



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
1000 NAVY PENTAGON
WASHINGTON DC 20350-1000

SECNAVINST 5050.6
DALO (PID)
DEC 7 2019

SECNAV INSTRUCTION 5050.6

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY CONFERENCE MANAGEMENT PROGRAM

Ref: (a) DoD Conference Guidance Version 4.0
(b) DoD Instruction 5500.07-R, Joint Ethics Regulation
(c) SECNAV M-5214.1

Encl: (1) Reporting Requirements and Exemptions
(2) Conference Approval Authority Table
(3) Submission of Conference Requests
(4) Standards of Conduct

1. Purpose. This instruction establishes Department of the Navy (DON) policy for conference management in accordance with reference (a).

2. Cancellation. ALNAV 011/17; SECNAV NOTICE 5050 of 16 May 2018.

3. Applicability. This instruction applies to the Offices of the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO), the Commandant of the Marine Corps (CMC), all U.S. Navy (USN), U.S. Marine Corps (USMC) installations, commands, activities, field offices, and all other organizational entities within the DON.

4. Policy

a. Pursuant to reference (a), this policy establishes the DON framework for proper administration and oversight of all conferences to include those hosted by the DON and those not hosted by the DON, but attended by DON personnel. A conference is defined by reference (a), and includes training activities covered by 5 CFR 410.404.

b. All DON personnel must remain committed to the oversight of conference activities—those we host and those we attend. The

DON will remain a good steward of taxpayer dollars by keeping cost levels to the minimum necessary to accomplish the mission.

5. Responsibilities

a. The SECNAV and the Under Secretary of the Navy (UNSECNAV). SECNAV and UNSECNAV are accountable for all DON conference related activities, including DON conference policies, controls, and the conduct of conferences hosted by the DON and its military services or attended by DON personnel.

b. Directorate of Administration, Logistics, and Operations (DALO). DALO will support the SECNAV and UNSECNAV on all conference related activities.

(1) DALO will provide guidance and general operating procedures where required to implement Department of Defense (DoD) and DON policies and accountability standards. DALO will also provide specific support and guidance as needed to manage conference related activities within the Office of the SECNAV (Secretariat).

(2) DALO will use the following criteria to publish a Blue, White, and Yellow List of conferences on the DALO SharePoint site listed in paragraph 10, and periodically update them based on DON and service data.

(a) Conferences listed on the "Blue List" are non-DoD sponsored or hosted conferences that have historically exceeded \$250K or are at risk for exceeding \$250K, and must be approved by a Tier 1 approving official.

1. Conferences on the "Blue List" must be routed through DALO for approval unless DALO designates another command to take the lead. If designated, DON commands are responsible to meet all administrative and reporting requirements, including: conduct the data call; complete the approval package with one approval form for all DON attendees and forward a copy to DALO for publication on the DALO SharePoint site; communicate limitations of the approval to all attendees; and monitor registrations to ensure cost limits are not exceeded. Absent such designation, DALO will initiate a data call to compile DON attendance requests and issue one approval form.

2. For DALO initiated data calls, Director of Navy Staff (DNS) and Director Marine Corps Staff (DMCS) will send Conference Request forms with consolidated participation data (to include requesting commands, number of attendees, and total cost to those commands). Negative responses are required.

(b) Conferences listed on the "White List" are non-DoD sponsored or hosted conferences that have historically exceeded \$100K and require Tier 1 or Tier 2 approval. White List conferences can have multiple Tier 1 or Tier 2 approvals and do not require aggregation of costs and attendance.

(c) Conferences listed on the "Yellow List" are DON-hosted conferences and require Tier 1 or Tier 2 approval based on total costs to the DON.

1. Conferences hosted by the DON with estimated costs exceeding \$500K must include a paragraph stating that exceptional circumstances exist, and hosting the conference is the most cost-effective option.

2. Hosting organizations must report any conference with costs over \$20K, as outlined in enclosure (1).

3. DON-hosted conferences with costs exceeding \$100K will be publically posted on the DoD website as part of the Annual DoD Conference Report.

4. Commitments to vendors and/or obligation of funds prior to appropriate conference approval are prohibited.

c. CNO and CMC. CNO and CMC are accountable for all conference related activities of their respective service. CNO and CMC will provide service guidance and general operating procedures where required to implement the DoD and DON policies and accountability standards.

d. Any conference resulting in zero total cost to the DON (e.g., local or virtual participation at no-fee events) does not require conference approval.

e. Conference Approval Authorities

(1) SECNAV and UNSECNAV are the DON's only Tier 1 approving officials, per reference (a). Within the DON, Tier 1 approval is required for any conference with a total cost exceeding \$250K. Conference requests requiring Tier 1 approval should be submitted no later than 90 days prior to the start of the conference.

(2) Within the DON, Tier 2 approval is required for conferences less than \$250k or are on the DALO "White List." Tier 2 approval officials include: CNO; CMC; Vice Chief of Naval Operations; Assistant Commandant of the Marine Corps; DNS; DMCS; two-star or higher General Officer (GO) or Flag Officer (FO), or Senior Executive Service (SES, 2-star or higher equivalents) commanders of USN and USMC commands; and, critical GO/FO/SES commanders designated by DNS, DMCS, or UNSECNAV.

(a) Tier 2 authority may not be delegated further, but may be exercised by a FO/GO/SES designated as "Acting" in a covered position.

(b) Tier 2 conference approval authorities may designate subordinate organization FO/GO/SES as approving officials to host conferences with costs of \$100K or less. This designation must be in writing and a copy forwarded to DALO.

(3) Other approval officials. Attendance at non-DoD sponsored or hosted conferences with costs of \$100K or less and not on the "White List" may be approved by supervisors with normal travel (TDY/TAD) approval authority, consistent with organizational guidelines. If costs exceed \$3,000 per person or \$600 per person per day, then attendance must also be approved one level above the supervisor and must be at least an O-5 or GS-14.

f. DON commands and activities are not required to approve conference attendance for their members to attend DoD-sponsored or hosted conferences. The DoD sponsor (i.e., DoD, Army, Air Force, or DON approval authority) is responsible for seeking proper approval of all DoD attendees. Attendees must coordinate with the hosting component's conference point of contact for accounting and reporting purposes. Documentation of such coordination should be included in travel planning to ensure auditability. Attendees may require TDY/TAD and attendance approvals pursuant to local instructions.

g. See enclosure (2) for consolidated conference approval authorities. Conference submission instructions are outlined in enclosure (3).

6. Standards of Conduct. See enclosure (4).

7. Exemptions. See enclosure (1).

8. DON-hosted Reporting Requirements. See enclosure (1).

9. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned according to the records disposition schedules found on the Directives and Records Management Division (DRMD) portal page:

<https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx>.

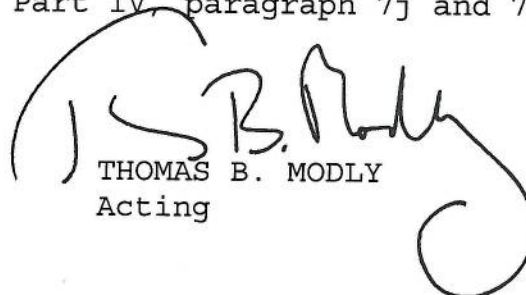
b. For questions concerning the management of records related to this instruction contact your local Records Manager or the DRMD program office.

10. Forms and Information Management Control

a. SECNAV 5050/2 and conference lists can be found on the DALO portal page:

<https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/CPDM/SitePages/DON%20Conference%20Management.aspx>.

b. Reporting requirements contained in paragraph 5b(2)(c)2 and enclosure (1) are exempt from information collection control, per reference (c), Part IV, paragraph 7j and 7p.


THOMAS B. MODLY
Acting

Distribution:

Electronic only, via Department of the Navy Issuances website

<https://www.secnav.navy.mil/doni>.

REPORTING REQUIREMENTS

1. All DON organizations who host conferences with costs in excess of \$20K must report the conference in the DoD Conference Report Tool (Tool):

<https://apps.sp.pentagon.mil/sites/DoDConferenceTool/Pages/home.aspx>. DON organizations must enter each conference, and its actual costs, no later than 15 days after the last day of the conference.

a. DON organizations must upload the conference approval memo in the Tool for all DON-hosted conferences with costs exceeding \$100K.

b. Per reference (a), DON will make information on any conference with costs exceeding \$20K available to the DoD Inspector General.

2. For conferences approved by SECNAV/UNSECNAV, DON organizations must submit the actual costs to DALO within 15 days of the last day of the conference using Conference Request Form under paragraph 10. DALO Programs and Integration Division will report and validate these conferences. All other reporting and validation is the responsibility of the DON conference host.

EXEMPTIONS

Per reference (a), if an event is determined to be exempt from conference approval requirements, such determination must be approved by a GO/FO/SES in writing with advice of their servicing legal advisor. Exempting organizations will maintain their determinations in accordance with the document management requirements of Section III-5 of reference (a).

CONFERENCE APPROVAL AUTHORITY TABLE

Type of Request	Total Cost Threshold	Approval Authority
Non-DoD sponsored or hosted conferences listed on "Blue List" (High Risk)	>\$250K	Tier 1
	<\$250K	After consultation with DALO, single Tier 2 can approve
Non-DoD sponsored or hosted conferences listed on "White List"	>\$250K	Tier 1
	>\$100K up to \$250K	Tier 2 (multiple)
	<\$100K	Tier 2 (multiple)
DON-hosted listed on "Yellow List"	>\$250K	Tier 1
	>\$100K but <\$250K	Tier 2
	\$100K or less	Commander or head of the hosting DON organization, or if delegated by the commander or head, to any flag officer and Senior Executive Service (SES) civilian within the hosting organization
Non-DoD sponsored or hosted conferences <u>not</u> listed on a DON conference list ("Blue", "White", or "Yellow List")	\$100K or less total cost and <i>less than</i> \$3,000 per person and <i>less than</i> \$600 per person per day	Supervisors with normal TAD approval authority or if more than 3K/person or \$600/person/day then must be approved one level above supervisor at O-5 or GS-14 level

SUBMISSION OF CONFERENCE REQUESTS

1. DON-hosted Conferences. Commands and organizations planning to host a conference must submit a SECNAV 5050/2 to the appropriate conference approval authority. Only one approval is required for each DON-hosted conference. At a minimum, the request must contain the following:

a. Completed SECNAV 5050/2, expected Return on Investment (ROI) to the DON, alternatives to hosting the event, and how the conference will advance the mission of the DON. Requests forwarded to DON-hosted approving authorities must be signed by a GO/FO/SES or Commander/Officer in Charge.

b. Draft agenda.

c. Memorandum of Understanding or Agreement if co-sponsoring with a non-Federal entity. Co-sponsorship agreements should be reviewed by legal counsel prior to submission.

2. Non-DoD Hosted Conferences. Commands and organizations requesting to attend a non-DoD hosted conference must submit a SECNAV 5050/2 to the appropriate conference approval authority. Where multiple DON organizations may participate or attend, a single DON command or organization may be designated as lead. At a minimum, the request must contain the following:

a. Completed SECNAV 5050/2, expected ROI to the DON, alternative means for obtaining that ROI without physical attendance, and how it will advance the mission of the DON.

b. Draft agenda.

3. Recurring Conferences. Conference approval authorities are authorized to provide one-time approval for recurring DON-hosted conferences within the limits of their approval authority. Such approvals may remain valid for no longer than three years.

a. One-time approvals must identify control conditions for continued approval, e.g., cost limits, attendance limits, duration limits, and location restrictions.

b. Each conference event is subject to the reporting requirements identified in enclosure (1) of this instruction.

STANDARDS OF CONDUCT

1. Enhanced Scrutiny. Accountable officials and approval authorities will ensure that conference activities comply with references (a) and (b), and all applicable laws, regulations and policy, e.g., Federal Acquisition and Joint Travel Regulations. When a conference activity involves a Non-Federal Entity (NFE), approval officials must ensure that no prohibited conference expenses are involved, and that the conference circumstance do not create the appearance of impropriety. Such events require enhanced scrutiny, and approval officials should seek advice from their servicing legal advisor (i.e., military or civilian).

a. Limited Logistical Support. Per section 3-211 of reference (b), DON may provide limited logistical support to NFEs in certain circumstances. Such support must be limited in nature, and may not be used to promote or endorse an NFE or non-DoD event. Use of DON or DoD facilities, resources or speakers, official emblems, government information, and participation by NFE exhibitors must be carefully assessed based on the totality of the circumstances.

b. Co-Sponsorship. When all the requirements of section 3-206 of reference (b) are met, DON may co-sponsor events with an NFE in certain circumstances. In such cases, the event is considered an official DON event, and must comply with all rules applicable to DON-hosted conferences. If co-sponsorship is appropriate, DON organizations must execute a written agreement that meets the requirements of reference (b). Agreements should be reviewed by servicing legal advisor counsel prior to submission. Within the DON, co-sponsorship is mandatory where DON/DoD speaker support exceeds 50 percent. Speaker support includes individual presenters, panelists, and moderators or chairs. Approval officials must also assess other logistical support (e.g., facilities, funding, audio/visual assets, administrative staff, etc.) based on the totality of the circumstances, from the perspective of the public.

c. Contemporaneous, but separate and independent conferences. In lieu of co-sponsorship, a DON activity may host a conference, and an NFE may sponsor a separate and distinct event. These two events may be held at the same time, and co-located at the same facility, but may not use the same physical space. The DON event must comply with DON conference policies, and may welcome attendees of the NFE conference under the same

conditions as all other DON attendees. Conference approving officials must document GO/FO/SES approval in writing with advice of their servicing legal advisor.

d. Prohibited Conference Expenses. Examples of prohibited conference expenses include: entertainment-related expenses such as hiring musicians or entertainers, extraneous promotional items, decorations, or other goods and services for participants that are unrelated to the purpose of the conference, tickets to recreational activities outside of the conference setting, or using funds to produce non-substantive audio/visual materials. Common sense and good judgement must be used throughout the conference planning process. Conferences require enhanced scrutiny, and approval officials should seek advice from their servicing legal advisor (i.e., military or civilian).