



## DoD INSTRUCTION 3201.01

# MANAGEMENT OF DoD RESEARCH AND DEVELOPMENT (R&D) LABORATORIES

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**Originating Component:** Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics

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**Releasability:** Cleared for public release. Available on the Directives Division Website at <https://www.esd.whs.mil/DD/>.

**Reissues and Cancels:** DoD Instruction 3201.01, "Management of DoD Research and Development Laboratories," January 3, 2006

**Approved by:** Frank Kendall, Under Secretary of Defense for Acquisition, Technology and Logistics

**Change 2 Approved by:** Michael P. Duffey, Chief of Staff, Office of the Under Secretary of Defense for Research and Engineering

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**Purpose:** In accordance with the authority in DoD Directive 5134.01, this issuance establishes policy and assigns responsibilities for the management of DoD R&D laboratories.

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## **SECTION 1: GENERAL ISSUANCE INFORMATION**

**1.1. APPLICABILITY.** This issuance applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this instruction as the “DoD Components”).

**1.2. POLICY.** It is DoD policy to:

- a. Maintain technological excellence in DoD R&D laboratories.
- b. Provide leadership to DoD R&D laboratories in the development and acquisition of needed military capabilities and ensure DoD R&D laboratories are properly supported and utilized by the Department.
- c. Provide R&D in-house laboratory management with the responsibility, authority, and flexibility to manage DoD R&D laboratories and technical programs, within available resources, to:
  - (1) Build and maintain the technical vitality of the laboratories.
  - (2) Maintain laboratory personnel resources at levels necessary to handle assigned missions.
  - (3) Provide modern facilities and equipment as appropriate to the laboratory missions.
  - (4) Lessen unnecessary delays and restrictions in the acquisition process.
- d. Maintain standards of DoD R&D laboratory personnel:
  - (1) Recognize and identify capability, skill, and creativity of personnel as valuable resources of DoD R&D laboratories.
  - (2) Reduce disruptive fluctuations in personnel requirements and grade-level distribution while providing challenging work and offering meaningful incentives.
  - (3) Foster opportunities for development, training, promotion, recognition, and reward on the basis of merit factors such as performance and ability.
- e. Support DoD R&D laboratory facilities and equipment upgrades by:
  - (1) Removal, whenever possible, of fiscal and accounting practices that constrain DoD laboratory modernization.

(2) Promoting productivity, energy efficiency, and cost avoidance through policies that provide modern facilities and equipment.

(3) Replacing equipment based on practices that recognize the rapid advances of technology and the facilities-limited nature of many areas of science and technology. Replacement practices must recognize the collaborative nature of R&D activities.

**1.3. SUMMARY OF CHANGE 2.** This change reassigns the office of primary responsibility for this issuance to the Under Secretary of Defense for Research and Engineering in accordance with the July 13, 2018 Deputy Secretary of Defense Memorandum.

## **SECTION 2: RESPONSIBILITIES**

**2.1. ASSISTANT SECRETARY OF DEFENSE FOR RESEARCH AND ENGINEERING (ASD(R&E)).** Under the authority, direction, and control of the Under Secretary of Defense for Acquisition, Technology, and Logistics, the ASD(R&E):

- a. Develops policy and provides guidance for the management of the DoD R&D laboratories.
- b. Acts as the OSD focal point for the coordination of the actions, decisions, guidance, planning, and resource allocations of the various offices in the OSD that impact the operations, conditions, and capabilities of DoD R&D laboratories.
- c. Takes action necessary to ensure DoD recommendations are used to improve R&D programs as well as the management of DoD R&D laboratories.
- d. Ensures various OSD offices establish policies and procedures that recognize the special roles, needs, and problems of DoD R&D laboratories.
- e. Removes institutional barriers that hinder the mission performance of the DoD R&D laboratories.

**2.2. SECRETARIES OF THE MILITARY DEPARTMENTS, DIRECTORS OF THE DEFENSE AGENCIES, AND OTHER HEADS OF THE DOD COMPONENTS.** The Secretaries of the Military Departments, Directors of the Defense Agencies, and other DoD Component Heads:

- a. Manage and oversee their respective R&D laboratories.
- b. Maintain a long-term management plan for their R&D laboratories that:
  - (1) Complies with the DoD Strategic Plan, as outlined in the Quadrennial Defense Review.
  - (2) Directly links the Military Department requirements, research, development, test, and evaluation programs and resource plans.
  - (3) Ensures the laboratories develop and maintain a level of technological expertise and leadership that meets military requirements essential for national security.
- c. Implement procedures to provide their R&D laboratories with the authority and capability to make timely and efficient acquisitions.
- d. Conduct periodic reviews and evaluations of their R&D laboratories. Evaluations should:

- (1) Identify constraints and impediments that hinder operations, and methods to address them.
- (2) Ensure laboratories are operated consistent with relevant federal laws, regulations, policy, and DoD policy, including U.S. export control laws, regulations, and related DoD international technology transfer policy in accordance with Department of Defense Instruction 2040.02.
- (3) Promote professionalism.
- (4) Improve the quality and efficiency of the laboratories operations and utilization.

## **GLOSSARY**

### **G.1. ACRONYMS**

ASD(R&E)	Assistant Secretary of Defense for Research and Engineering
R&D	research and development

**G.2. DEFINITIONS.** Unless otherwise noted, this term and its definition is for the purpose of this issuance.

**DoD R&D laboratories.** A facility or group of facilities owned, leased, or otherwise used by OSD, the Military Departments, the Defense Agencies, and all other organizational entities within the DoD towards research, development, or engineering by employees of the DoD. The term “laboratory” also is used in this issuance to apply to Warfare Centers, Research Development and Engineering Centers, System Centers, and similar entities.

## **REFERENCES**

- Deputy Secretary of Defense Memorandum, “Establishment of the Office of the Under Secretary of Defense for Research and Engineering and the Office of the Under Secretary of Defense for Acquisition and Sustainment,” July 13, 2018
- DoD Directive 5134.01, “Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)),” December 9, 2005, as amended
- DoD Instruction 2040.02, “International Transfers of Technology, Articles, and Services,” March 27, 2014, as amended
- Quadrennial Defense Review, current edition