Once the copy is received, place in Mission file.
CANADA & DENMARK FLOW		
6.11	AO	Does aircraft enter Canadian or Danish airspace? If yes, go to Step 6.11.1 to initiate special procedures to be followed.
6.11.1	AO	Determine from itinerary in cable if one or both Canadian and Danish airspace will be involved in the aircraft schedule. If aircraft enters Danish airspace, go to Step 6.11.2. If aircraft enters Canadian airspace, go to Step 6.11.3.
6.11.2	AO	Fax Danish Form to AMM to fill out. Fax completed form to AmEmb POC in Copenhagen and go to Step 6.14.
6.11.3	AO	All flights of NASA aircraft in Canadian airspace require a \$100 fee to be paid to Transport Canada and, if requested, a copy of the aircraft's airworthiness certificate. (POC at Transport Canada has on file airworthiness certificates for most of NASA aircraft). AO has an airworthiness file with certificates for most NASA aircraft. If not in file, request copy from AMM. If flight does not involve taking science data, (ex: transits, refueling/rest stops, transport of passengers to attend meetings in Canada) follow Steps 6.11.4 through 6.11.8. If flights in Canadian airspace involve taking science data, then in addition to the cable to the AmEmb, submit request for clearance from Transport Canada with payment of the fee. Go to Step 6.11.3.1.
6.11.3.1	AO	Fax copy of cable and airworthiness certificate to POC at Transport Canada requesting DAC. Proceed to Step 6.11.6 through 6.11.8. Also complete Steps 6.14 through 6.17.
6.11.4	AO	Prepare memo to POC at Transport Canada requesting flight in Canadian airspace. Memo should identify aircraft, aircraft commander and number of crew/passengers, dates and times of flight, purpose of flight and provide point of contact (AO and AMM).
6.11.5	AO	Fax memo and aircraft airworthiness certificate, if needed, to POC at Transport Canada.
6.11.6	AO	Call AMM and request that he/she forward payment of \$100 fee to POC at Transport Canada.
6.11.7	AO	Once payment is received, POC at Transport Canada will fax clearance for flight to AO. Note: On occasion, Transport Canada POC will also fax clearance directly to AMM. If so, stop and file clearance.
6.11.8	AO	If AMM did not receive clearance directly from Canada, fax clearance to AMM and file in Mission file. If the flight does not involve science, process stops. If science is involved, go to Step 6.14.

Responsible Office: Code IY/Earth Science Division
 Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

		AIRCRAFT FLOW (con't)
6.12	AO	Confirm AmEmb received cable and request AmEmb POC information (name, phone/fax numbers).
		CHANGE IN MISSION FLOW
6.13	AO	Changes in mission occur when AMM notifies AO that mission has changed. Examples of mission changes are: new destinations, new transits and/or new dates. Follow Steps 6.13.1 thru 6.13.5.1, if a request for changes in a mission is received.
6.13.1	AO	Receive and review request for change in mission from AMM to determine if new countries are involved. A new cable must be prepared to request new countries' clearance. Supercopy original cable to a new document, delete old addresses and add new addresses; add purpose for change and new itinerary.
6.13.2	AO	If change of mission involves new countries not covered in original cable, go to Step 6.6. If change does not involve new countries, proceed to Step 6.13.3.
6.13.3	AO	Call AmEmb POC and advise of mission change. Discuss with AmEmb POC if change is possible. Request AmEmb POC to identify method for change (i.e., fax or cable).
6.13.4	AO	If change is not possible, go to Step 6.13.4.1. If change is possible, go to Step 6.13.5.
6.13.4.1	AO	Inform AMM by phone or e-mail that change requested is not possible. AMM determines if they want to proceed with first request or stop request for mission clearance. Process stops.
6.13.5	AO	If method for change is a new cable, then go to Step 6.6. If method for change is fax, then go to Step 6.13.5.1.
6.13.5.1	AO	Fax change to AmEmb POC and proceed to Step 6.14.
		AIRCRAFT FLOW (cont.)
6.14	AO	Contact AmEmb POC for status of DAC. Contact can be made via phone or fax. If not reachable and if, in the judgement of the AO, time is a factor, go to step 6.6 and prepare a status cable requesting AmEmb to respond. AmEmb POC will respond via phone, fax or cable with approval for DAC. If response is verbal, request AmEmb POC to fax the DAC for the record. A verbal with approval number can be given to AMM in order for mission to start.
6.15	AO	If DAC is denied go to Step 6.15.1. If DAC is approved, go to Step 6.16.
6.15.1	AO	Inform AMM by phone, e-mail or fax that DAC has been denied. File hardcopy of DAC denial in Mission file, if received from AmEmb. Process stops.
6.16	AO	Fax DAC approval or give verbal clearance, whichever has been provided, to AMM for mission to proceed.
6.17	AO	File DAC approval(s) in Mission file.

Responsible Office: Code IY/Earth Science Division
 Subject: Diplomatic Clearance for NASA Research Aircraft and Scientific Balloon Campaigns

7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Request for DAC	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
Official Comeback copy of Cable for DAC	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
DAC Denial (if hardcopy received)	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
DAC Approval	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
Request for BC	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
Official Comeback copy of Cable for BC	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
Notification to BCM	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
BC Approval	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
BC Denial (if hardcopy received)	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
Transport Canada Memo	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
Danish Form	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
Aircraft Airworthiness Certificate	AO	AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.
DAC from Transport Canada	AO	Mission file in AO's Office	Hard Copy	Schedule 1, Item 34	Permanent Transfer to NARA when activity ceases, or when 30 years old.