

**BY ORDER OF THE COMMANDER  
AND PRESIDENT AIR UNIVERSITY  
(AETC)**

**AIR UNIVERSITY INSTRUCTION 34-1201**

**9 JULY 2012**

*Incorporating Change 1, 19 MAY 2015*

*Certified Current 21 July 2016  
Personnel*



**PROTOCOL REQUIREMENTS IN SUPPORT  
OF THE AIR UNIVERSITY**

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

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OPR: HQ AU/CCP

Certified by: HQ AU/CCP  
(Lt Col Thomas M. Maddock)

Supersedes: AUI 36-2202, 28 April 2004

Pages: 23

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This instruction implements AFD 34-12, *Air Force Protocol*. It establishes guidance, procedures, and responsibilities for arranging and conducting visits of distinguished visitors (DV) to Air University and conducting official ceremonies, and ensures the use of standard formats and procedures for supporting distinguished visitors and conducting ceremonies. It applies to all Air University (AU) organizations and to tenant organizations located at Maxwell Air Force Base (AFB) and Maxwell AFB, Gunter Annex, to include the 908th Airlift Wing (AFRES). Refer recommended changes and/or corrections to this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, *Recommendation for Change of Publication*, through your chain of command. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with Air Force Manual (AFMAN) 33-363, *Management of Records*, and disposed of in accordance with the Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS) located at <https://www.my.af.mil/afirms/afirms/afirms/rims.cfm>.

**SUMMARY OF CHANGES**

This interim change: Prescribes the AU Form 88, *AU Distinguished Visitor Notification*, that replaces the AETC IMT 88 which is obsolete and updates guidance for completing the AU Form 88. A margin bar (|) indicates revised material from the previous edition.

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## 1. Distinguished Visitor (DV) Visits - Duties and Responsibilities.

### 1.1. AU Protocol:

1.1.1. Plans, coordinates, and executes protocol requirements for high-level visits/events as directed by the AU Commander.

1.1.2. Provides guidance to all AU agencies and organizations on protocol matters and serves as Office of Collateral Responsibility (OCR) for all AU/CC hosted visits, ceremonies and special events.

1.1.3. Provides support at Base Operations for arrivals and departures of all DV Codes 1–4 (with the exception of the AU Commander).

1.1.4. Provides support at Base Operations for arrival of unexpected DV Codes 1–6.

1.1.5. Posts 3-weeks worth of the “DV Code 6” report listings on the Air University Protocol SharePoint Site daily. Updates to the Code 6 are posted daily NLT 1530.

1.1.6. Prepares welcome notes for AU Commander’s signature for all DVs lodged on Maxwell AFB.

1.1.7. Prepares welcome bags for guest speakers or other special guests lodged on Maxwell AFB in accordance with SM&W & ORF policies.

1.1.8. Makes all lodging arrangements for DVs based on host agency needs as indicated on the AU Form 88, *AU Distinguished Visitor Notification*.

1.1.8.1. The AU Commander’s Policy for DV lodging (Brett Hall) is as follows:

1.1.8.1.1. Distinguished Visitors on official visits with a DV Code of 1-6 will receive priority lodging.

1.1.8.1.1.1. Distinguished Visitor’s aide and security will be lodged in Brett Hall when possible. Additional members of the official party will be lodged in closest proximity based on availability.

1.1.8.1.2. Space Available (Space-A) visitors will be lodged in accordance with Air Force instructions. Lodging priority is given to official travel visitors.

1.1.9. Notifies AU Commander, AU Public Affairs, and HQ Air Education and Training Command (AETC) Protocol of visits by members of US Congress or their staff.

1.1.10. Notifies HQ AETC of required DVs visiting Maxwell AFB via the AETC DV notification website.

1.1.11. OPR for AU Commander’s memento inventory and the Official Representation Funds.

1.1.12. OPR for set-up of the AU conference room for mission briefings and meetings hosted by the AU Commander.

1.2. Other AU Organizations and Maxwell AFB Tenants, including those on Gunter Annex. Serve as OPR for agency-initiated distinguished visits, if purpose of DV’s visit is to present a lecture to an AU school or organization. If more than one agency is subsequently added to a DV itinerary, the agency initiating the invitation continues to act as the OPR, coordinating

with each OCR involved in the visit. Exceptions to this policy will be coordinated with the Chief of Air University Protocol.

### 1.3. Office of Primary Responsibility:

1.3.1. Notifies AU Protocol of all distinguished visitors.

1.3.2. Plans, coordinates, and executes visits and events.

1.3.3. Serves as OCR for AU orientation visits when applicable.

1.3.4. Updates the AU Consolidated DV Tracker on Air University Protocol SharePoint Site (discussed in paragraph 6) with potential DVs as far in advance as possible so that schools and organizations have visibility of the visit.

1.3.5. Completes an AU Form 88, as shown at Attachment 2, for any DV Code 6 and above and e-mails it to AU Protocol (AU/CCP DV Request Org Mailbox) as soon as initial notification of a visit is received, but no later than (NLT) 1600 on the Monday before the week the DV arrives. Refer to the Department of the Air Force Protocol Precedence List link provided on the Air University Protocol SharePoint Site to determine appropriate DV Code. If there is any question regarding the proper DV code for an incoming guest, contact AU Protocol for further guidance. **NOTE:** AU Form 88 must be accomplished on all DVs visiting Maxwell AFB regardless of which organization they are visiting and whether or not they remain overnight.

1.3.6. Prepares a detailed itinerary (example itinerary templates are located on the AU Protocol SharePoint Site) for every DV visit. Coordinates itinerary and provides preliminary information to those agencies involved in the visit in a timely manner. Draft itineraries should be uploaded to the AU Protocol SharePoint Site NLT 2 weeks prior to the visit if possible and updated as necessary. Ensure AU Protocol and all affected agencies are notified of any updates. Only those units submitting the itineraries will have editing rights. **NOTE:** Itineraries should be marked "FOR OFFICIAL USE ONLY." It is understood that often arrival and departure times and other details are unknown until very close to the arrival. For senior leadership visibility, however, it is critical to upload the itineraries as soon as possible, keeping them current as conditions change.

1.4. International Visitors. There is specific Air Force guidance with regard to foreign visits. Any agency receiving requests or direct notification of a proposed visit by an international visitor should redirect the inquiry to the Director, International Affairs (HQ AU/IA), in accordance with AUI 16-102, *International Programs*, paragraph 4.1. Make no commitment on the part of AU until HQ AU/IA and AU Protocol have approved. It is the AU Commander's desire to have organizational briefings translated and presented to foreign guests in their native tongue when at all possible. Resources within the Maxwell AFB—through faculty, students, and other permanent party members—are often available to assist in accomplishing this goal, which is one more part of what has become "The Maxwell Standard".

1.5. Unexpected Guests. Occasionally, an unanticipated distinguished visitor will arrive at Maxwell Base Operations. Normally the command post learns of the arrival through the receipt of a flight plan or actual landing at Maxwell AFB. The 42d Air Base Wing

Command Post notifies the AU Protocol On-Call Officer. The On-Call Officer should report to Base Operations to greet DV and provide assistance as necessary.

1.6. AU Commander's Expectations & Greeter Preferences: The AU Commander expects all personnel to meet the highest standards for all distinguished visitors and ceremonies. AU/CC's most current preferences are located on the AU/CCP SharePoint site.

## **2. Official Ceremonies and Events – Duties and Responsibilities.**

### **2.1. AU Protocol:**

2.1.1. Serves as OPR for retirement and change of command of the Air University Commander. Serves as OCR for other official ceremonies and events officiated and hosted by the AU Commander or other senior officials. Exceptions to this policy will be at the discretion of the Chief of Protocol, Air University.

2.1.2. Provides guidance to AU agencies and organizations on official ceremonies and events.

2.1.3. Attends pre-ceremony and event planning meetings, as necessary, and offers assistance as required or requested.

2.1.4. Furnishes sample script, sequence of events, invitation, DV Pass, layout, program, or other materials as requested by organization serving as OPR.

2.1.5. Reviews all ceremony and event materials before AU Commander coordination and approval.

### **2.2. Other AU Organizations and Maxwell AFB Tenants, including those on Gunter Annex:**

2.2.1. Serve as OPR for official ceremonies and events, including those officiated and hosted by AU Commander, which are either held at or in honor of a member of their organization or unit.

2.2.2. Notify AU Protocol as soon as possible of date and time for official ceremony or event. AU Protocol will serve as OCR and, as required, assign a Project Officer to work with organization, unit project officer, or planning committee.

## **3. Official Representation Funds (ORF).**

3.1. Background. The Air Force uses Official Representation Funds (ORF) to uphold the standing and prestige of the United States by extending official courtesies to certain officials and dignitaries of the United States and foreign countries. Accordingly, AU Protocol maintains the AU Commander's Official Representation Fund (ORF), which is budgeted on a fiscal year basis. The AU Commander is the only person on Maxwell AFB who can authorize the use of these funds and is referred to as the designated authority.

3.2. Policy. AFI 65-603, *Official Representation Funds*, governs the use of ORF and should be referred to for guidance on authorized and unauthorized expenditures of ORF.

3.3. Annual Budget Input. In February of each fiscal year, AU Protocol prepares an Official Representation Fund Spending Plan for the upcoming fiscal year and submits it to HQ AU/FM for HQ AETC approval.

3.4. Requesting ORF Expenditure and Obligation of Budgeted Funds. Refer to AFI 65-603 before submitting a request to expend or obligate ORF to determine the legality or propriety of the request. If there is any question about the appropriateness of the expenditure, AU Protocol personnel will contact AU/FM to obtain guidance on the request. If the proposed expenditure is allowed, the following procedures apply:

3.4.1. To request approval to spend Official Representation Funds, submit an AU Form 53, *Official Representation Funds Expenditure Request/Report* (used when requesting contingency funds of any amount), to AU Protocol as soon as the requirement is known, but no later than 7 duty days before the visit or event requiring the expenditure. Circle "Request" at the top of the form. All blocks on the AU Form 53 must be filled in or it will be returned to the submitting organization for correction. Refer to the sample and detailed instructions at Attachment 3 and Figure A3.1. Where applicable, include a proposed guest list with name and position or title of invitees. Proposed guest list should be broken out into DOD/Non-DOD categories (Attachment 4). Additionally, provide a list of any attendees not being paid for by ORFs. This list should also contain the name, title and whether they are DOD/Non-DOD. AU Protocol will route the AU Form 53 for approval and call the submitting office when approved. Make no purchase or commitment on the part of the government before receiving approval notification from AU Protocol. A Government Purchase Card (GPC) cardholder on the AU Protocol account may make purchases after notification that the AU Form 53 is approved. Those organizations that do not have a GPC cardholder on the AU Protocol account must make arrangements with an AU Protocol cardholder to make the purchase. Forty-eight-hour advance notice is required if AU Protocol will be required to make the purchase. Follow all applicable GPC purchase guidelines.

3.4.2. AFI 65-603 requires that a report detailing final costs and actual attendees be submitted following events or visits involving ORF expenditures. To report ORF expenditures, submit an AU Form 53 to AU Protocol no later than 3 days following visit or event. Circle "Report" at the top of the form. Refer to detailed instructions at Attachment 5 and Figure A5.1.

#### **4. Special Morale and Welfare Funds (SM&W).**

4.1. When to use SM&W Funds. In certain instances, SM&W Funds are authorized when hosting visitors or conducting an official ceremony. Examples for authorized use are: light refreshments and flowers for spouse at promotion ceremonies; light refreshments and flowers for spouse at retirement ceremonies; mementos for Government personnel. Refer to AFI 34-201, *Use of Nonappropriated Funds (NAFS)*, and the *Commander's Guide to Special Morale and Welfare Related Expenditures*, published by HQ AETC/A1SR, for specific guidance.

4.2. NAF Form 90. If SM&W funds are authorized, submit a NAF Form 90, *Special Morale and Welfare (SM&W) Funding Request* (used to request non-appropriated funds of any amount), to 42 FSS/FSR, 42 FSS/FSR will forward through the appropriate approval offices, including the final approval authority, 42 FSS/CC. When 42 FSS/CC has completed review and approved or disapproved the NAF Form 90, they will email/fax the submitting office a copy, or call the submitting office for pick-up. For specific guidance on submitting NAF Form 90 contact 42 FSS/FSR.

**5. Air University Mementos.** Air University Protocol maintains an inventory of ORF (appropriated funds) and Special Morale and Welfare (SM&W) (Nonappropriated funds) mementos for the Air University Commander's use. When there is to be a memento exchange during a visit, or it is deemed appropriate for the Air University Commander or his representative to present a memento, the Project Officer or OPR will fill out an AU Form 21 (used when there is to be a memento exchange during a DV visit) (see Attachment 7 and Figure A7.1) to request memento(s). Once the AU Form 21 is approved by the Chief or Deputy Chief of Protocol, the Air University Memento Custodian will pull the memento from the inventory and update all records accordingly. If the memento needs to be returned to inventory, Project Officer or OPR will fill out AU Form 21 (See Attachment 8 and Figure A8.1) to return the memento to the appropriate inventory.

**6. Air University Protocol Sharepoint Site.** Air University's dynamic protocol environment drives innovation and a continuous effort to increase the quality and efficiency of processes and products used when handling thousands of visitors each year. To that end, in an effort to provide the latest AU/CC preferences, templates, and examples that will help project officers in their event or visit planning, AU Protocol has moved these items to its AU Protocol SharePoint® site on Maxwell Intranet. It is here that POCs have a wide range of tools that will help in preparations for ceremonies, visits, and other protocol events. These products will be updated on a recurring basis by AU Protocol as required or when a better product is devised. AU organizations are highly encouraged to visit and utilize the site.

DAVID S. FADOK, Lieutenant General, USAF  
Commander and President

**Attachment 1****GLOSSARY OF TERMS AND SUPPORTING INFORMATION*****References***

AFPD 34-12, Air Force Protocol, 28 October 2011

AFI 34-201, *Use of Nonappropriated Funds (NAFS)*, 17 June 2002

AFI 65-603, *Official Representation Funds*, 24 August 2011

AETCI 90-101, *Notification of Distinguished Visitors to AETC Installations*, 5 August 2014

AUI 16-102, *International Programs*, 25 May 2011

***Prescribed Forms***

AU Form 21, *Memento Request/Return*

AU Form 53, *Official Representation Funds Expenditure Request/Report*

AU Form 88, *AU Distinguished Visitor Notification*

***Adopted Forms***

AF Form 847, *Recommendation for Change of Publication*

NAF Form 90, *Special Morale and Welfare (SM&W) Funding Request*

***Abbreviations and Acronyms***

**AETC**—Air Education and Training Command

**AU**—Air University

**CMSAF**—Chief Master Sergeant of the Air Force

**DOD**—Department of Defense

**DV**—Distinguished Visitor

**GPC**—Government Purchase Card

**IMT**—Information Management Tool

**IOS**—International Officer School

**NLT**—No Later Than

**OCR**—Office of Collateral Responsibility

**OPR**—Office of Primary Responsibility

**ORF**—Official Representation Funds

**SM&W**—Special Morale and Welfare

**Space-A**—Space Available Lodging

**TDY**—Temporary Duty



*Terms*

**AU Form 88**—A required DV Notification form used to notify AU and AETC protocol offices of a DV visit.

**AU Special Event**—An approved event beyond the official entertainment of a DV such as anniversary events, conferences, banquets, dedications, etc.

**Brett Hall**—The primary DV quarters on Maxwell AFB (Bldg 119) comprised of 16 rooms on two floors.

**Distinguished Visitor (DV)**—Any visitor of DV Code 1–6.

**Escort Officer**—The primary person assigned to accompany a DV from place to place.

**Host Officer**—The senior AU representative for a DV visit, usually the AU commander or the commander or commandant (or designee) of the organization the DV is visiting.

**Itinerary**—A detailed agenda of the DV's schedule listing the time, place, events and key personnel from arrival to departure.

**Office of Collateral Responsibility (OCR)**—The organization or agency having coordinating responsibilities for a DV event, visit or ceremony.

**Office of Primary Responsibility (OPR)**—The organization or agency having primary responsibility for a DV event, visit or ceremony.

**Official Ceremony/Event**—Air Force or sister-service sanctioned retirement/change of command/promotion ceremony or event. Includes events sponsored by civic leaders/groups.

**Official Representation Funds**—These are appropriated funds allocated to the Air University Commander to extend official courtesies to certain approved individuals as identified in AFI 65-603, *Official Representation Funds*. Use of these funds must be pre-approved via the AU Form 53, *Official Representation Funds Expenditure Request/Report*.

**On-Call Officer**—Air University Protocol individual on-call for a one-week period, responsible for DV4 and above arrivals/departures and unexpected DV arrivals/departures at Maxwell Base Operations.

**Project Officer**—The primary point of contact for a DV visit or event, and the person responsible for creating, managing, modifying, printing and distributing the DV itinerary.

**Protocol Officer**—If different than the Project Officer, this person, from the Protocol Office, is responsible for the visit details to include meals, lodging, parking, transportation, and providing ceremony guidance (if required).

**Protocol Week**—The protocol week begins on Saturday and ends on Friday of the following calendar week.

**Space Available Lodging (Space A)**—Lodging in base facilities available at time of registration; reservations not accepted.

Attachment 2

EXAMPLE AU FORM 88, AU DISTINGUISHED VISITOR NOTIFICATION

Figure A2.1. Example AU Form 88.

AU DISTINGUISHED VISITOR NOTIFICATION			
<input checked="" type="checkbox"/> INITIAL NOTIFICATION <input type="checkbox"/> REVISED NOTIFICATION <input type="checkbox"/> VISIT CANCELLED			
1. FULL NAME (Last, First, MI) Dover, John C.	2. GO-BY NAME Charlie	3. GRADE AND DV CODE Maj Gen/DV-5	4. MILITARY BRANCH Air Force
5. COMPLETE DUTY TITLE (No Abbreviations) Commander, 12th Training Wing		6. ACTIVE OR RETIRED Active	7. DUTY PHONE (000) 000-0000
8. DUTY STATION Joint Base San Antonio, TX	9. MAJCOM AETC	10. CITY AND STATE San Antonio	11. COUNTRY (If not USA)
12. ACCOMPANIED BY (Grade, Full Name, Duty Title) Lt Col Gary Goodson, Chief, Commander's Action Group Maj Isabel Sharpe, Aide-De-Camp			
13. DATE OF ARRIVAL Dec 17, 2014	14. TIME OF ARRIVAL 0900	15. PLACE OF ARRIVAL Maxwell Base OPS	16. MODE OF TRAVEL MIL AIR
17. DATE OF DEPARTURE Dec 18, 2014	18. TIME OF DEPARTURE 0800	19. PLACE OF DEPARTURE Montgomery Regional Airport	20. MODE OF TRAVEL Com Air
21. VISITING BASE Maxwell AFB	22. CITY AND STATE Montgomery AL	23. HOSTING ORGANIZATION Air War College	24. DUTY PHONE FOR HOST POC (000) 000-0000
25. SPECIFIC PURPOSE OF DV VISIT (Spell out all acronyms) Guest speaker at Air War College and Air Command and Staff College		26. PURPOSE OF VISIT IS <input checked="" type="checkbox"/> OFFICIAL AU <input type="checkbox"/> OFFICIAL NON-AU <input type="checkbox"/> LEISURE	
27. DV BILLETED <input type="checkbox"/> OFF BASE <input checked="" type="checkbox"/> ON BASE	28. GUEST ADDED TO DV TRACKER <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		29. HOST UNIT FOR DV Air War College
30. GRADE/NAME OF ESCORT/POC Col Robert Smith	31. DUTY CELL PHONE FOR HOST POC (000) 000-0000	32. DATE Dec 2, 2014	
33. ADDITIONAL CUSTOMER REQUESTS OR COMMENTS			
34. SEND NOTIFICATION TO AU PROTOCOL OFFICE: DSN: 493-2095 / COMM: 334-953-2095 / FAX: 334-953-2225			Submit by Email
<b>FOR AU PROTOCOL USE ONLY</b>		DATE RECEIVED	DATE PROCESSED
ADDITIONAL PROTOCOL COMMENTS			

AU FORM 88, XXXXXXXX

**Attachment 3****INSTRUCTIONS FOR AU FORM 53, OFFICIAL REPRESENTATION FUNDS  
EXPENDITURE REQUEST/REPORT, TO SUBMIT A REQUEST****A3.1. When using form to REQUEST EXPENDITURE**

A3.1.1. Refer to AFI 65-603 for guidance on authorized use of Official Representation Funds (ORF). If, after reviewing this publication, you believe your expenditure is authorized, follow the procedures below to request permission to spend ORFs.

A3.1.2. Fill out AU Form 53. Circle "Request" on the form. Please fill out separate forms for each event, i.e., if you are going to entertain a DV for breakfast and lunch, submit two separate forms. It is not necessary to submit forms for each person. (See Figure A3.1.)

A3.1.3. Submit AU Form 53 to AU Protocol ORF Resource Advisor NLT **7 working days** prior to the event.

A3.1.4. The following information **MUST** be filled in on the AU Form 53, or it will be returned to the originator for correction.

A3.1.4.1. BLOCK 1: Originator's name, office symbol, and phone number.

A3.1.4.2. BLOCK 2: State the purpose of your request.

A3.1.4.3. BLOCK 3: Full name, rank and duty title of Guest of Honor. If no formal duty title is appropriate, use function the guest will perform, i.e., Gen Ronald 4-Star, USAF, Retired, Guest Speaker, Squadron Officer College. If guest of honor is a group, in Block 5, state (*example*) "Members, 2003 Maxwell-Gunter-Montgomery Partners – SEE ATTACHED," and attach a complete list of the names, ranks, and duty titles of each member.

A3.1.4.4. BLOCK 4: Self-explanatory. (Usually AU/CC or AU/CV)

A3.1.4.5. BLOCK 5: Self-explanatory.

A3.1.4.6. BLOCK 6: Self-explanatory.

A3.1.4.7. BLOCK 7: LEAVE BLANK – AU Protocol will assign this number.

A3.1.4.8. BLOCK 8: Provide the number of DoD guests who will be paid for with ORFs. NOTE: DoD personnel are active duty military and civilian employees of DoD and Coast Guard, students of the military academies, reservists on active duty, members of the National Guard, former military and civilian employees of DoD not holding a position of prominence in the Non-DoD community, and spouses of those in the preceding categories. Former DoD members, military or civilian, who held the rank or a position equivalent to four stars are the only former DoD members authorized to be hosted with ORF unless they now hold a position of prominence in the non-DoD community eligible for the use of ORF as outlined in AFI 65-603. They and their spouses should be counted as Non-DoD. The total and percentages will be automatically calculated for you. Ratios must be in accordance with AFI 65-603.

A3.1.4.9. BLOCK 9: Self-explanatory.

A3.1.4.10. BLOCK 10: Enter the category of entertainment. If in doubt, consult AFI 65-603, para 4. Ensure the category you mark corresponds with your guest(s) of honor, i.e., if guest of honor is member of local community, DV Category should be "Community Relations." If visitor is from outside your local area, DV Category should be "Public Relations." If the purpose of your request is to purchase mementos, mark the "Other" block, and type in "Memento Purchase."

A3.1.4.11. BLOCK 11: Enter a description of the item(s) you intend to purchase. Enter separate amounts for food, beverages, perishable centerpiece, memento, other. You MUST include a quantity and unit price. The Total and Grand Total will automatically be calculated for you.

A3.1.4.12. BLOCK 12: Contact AU Protocol Resource Advisor.

A3.1.4.13. BLOCK 13: LEAVE BLANK. This block will be signed by a Certifying Officer in the Accounting Liaison Office.

A3.1.4.14. BLOCK 14: Signature block of current Air University Commander.

A3.1.4.15. BLOCK 15: Leave blank on ***REQUESTS FOR EXPENDITURE***.

A3.1.4.16. BLOCK 16: Leave blank on ***REQUESTS FOR EXPENDITURE***.

A3.1.4.17. BLOCK 17: Use this section to list invited guests, if possible. If you have more guests than you can list in this section, type in "GUEST LIST ATTACHED." You may also use this section for further explanation of the purpose of your request, or to further define who your guest of honor is.

A3.1.5. Guest Lists: You MUST submit a proposed guest list with your request for expenditure. The guest list should include all guests whose meal will be paid for from Official Representation Funds. The list must include full name, rank, and title. If spouses are invited, it is acceptable to list "Lt Gen Joe Smith, Commander, Air University, and Mrs. Jane Smith."

A3.1.5.1. Guest lists must be broken out into DoD personnel/Non-DoD personnel (see BLOCK 10 above). The guest list will include guest(s) of honor and the host(s). (See Attachment 4) NOTE: The number and category (DoD/Non-DoD) of guests you list MUST match the number listed in BLOCK 8.

A3.1.5.2. Additionally, you must include a list of any personnel invited but not paid for with ORF. These personnel are not counted in your ratios.

**A3.2.** Once AU Protocol receives your AU Form 53 and checks for accuracy/validity, it will be processed through the appropriate approval authorities. When/if your AU Form 53 has been approved, the AU Protocol ORF Resource Advisor will notify you. If you have not received notification prior to your event, please call AU Protocol. Do not spend funds until you are notified your AU Form 53 has been approved.

A3.2.1. It is important to stress that the approval process takes time. It is imperative that AU Protocol receive Requests for Expenditure at least 7 working days in advance of the function. If ANY block on the AU Form 53 is not filled in, or if there is incomplete/inaccurate information, the form will be returned to the originator for correction.

**A3.3.** AU Protocol will not be responsible for ensuring AU Forms 53 get processed prior to an event if the form is not received at least 7 working days in advance of the function. If received less than 7 days from the event, the originator will be asked to hand-carry the AU Form 53 through the appropriate approval channels.

**A3.4.** If the AU Form 53 is approved, but the originator is not a GPC cardholder, a cardholder from AU Protocol will be required to accompany the event coordinator shopping to purchase required items or make payment (if required), or go to the location where the event will be held to pay the bill. If an AU Protocol cardholder will be required to accompany the event coordinator to purchase required items, 48-hour advance notice is required. Follow all applicable GPC purchase guidelines.

Figure A3.1. Example AU Form 53, Official Representation Funds Expenditure Request

TO: HEADQUARTERS AIR UNIVERSITY OFFICE OF PROTOCOL (AU/PC)		<b>OFFICIAL REPRESENTATION FUNDS EXPENDITURE (REQUEST) REPORT</b>		(1) FROM: AWC/CCP Joni Grant, 953-2492	
(2) PURPOSE OF FUNDS REQUEST To pay for meals and beverages for guests attending dinner in honor of The Honorable Tracy Johnson, Mayor of Montgomery, guest speaker at Air War College, 2 Nov 11					
(3) GUEST(S) OF HONOR (Full Name and Title) The Honorable Tracy Johnson Mayor of Montgomery			(4) HOST (Full Name and Title) KELLY D. WALTERS, Lt Gen, USAF Commander & President, Air University		
(5) PLACE OF FUNCTION (If Applicable) Maxwell Officers' Club, Daedalian Room		(6) DATE/TIME 2 Nov 11/1830		<b>PROTOCOL USE ONLY</b> (7) PROTOCOL VOUCHER NUMBER [LEAVE BLANK - FILLED IN BY AU PROTOCOL]	
(8) GUEST RATIOS (Estimate) (Attach Invited Guest List) DOD GUESTS: 4      30.769 % NON-DOD GUESTS: 9      69.230 % TOTAL: 13      100 %		(9) MENU (If Applicable) Prime Rib Baked Potato Steamed Vegetables Tossed Salad Rolls/Butter		(10) DV CATEGORY (Check One) DOD PROTOCOL <input type="checkbox"/> COMMUNITY RELATIONS <input checked="" type="checkbox"/> PUBLIC RELATIONS <input type="checkbox"/> INTERNATIONAL <input type="checkbox"/> OTHER: _____	
<b>(11) ITEMIZED ESTIMATE COST OF EXPENDITURE</b>					
<b>DESCRIPTION</b>		<b>QUANTITY</b>	<b>UNIT PRICE</b>	<b>TOTAL</b>	
Meals		13	\$25.00	\$325.00	
Beverages		26	\$4.00	\$104.00	
<b>GRAND TOTAL:</b>				<b>\$429.00</b>	
(12) ACCOUNTING CLASSIFICATION 5763400 306 6447 ED891Q 04 61950 667100					
<b>CERTIFICATION OF FUNDS AVAILABILITY (ACCOUNTING LIAISON OFFICE)</b>					
(13) NAME & GRADE [LEAVE BLANK - SIGNED BY CERTIFYING OFFICER IN ALO]		SIGNATURE		DATE	
<b>APPROVAL OF EXPENDITURE</b>					
(14) NAME & GRADE KELLY D. WALTERS, Lt Gen, USAF Commander & President, Air University		SIGNATURE		DATE	
<b>REPORT OF ACTUAL EXPENDITURES/FINAL GUEST LIST (**TO BE COMPLETED AFTER VISIT/EVENT**)</b>					
(15) GUEST RATIOS (Actual) (Attach Final Attendee List)  DOD GUESTS: _____ % NON-DOD GUESTS: _____ % TOTAL: _____ %			(17) REMARKS (Final attendee list may be reflected here if possible)  INVITED GUEST LIST - SEE ATTACHED		
(16) FINAL EXPENDITURE COST (Attach Copy of Receipt)					
<b>NOTE: FULL GUEST LIST INCLUDING NAME, RANK, AND DUTY TITLE IS REQUIRED FOR APPROVAL AND ORIGINAL RECEIPT OR VOUCHER IS REQUIRED FOLLOWING FUNCTION OR PURCHASE. REFER TO AFI 65-603 FOR GUIDANCE ON APPROPRIATED FUND USE.</b>					

**Attachment 4**

**EXAMPLE INVITEE LIST**

**INVITEE LIST**

**DINNER IN HONOR OF**

**THE HONORABLE TRACY JOHNSON, MAYOR OF MONTGOMERY**

**2 NOV 11**

*DoD*

Lt Gen Kelly D. Walters, Commander & President, Air University

Maj Gen Robert T. Edwards, Commandant, Air War College

Brig Gen Ronald D. Hawthorne, Commander, Holm Center

Brig Gen Francis P. Fulton, Commandant, Air Command and Staff College

*Non-DoD*

The Honorable Tracy L. Johnson, Mayor of Montgomery

Mr. Walter Higgins, Wright Flyer (Chairman, Enstar)

Mr. Harris Langley, MGM Partner and Wright Flyer (CEO, The Barclay Agency)

Mrs. Noelle Brown, Military and Federal Affairs, Montgomery Area Chamber of Commerce

Mr. James Wright, MGM Partner and Wright Flyer

Mrs. Victoria Willis, MGM Partner and Wright Flyer (President, Anchor Mortgage)

Mr. Larry Quarles, MGM Partner and Wright Flyer (Executive Assistant to the Mayor of the City of Montgomery)

The Hon. Thaddeus Harris, Chairman, Montgomery County Commission

Chief Mallory Meadows, Chief of Police, Montgomery Police Department

**Attachment 5****INSTRUCTIONS FOR AU FORM 53, OFFICIAL REPRESENTATION FUNDS  
EXPENDITURE REQUEST/REPORT, TO SUBMIT A REPORT****A5.1. When using form to REPORT EXPENDITURE:**

A5.1.1. Fill out AU Form 53. Circle "Report" on the form. If you originally submitted two different forms for one DV visit/event, it is necessary to fill out two separate AU Forms 53. (See Figure A5.1.)

A5.1.2. Submit AU Form 53 to AU Protocol ORF Resource Advisor NLT 3 **working days** following the event.

A5.1.3. The following information **MUST** be filled in on the AU Form 53, or it will be returned to the originator for correction.

A5.1.3.1. BLOCK 1: Originator's name, office symbol, and phone number.

A5.1.3.2. BLOCK 2: State the purpose of your request.

A5.1.3.3. BLOCK 3: Full name, rank and duty title of Guest of Honor. If no formal duty title is appropriate, use function the guest will perform, i.e., Gen Ronald Fogleman, USAF, Retired, Guest Speaker, Squadron Officer College. If guest of honor is a group, in Block 5 state (*example*) "Members, 2003 Maxwell-Gunter-Montgomery Partners – SEE ATTACHED," and attach a complete list of the names, ranks, and duty titles of each member.

A5.1.3.4. BLOCK 4: Same as on Request form.

A5.1.3.5. BLOCK 5: Same as on Request form.

A5.1.3.6. BLOCK 6: Same as on Request form.

A5.1.3.7. BLOCK 7: Use number assigned to request form by AU Protocol.

A5.1.3.8. BLOCK 8: Leave blank on Report of Expenditure form.

A5.1.3.9. BLOCK 9: Same as on REQUEST form.

A5.1.3.10. BLOCK 10: Use same category reflected on Request for Expenditure form.

A5.1.3.11. BLOCK 11: Same as on Request form.

A5.1.3.12. BLOCK 12: Same as on Request form.

A5.1.3.13. BLOCK 13: Leave blank on Report of Expenditure form.

A5.1.3.14. BLOCK 14: Leave blank on Report of Expenditure form.

A5.1.3.15. BLOCK 15: Use this block to report actual attendees paid with ORF by DoD/Non-DoD category.

A5.1.3.16. BLOCK 16: Use this block to report the total amount of funds expended for this Report of Expenditure form. Attach a copy of the receipt.

A5.1.3.17. BLOCK 17: Use this block to list actual attendees paid for from ORF at the event, if possible. If you have more attendees than you can list in this section, type in



“ACTUAL ATTENDEES PAID FOR FROM ORF - LIST ATTACHED,” and attach a copy of the list of people who actually attended the event. The same rules apply to this list, i.e., full name, rank, duty title, and DoD/Non-DoD. NOTE: The number and category (DoD/Non-DoD) of guests you list MUST match the number listed in BLOCK 15.

**A5.2.** Additionally, attach a list of personnel who attended but were not paid for with ORF.

Figure A5.1. Example AU Form 53, Official Representation Funds Expenditure Report

TO: HEADQUARTERS AIR UNIVERSITY OFFICE OF PROTOCOL (AU/PC)		OFFICIAL REPRESENTATION FUNDS EXPENDITURE REQUEST <b>REPORT</b>		(1) FROM: AWC/CCP Joni Grant, 953-2492	
(2) PURPOSE OF FUNDS REQUEST To pay for meals and beverages for guests attending dinner in honor of The Honorable Tracy Johnson, Mayor of Montgomery, guest speaker at Air War College, 2 Nov 11					
(3) GUEST(S) OF HONOR (Full Name and Title) The Honorable Tracy Johnson Mayor of Montgomery			(4) HOST (Full Name and Title) KELLY D. WALTERS, Lt Gen, USAF Commander & President, Air University		
(5) PLACE OF FUNCTION (If Applicable) Maxwell Officers' Club, Daedalian Room			(6) DATE/TIME 2 Nov 11/1830		<b>PROTOCOL USE ONLY</b>
					(7) PROTOCOL VOUCHER NUMBER [LEAVE BLANK - FILLED IN BY AU PROTOCOL]
(8) GUEST RATIOS (Estimate) (Attach Invited Guest List)		(9) MENU (If Applicable)		(10) DV CATEGORY (Check One)	
DOD GUESTS: 4 30.769 %		Prime Rib		<input type="checkbox"/>	
NON-DOD GUESTS: 9 69.230 %		Baked Potato		<input checked="" type="checkbox"/>	
TOTAL: 13 100 %		Steamed Vegetables		<input type="checkbox"/>	
		Tossed Salad		<input type="checkbox"/>	
		Rolls/Butter		OTHER: _____	
(11) ITEMIZED ESTIMATE COST OF EXPENDITURE					
DESCRIPTION		QUANTITY	UNIT PRICE	TOTAL	
Meals		13	\$25.00	\$325.00	
Beverages		26	\$4.00	\$104.00	
				GRAND TOTAL: \$429.00	
(12) ACCOUNTING CLASSIFICATION 5763400 306 6447 ED891Q 04 61950 667100					
CERTIFICATION OF FUNDS AVAILABILITY (ACCOUNTING LIAISON OFFICE)					
(13) NAME & GRADE [LEAVE BLANK - SIGNED BY CERTIFYING OFFICER IN ALO]		SIGNATURE		DATE	
APPROVAL OF EXPENDITURE					
(14) NAME & GRADE KELLY D. WALTERS, Lt Gen, USAF Commander & President, Air University		SIGNATURE		DATE	
REPORT OF ACTUAL EXPENDITURES/FINAL GUEST LIST (**TO BE COMPLETED AFTER VISIT/EVENT**)					
(15) GUEST RATIOS (Actual) (Attach Final Attendee List)			(17) REMARKS (Final attendee list may be reflected here if possible)		
DOD GUESTS: 3 42.857 %			Lt Gen Kelly D. Walters, Commander & President, Air University, DoD Maj Gen Robert T. Edwards, Commandant, Air War College, DoD Brig Gen Francis P. Fulton, Commandant, Air Comd & Staff College, DoD Hon. Tracy Johnson, Mayor of Montgomery, Non-DoD Chief Mallory Meadows, Chief of Montgomery Police Dept, Non-DoD Mr. Walter Higgins, Chairman, Enstar, Non-DoD Mr. Harris Langley, CEO, The Barelay Agency, Non-DoD		
NON-DOD GUESTS: 4 57.142 %					
TOTAL: 7 100 %					
(16) FINAL EXPENDITURE COST (Attach Copy of Receipt) \$200.00					
NOTE: FULL GUEST LIST INCLUDING NAME, RANK, AND DUTY TITLE IS REQUIRED FOR APPROVAL AND ORIGINAL RECEIPT OR VOUCHER IS REQUIRED FOLLOWING FUNCTION OR PURCHASE. REFER TO AFI 65-603 FOR GUIDANCE ON APPROPRIATED FUND USE.					

## Attachment 6

### INSTRUCTIONS FOR AU FORM 21, *MEMENTO REQUEST/RETURN* (REQUEST)

#### A6.1. When using form to *REQUEST A MEMENTO*:

A6.1.1. Refer to AFI 65-603 for guidance on who is authorized to receive mementos from Official Representation Funds (ORF) and the appropriate authorized spending limit (aggregate cost of mementos and gifts presented to an authorized guest, including spouse as appropriate, may not exceed \$350.00 (non-DoD guest) or \$50.00 (DoD guest), per AFI 65-603.

A6.1.1.1. ORF is typically used for Community Leaders/Downtowners, Congressmen, etc.

A6.1.1.2. Refer to AETC Commander's Guide for Special Morale and Welfare (SM&W) for guidance on who is authorized to receive mementos from SM&W funds. The appropriate authorized spending limit may not exceed \$20.00 per AFI 34-201. SM&W is typically used for Military and DoD staff.

A6.1.2. Fill out AU Form 21, *Protocol Memento Request/Return*. Check "Request" on the top of the form. If all recipients are members of the same event, it is not necessary to submit separate forms for each person or for each memento requested. (See Figure A7.1.)

A6.1.3. Submit AU Form 21 to AU Memento Custodian NLT **3 working days** prior to the event.

A6.1.4. The following information **MUST** be filled in on the AU Form 21, or it will be returned to the originator for correction.

A6.1.4.1. SECTION 1: Blocks 1-5: Self explanatory.

A6.1.4.2. SECTION 2:

A6.1.4.2.1. Blocks 6-9: Self explanatory.

A6.1.4.2.2. Block 10: Check whether the memento requested comes from ORF or SMW funds. Repeat this procedure for each person in the event receiving a memento.

A6.1.4.2.3. Block 11: Mark the quantity of the mementos you are requesting. Repeat this procedure for each person in the event receiving a memento.

A6.1.4.2.4. Block 12, "REASON FOR ACTION": State the purpose of your request.


A6.1.4.3. SECTION 3: "APPROVER'S INFORMATION": Blocks 13-15 to be completed **ONLY** by the Chief or Deputy Chief of AU Protocol. This approval must be obtained before the Memento Custodian will issue you the requested memento. If this block is not completed the form will be returned for you to obtain the appropriate signature.

A6.1.4.4. SECTION 4: "MEMENTO CUSTODIAN'S INFORMATION": Mementos will only be issued by the Memento Custodian or the Alternate Memento Custodian (Block 16).

A6.1.4.4.1. The requestor of the memento will sign in Block 17 and enter the date of receipt in Block 18.

A6.1.4.4.2. Block 19 will be dated when the memento custodian enters the transaction into the memento log.

**Figure A6.1. Example AU Form 21, Memento Request/Return (Request)**

MEMENTO REQUEST <input checked="" type="checkbox"/> RETURN <input type="checkbox"/>					
I. MEMBER'S INFORMATION					
1. NAME (Last, First)	2. RANK/GRADE	3. ORGANIZATION	4. DATE REQUIRED	5. DATE RETURNED	
Smith, John	MSgt	AU/CCP	1 Jan 2011		
II. MEMENTO RECIPIENT'S INFORMATION					
6. NAME (Last, First)	7. RANK/GRADE	8. FULL TITLE	9. TYPE OF MEMENTO	10. FUND	11. QTY
Wood, Justin	Maj Gen	Commander of Air Warfare Center	Crystal token box with AU logo (Crystal AU Etched Box)	ORF <input type="checkbox"/> SM & W <input checked="" type="checkbox"/>	1
				ORF <input type="checkbox"/> SM & W <input type="checkbox"/>	
				ORF <input type="checkbox"/> SM & W <input type="checkbox"/>	
				ORF <input type="checkbox"/> SM & W <input type="checkbox"/>	
				ORF <input type="checkbox"/> SM & W <input type="checkbox"/>	
<b>12. REASON FOR ACTION</b> A memento presented to Maj Gen Wood, Commander of Air Warfare Center at Nellis AFB NV by Lt Gen Kelly Walters, AU Commander, for hosting the Civic Leader Tour on 27 & 28 June 2011.					
III. APPROVER'S INFORMATION					
13. APPROVED BY:	14. SIGNATURE	15. DATE			
<input type="checkbox"/> CHIEF OF PROTOCOL <input type="checkbox"/> DEPUTY CHIEF OF PROTOCOL					
IV. MEMENTO CUSTODIAN'S INFORMATION					
16. ISSUED BY	17. RECEIVED BY	18. DATE	19. DATE LOGGED IN INVENTORY		

## Attachment 7

### INSTRUCTIONS FOR AU FORM 21, *MEMENTO REQUEST/RETURN* (RETURN)

#### A7.1. When using form to *RETURN A MEMENTO*

A7.1.1. Fill out AU Form 21, *Protocol Memento Request/Return*. Check “Return” on the top of the form. If all recipients are members of the same event, it is not necessary to submit separate forms for each person or for each memento returned. (See Figure A8.1.)

A7.1.2. Submit AU Form 21 to AU Memento Custodian with the memento to be returned NLT **3 days** following the event.

A7.1.3. The following information **MUST** be filled in on the AU Form 21, or it will be returned to the originator for correction.

A7.1.3.1. SECTION 1: Blocks 1-5: Self explanatory.

A7.1.3.2. SECTION 2:

A7.1.3.2.1. Blocks 6-9: Self explanatory.

A7.1.3.2.2. Block 10: Check whether the memento returned came from ORF or SM&W funds. Repeat this procedure for each person in the event returning a memento.

A7.1.3.2.3. Block 11: Mark the quantity of the mementos you are returning in. Repeat this procedure for each person in the event returning a memento.

A7.1.3.2.4. Block 12, “REASON FOR ACTION”: State the purpose of your return.


A7.1.3.3. SECTION 3: “APPROVER’S INFORMATION”: To be completed **ONLY** by the Chief or Deputy Chief of AU Protocol. This approval must be obtained before the Memento Custodian can return the memento to the inventory. If this block is not completed the form will be returned for you to obtain the appropriate signature.

A7.1.3.4. SECTION 4: “MEMENTO CUSTODIAN’S INFORMATION”: The memento will only be returned to the primary or alternate memento custodian (Block 16).

A7.1.3.4.1. The member returning the memento will sign Block 17 and date the form in Block 18.

A7.1.3.4.2. Block 19 will be dated when the memento custodian returns the memento back into the inventory and enters the transaction into the memento log.

Figure A7.1. Example AU Form 21, Memento Request/Return (Return)

MEMENTO REQUEST <input type="checkbox"/> RETURN <input checked="" type="checkbox"/>										
I. MEMBER'S INFORMATION										
1. NAME (Last, First) Smith, John	2. RANK/GRADE MSgt	3. ORGANIZATION AU/CCP	4. DATE REQUIRED	5. DATE RETURNED 27 Jan 2011						
II. MEMENTO RECIPIENT'S INFORMATION										
6. NAME (Last, First) Wood, Justin	7. RANK/GRADE Maj Gen	8. FULL TITLE Commander of Air Warfare Center	9. TYPE OF MEMENTO Crystal token box with AU logo (Crystal AU Etched Box)	10. FUND ORF <input type="checkbox"/> SM & W <input checked="" type="checkbox"/>	11. QTY 1					
				ORF <input type="checkbox"/> SM & W <input type="checkbox"/>						
				ORF <input type="checkbox"/> SM & W <input type="checkbox"/>						
				ORF <input type="checkbox"/> SM & W <input type="checkbox"/>						
				ORF <input type="checkbox"/> SM & W <input type="checkbox"/>						
12. REASON FOR ACTION Maj Gen Wood, Commander of Air Warfare Center at Nellis AFB NV cancelled his visit for AU Civic Leader Tour on 27 & 28 June 2011.										
III. APPROVER'S INFORMATION										
13. APPROVED BY: <input type="checkbox"/> CHIEF OF PROTOCOL <input type="checkbox"/> DEPUTY CHIEF OF PROTOCOL		14. SIGNATURE 			15. DATE					
IV. MEMENTO CUSTODIAN'S INFORMATION										
16. ISSUED BY			17. RECEIVED BY			18. DATE		19. DATE LOGGED IN INVENTORY		

**Attachment 8**

**TERMS FOR ATTIRE WITHIN AIR UNIVERSITY**

**A8.1.** A variety of terms are used for communicating the dress type for visits and events. The following is provided to help decipher what can sometimes be confusing, though it does not capture every conceivable combination. As always, if in doubt just call the event primary point of contact for clarification. Conservative is always better.

**Table A8.1. Terms for Attire within Air University**

<b>TERM</b>	<b>MALE</b>	<b>FEMALE</b>
“Formal”	Tuxedo	Long or short dress Cocktail dress Ball gown, as appropriate
“Business Suit”	Business Suit (matching jacket and slacks)	“Sunday” dress; suit
“Coat & Tie”	Sport jacket & tie	Dress; pants suit; skirt & blouse, optional jacket; dressy slacks & top
“Business Casual”	Dress slacks, open collar shirt; Sport coat or blazer optional	Dress; skirt & top; pants & top
“Slacks, Open Collar Shirt”	Typically Dockers-style pants, with polo or button-down shirt w/out tie	Pants & top; skirt & top
“Casual”	Dockers, Polo shirt—no jeans	Pants & top; skirt & top; knee-length, loose-fitting shorts, knit top