SUBJECT: Principles and Operational Parameters of the DoD Scientific and Technical Information Program (STIP): Information Analysis Centers (IACs)

References: See Enclosure 1

1. PURPOSE

   a. Manual. This manual is composed of multiple volumes, each containing its own purpose. The purpose of the overall manual, in accordance with the authority in DoD Directive (DoDD) 5134.01 (Reference (a)), is to reissue DoD Instruction (DoDI) 3200.14 (Reference (b)) as a DoD manual. Its purpose is to implement policy, assign responsibilities, and prescribe procedures in accordance with DoDI 3200.12 (Reference (c)) to carry out the DoD STIP, and delineate the major elements of the DoD STIP, including the specific implementation of policy, responsibilities, principles, and operational parameters for each segment of that program.

   b. Volume. This volume describes the DoD IAC Program and implements its policy, principles, and concepts for procedural functions.

2. APPLICABILITY. This volume 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 volume as the “DoD Components”).

3. POLICY. This volume implements the policy in Reference (c).

4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. See Enclosures 3 through 6.
6. **RELEASABILITY.** Cleared for public release. This volume is available on the Directives Division Website at http://www.esd.whs.mil/DD/.

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

8. **EFFECTIVE DATE.** This volume is effective January 5, 2015.

Enclosures

1. References
2. Responsibilities
3. DoD IAC Program Overview
4. Implementation of Policy, Principles, and Concepts
5. Establishment of IACs
6. Disestablishment of IACs

Glossary
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ENCLOSURE 1

REFERENCES

(b) DoD Instruction 3200.14, “Principles and Operational Parameters of the DoD Scientific and Technical Information Program,” May 13, 1997, as amended (cancelled by Volume 1 of this manual)
(c) DoD Instruction 3200.12, “DoD Scientific and Technical Information Program (STIP),” August 22, 2013, as amended
(d) 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
(e) Office of Management and Budget Memorandum M-12-12, “Promoting Efficient Spending to Support Agency Operations,” May 11, 2012
(g) DoD 7000.14-R, “Department of Defense Financial Management Regulations (FMRs),” date varies by volume
(l) DoD Instruction 2040.02, “International Transfers of Technology, Articles, and Services,” March 27, 2014, as amended
(n) DoD Instruction 5535.8, “DoD Technology Transfer (T2) Program,” May 14, 1999
(o) DoD Instruction 5230.27, “Presentation of DoD-Related Scientific and Technical Papers at Meetings,” November 18, 2016, as amended
(r) Section 1535 of Title 31, United States Code, (also known as “The Economy Act”)
(s) DoD Instruction 8500.01, “Cybersecurity,” March 14, 2014

ENCLOSURE 2

RESPONSIBILITIES

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 (USD(AT&L)), the ASD(R&E):

   a. Maintains oversight of the IAC program, consistent with the policies and concepts of the DoD STIP, as defined in Reference (c).

   b. Approves or disapproves all proposals by DoD Components to establish or disestablish an IAC or make major changes in an IAC’s scope or subject area.

   c. Designates the sponsoring DoD Component for each IAC.

   d. Designates a DoD Component to provide a technology specialist to act as the technical monitor for each IAC.

   e. Monitors the IAC program, including periodic review of the performance of each IAC in meeting the prescribed goals and objectives in its defined area of interest.

   f. Provides program guidance, as necessary, to meet the intent of the program and promote the technology objectives of the DoD.

   g. Appoints a review board on a periodic, as needed basis to review each IAC.

2. ADMINISTRATOR, DEFENSE TECHNICAL INFORMATION CENTER (DTIC). Under the authority, direction, and control of the USD(AT&L) and through the ASD(R&E), the Administrator, DTIC:

   a. Provides coordination, planning, and integration of DoD-funded IACs.

   b. Establishes and sustains a comprehensive IAC program in support of DoD and federal science and technology programs.

   c. Develops and provides systems and services to assist or supplement IAC operations or programs to effect and promote resource sharing, joint approaches to common objectives and problems, and information exchange among the IACs, DTIC, and other Components of the STIP.

3. DoD COMPONENT HEADS. The DoD Component heads:
a. Provide their technical requirements to the IAC technical monitor, to assist in determining the scope, focus, and conduct of an IAC's technical activities.

b. Fully fund any IAC products and services from which they benefit, unless otherwise authorized by the sponsoring DoD Component. This includes direct costs for additional or special activities or tasks, as well as shared direct costs for basic or core activities that significantly benefit performance of additional or special activities or tasks. The sponsoring DoD Component determines shared direct costs.

c. Use the IACs when they may best meet the Component’s technical requirements.

d. Ensure that IACs routinely receive technical reports and data sets related to the IAC’s subject area of interest as part of the Component's primary distribution of technical information.

e. Encourage IAC input to technical symposiums sponsored by DoD Component heads in accordance with the provisions of Office of Management and Budget (OMB) Memorandum (Reference (e)), and consistent with the requirements of the Deputy Chief Management Officer memorandums (References (f)) and sections 320201 and 320202 of chapter 32, Volume 12 of DoD 7000.14-R (Reference (g)).

4. SPONSORING DoD COMPONENT HEADS. In addition to the responsibilities in paragraph 3 of this enclosure, sponsoring DoD Component heads:

a. Establish approved IACs in accordance with applicable law and regulations.

b. Provide continuous oversight and funding for each assigned IAC.

c. Support basic operations and core functions of assigned IACs.

d. Establish procedures for the collection of direct and indirect reimbursable costs for additional special activities or tasks from requiring organizations.

e. Review performance of the IACs in coordination with the technical monitor and the ASD(R&E) staff that oversees the IAC program.

f. Coordinate decisions to disestablish an IAC with the ASD(R&E).
ENCLOSURE 3

DoD IAC PROGRAM OVERVIEW

1. PURPOSE. The DoD establishes IACs to acquire, digest, analyze, evaluate, synthesize, store, publish, and distribute scientific and technical information (STI) and engineering data in a clearly defined specialized field or subject area of significant DoD interest or concern. Additionally IACs provide advisory and other user services to their authorized user community.

2. SCOPE. IACs are an integral part of the DoD STIP.

   a. IACs are distinguished from technical information centers or libraries. Center or library functions are concerned with providing reference to or access to technical documents themselves or technical information databases. IACs use a technically expert staff to assess and provide relevant technical information to meet a specific user need.

   b. Although an IAC normally maintains document or database collections, a significant differentiating aspect of an IAC is the use of scientists and engineers in an IAC-defined field or subject area to perform many of the IAC functions.

   c. IACs are established to support the DoD Acquisition Enterprise.

3. FUNCTIONS

   a. Basic or Core Activities

      (1) IACs are staffed by scientists, engineers, and information specialists who provide users with focused expert assistance and unbiased STI. They:

         (a) Establish and maintain comprehensive knowledge databases that include technical, scientific, and other data and information collected on a worldwide basis in their fields of interest.

         (b) Identify sources and assess the relevance of data held by others.

         (c) Coordinate closely with their sponsoring DoD technical communities and the DoD user community in general as a means to focus their efforts on topics of interest or concern to the DoD.

         (d) Collect, maintain, and develop analytical tools and techniques, including databases, models, and simulations.
(2) IACs are staffed with subject experts to provide in-depth analysis services and create specialized technical information products. IAC products are made to be reused to perform additional or special activities or tasks. IAC products and services include, but are not limited to:

- Abstracts and indexes.
- Technical and bibliographic inquiry services.
- Technical assessments.
- Support and promotion of exchanges of information among scientists, engineers, and practitioners of disciplines in the scope of the IAC field of interest.
- Preparation of state-of-the-art reports.
- Handbooks.
- Data books.
- Data sets.
- Critical reviews.
- Standards and technology benchmarks.
- Problem definitions.
- Alternative technology analyses.
- Current awareness activities.

b. Additional or Special Activities or Tasks

(1) IACs are established with the explicit intent to perform additional tasks within their areas of expertise and technical focus above and beyond the basic or core activities described in paragraph 3a of this enclosure. Additional or special activities or tasks build on basic or core activities and provide an efficient method of enhancing the effectiveness of the technology base.

(2) Those additional tasks or special activities are efforts that are specifically defined by a requiring organization as the need arises and are consistent with the area of competence and concern that defines the technical focus of a particular IAC. The requiring activity provides the funds necessary to perform the task.
ENCLOSURE 4

IMPLEMENTATION OF POLICY, PRINCIPLES, AND CONCEPTS

1. Information analysis and evaluation activities are an essential and integral part of the scientific research and engineering (R&E) processes conducted by or for the DoD. When significant requirements are recognized or benefits can be derived through institutionalizing such efforts, the DoD will establish an IAC in a clearly defined, specialized field or subject area of particular interest or concern to the DoD.

2. IACs handle data in accordance with DoD policy on export-controlled technical data included in DoDD 5230.25 (Reference (h)) and other restrictions on DoD information, as applicable.

3. An IAC may receive classified or special category material, provided that the information supports the mission of the IAC and appropriate security measures have been established. Additionally, IACs will not receive, process, or distribute scientific or technical intelligence information unless specifically authorized by appropriate DoD intelligence activities and the DoD technical monitor. This does not preclude IAC access to such information or to scientific or technical information developed or derived from intelligence data, but ensures that appropriate coordination and approval incidental to conduct of IAC activities will occur.

4. Each IAC must maintain a core staff of technical experts in its field of specialization. Contracted IACs must maintain a core capability in accordance with the specific terms of the applicable IAC contract. IACs are encouraged to seek assistance from qualified experts to ensure the highest technical quality for individual products and services.

5. A single, sponsoring DoD Component that the ASD(R&E) designates will oversee each IAC.

6. The DoD Component designated as the technical monitor by the ASD(R&E), in accordance with paragraph 1d of Enclosure 2 and defined in the Glossary, will provide continuous technical direction and oversight for the assigned IAC. The technical monitor:

   a. Assesses technical subject requirements and adequacy of literature and database coverage by the IAC for users in the DoD community.

   b. Evaluates and approves IAC proposals for products and services from a technical standpoint.

   c. Provides the technical requirements input for statements of work.

   d. Assists in identifying program requirements necessary to support preparation of budget and program documents for assigned IACs.
e. Properly marks all technical documents and data produced by the IAC in accordance with DoDI 5230.24 (Reference (i)), and Volumes 2 and 4 of DoD Manual 5200.01 (Reference (j)). The controlling DoD office will be the activity that sponsors the work.

7. Classified information will be receipted, controlled, published, released or distributed, disposed of, and protected from unauthorized disclosure, in accordance with Reference (j). Documents containing classified information must be issued in accordance with DoD release and security procedures in Volume 3 of Reference (j), after they have been reviewed and approved by responsible technical and security authorities. Disclosure of classified and unclassified military information to foreign governments and international organizations, their contractors or representatives, and other foreign persons must be in compliance with DoDD 5230.11 (Reference (k)) and DoDI 2040.02 (Reference (l)), respectively.

8. For unclassified information, IACs will:

   a. Protect technical documents containing controlled unclassified information in accordance with Volume 4 of Reference (j).

   b. Mark technical documents in accordance with Volume 4 of Reference (j), include a distribution statement in accordance with Reference (i), and an export warning notice, as appropriate and in accordance with Reference (h).

   c. Withhold or release export-controlled technical data in accordance with Reference (h) and other applicable restrictions on DoD information.

   d. Review information for public release or access in accordance with DoDI 5230.09 (Reference (m)).

   e. Comply with Reference (1) for disclosure of unclassified information to foreign governments and international organizations, their contractors or representatives, and other foreign persons.

9. All technical documents generated by DoD-funded R&E efforts must be marked with a DoD distribution statement, in accordance with Reference (i), with an export warning notice when appropriate, as required by Reference (h), and with applicable classification markings, as required by Volume 2 of Reference (j).

10. IACs establish mechanisms for cooperation and cross-fertilization of ideas on management, policy, promotion or outreach, operating procedures, and other areas of mutual interest.

11. Basic IAC operations, as prescribed by the sponsoring DoD Component, will be supported by DoD funds. This includes appropriated funds of the sponsoring DoD Component, as well as shared direct costs determined in accordance with paragraph 3b of Enclosure 2 and chapter 1 of Volume 11A of Reference (g).
12. Each IAC will assist in advancing standardization of the technology within its technical focus and field of expertise.

13. IACs will make optimal use of advanced information technology and telecommunication equipment, systems, and capabilities in the operation of their centers.

14. IACs will acquire and distribute subject area technical information from all sources, domestic and foreign, including support of approved information exchange programs with countries that have agreements with the United States. IACs will use, but not duplicate, the existing DoD foreign open-source scientific and technical intelligence literature exploitation program or automated database as part of any foreign acquisition efforts. It is not intended for IACs to replicate substantial quantities of information from other readily available sources. At the same time, IACs are encouraged to acquire information from those sources when the information is needed to provide timely, comprehensive, and qualitative products and services.

15. Although one purpose of the IACs is to collect and distribute STI, their performance of analytical tasks characterizes them as R&E activities as well as technical information support activities. As a routine function of the analytical aspects of their information collection functions, IACs are expected to:

   a. Verify and validate the technical accuracy and reliability of existing data.

   b. Generate and evaluate data collection and analysis techniques reported in applicable scientific and technical literature.

   c. Develop alternative approaches to collection and analysis of the same or similar forms of information for assigned technical areas.

   d. Identify and fill voids in existing data or knowledge bases when the IAC may provide such research and development in an economical, efficient, and unbiased manner.

16. Those functions described in paragraphs 15a through 15d of this enclosure are accomplished on a selective basis for the most effective use of technology and expertise resident in the IACs. These functions also distinguish an IAC from libraries and other types of information centers.

17. As prescribed in paragraph 3.b. of Enclosure 3 of this volume, it is the intent of the DoD to have its IACs perform additional or special activities or tasks in their individually defined technical scopes. One of the primary purposes of acquiring and maintaining core technical information and expertise is to maximize the use of those invested efforts. The accomplishment of additional tasks based on those core capabilities permits the DoD to effectively and efficiently reuse the technology base in its areas of interest.

18. By intentionally sharing knowledge and expertise, IACs participate in and support the DoD domestic technology transfer program in assigned areas of technical responsibility, as prescribed in DoDI 5535.8 (Reference (n)).
19. Technical conferences, meetings, and symposiums are recognized as a significant platform for the exchange of information in the R&E community. Consistent with the provisions of References (e), (f), and (g), IACs may (when appropriate and legally consistent with the arrangement by which the IAC was established and is operated) plan, provide technical support for, and participate in major technical conferences, meetings, or symposiums in their area of technical specialty.

   a. Meetings and conferences are an opportunity for:

      (1) Demonstrating the products and services of the IAC.

      (2) Maintaining contact with subject matter experts in the specialized field of the IAC.

      (3) Promoting the interaction of IAC professional staff with the technical community at large.

   b. IAC participation at meetings will be consistent with DoD provisions on physical and information security and on transfer of technology.

   c. IACs that participate in conferences do so in a manner consistent with Volume 3 of Reference (j), References (h), (k), and (m), and DoDI 5230.27 (Reference (o)).

20. IACs prepare, announce, and provide primary distribution of critical reviews, state-of-the-art reports, handbooks, data compilations, lists of technical experts, and other significant publications in their assigned areas of technical specialty. IACs respond to inquiries from qualified users bearing in mind applicable information security controls and restrictions on transfer of technology to foreign individuals and organizations.

21. The recipients of primary distribution of documents that an IAC formally issues include: DTIC, the technical library of the DoD activity that sponsored a particular technical effort, and other IACs with a technical interest in the subject matter. Distribution of documents excludes direct correspondence in response to inquiries and the annual reports of the IACs, unless the sponsoring DoD Component requires the reports for management oversight of the IACs it sponsors.

22. In accordance with applicable issuances, including OMB Circular A-130, OMB Circular A-25 (References (p) and (q)), and chapter 4 of Volume 11A of Reference (g), and section 1535 of Title 31, U.S.C., also known as “the Economy Act” (Reference (r)), DoD Components providing services to other DoD Components and other federal agencies may recover costs through the collection of direct costs incurred for IAC products and services support.
ENCLOSURE 5

ESTABLISHMENT OF IACs

1. PROPOSALS. Proposals from the DoD Components for establishment of an IAC are processed through the same channels that are used to approve and authorize any other research, development, test, and evaluation program.

2. APPROVAL. Approval by the ASD(R&E), with the assistance of the OSD Principal Staff Assistant for IAC technical areas that are beyond the purview of the ASD(R&E), will be based on, but not limited to:

   a. Documented evidence of a requirement to fill a void in an emerging DoD technology thrust area.

   b. Clear definition of subject fields to be covered and demonstration that other IACs or other sources do not duplicate or provide the same depth of coverage of the proposed IAC.

   c. Cost and effectiveness, including evaluation of whether alternate ways of accomplishing the objectives of the IAC exist.

   d. Adequate financial support and plans for continuing support to achieve the announced objectives of the IAC.

   e. Active support of the IAC by persons engaged in the type of technical work to be covered by the IAC’s information products and services.

   f. Evidence of capability to ensure proper security procedures and controls on technology transfer.

3. SUBJECT COVERAGE. Subject areas covered by an IAC may be determined from one or both of the following categories:

   a. Discipline-Oriented Coverage. Information pertaining to all, or a clearly defined part of, a recognized scientific or engineering discipline, which has its own literature or professional traditions and is of particular interest to the DoD.

   b. Mission-Oriented Coverage. Information pertaining to a military undertaking of special interest to DoD or to a specific large weapon or its support system or a group of such systems, and therefore, an area that requires an interdisciplinary approach.
4. **SIZE AND LOCATION.** No specific limitations are imposed on the size of an IAC, as long as the types of functions described in section 3 of Enclosure 3 of this volume are accomplished.

5. **SECURITY.** IACs satisfy all physical security and cybersecurity, in accordance with the requirements prescribed in DoDI 8500.01 (Reference (s)), and document information security requirements for the protection of classified or otherwise sensitive information developed, stored, transmitted, or held therein.
ENCLOSURE 6

DISESTABLISHMENT OF IACs

1. The sponsoring DoD Component, in coordination with the designated technical monitor and the principal DoD-user activities, may propose the disestablishment of an IAC. A proposal to disestablish an IAC should include an analysis for the ASD(R&E) to evaluate or consider.

2. A combination of factors may form the basis for a decision to recommend disestablishment of an IAC. Following a complete review, the ASD(R&E), with the assistance of the OSD Principal Staff Assistant for IAC technical areas that are beyond the purview of the ASD(R&E), makes the decision on disestablishment of an IAC. Typical questions or factors that may be considered in making such a decision are:
   a. Is the IAC still functioning in a major DoD technology thrust area?
   b. Is the IAC demonstrably useful to DoD?
   c. Is the IAC fulfilling a DoD need that is not duplicated by other public, private, or government organizations?
   d. What is the value of products or services to users for current DoD programs?
   e. Are funds available?
   f. Is the IAC maintaining proper security controls and controls over transfer of technology to foreign individuals and organizations?

3. Subsequent to the ASD(R&E) decision to disestablish an IAC, the required procedures to disestablish an IAC are:
   a. The sponsoring DoD Component announces a termination date at least 90 days in advance and requires the managing supervisor of the IAC to provide a documented inventory of the IAC's holdings to the sponsoring DoD Component and DoD technical monitor.
   b. The sponsoring DoD Component decides the disposition of the IAC's holdings with the assistance of the managing supervisor of the IAC and the DoD technical monitor, and the approval of the ASD(R&E).
   c. The technical holdings of an IAC, including its documents, databases, and technical information represent a significant DoD resource investment. The disposition of those tangible assets must be handled in a logical and cost-effective manner.

   (1) As a result, every reasonable effort should be made to retain those holdings for future use in the DoD, and if not possible, their disposition should be handled in accordance with the
DoD property disposal and records management programs. One of the principal functions of DoD technical libraries is to retain the current and future technical assets of the DoD. Transferring the IAC holdings to another IAC or a DoD technical library will be a primary consideration in the disposition of IAC technical holdings.

(2) Disposition procedures must ensure that data restricted to DoD use for reasons such as national security, export control, etc., is retained by DoD before transfer of remaining holdings to others outside the government and that applicable DoD controls remain in effect.
GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

ASD(R&E) Assistant Secretary of Defense for Research and Engineering
DoDD DoD Directive
DoDI DoD Instruction
DTIC Defense Technical Information Center
IAC information analysis center
OMB Office of Management and Budget
R&E research and engineering
STI scientific and technical information
STIP Scientific and Technical Information Program
USD(AT&L) Under Secretary of Defense for Acquisition, Technology, and Logistics

PART II. DEFINITIONS

These terms and their definitions are for the purposes of this volume.

controlling DoD office. The DoD activity that sponsored the work that generated the technical document for the DoD and has the inherently governmental responsibility for determining the distribution of a document containing such technical information. For joint sponsorship, the controlling office is determined by advance agreement and may be a party, group, or committee representing the interested activities or DoD Components. Only the controlling office or higher authority may authorize distribution beyond the distribution statement.

distribution statement. A statement assigned by the controlling DoD office and used in marking a technical document to denote the extent of its availability for distribution, release, and disclosure without additional approvals or authorizations from the controlling DoD office. A distribution statement marking, as described in Reference (j), is distinct from and additional to a security classification marking.

primary distribution. The initial targeted distribution of or access to technical documents authorized by the controlling DoD office.

sponsoring DoD Component head. The Military Department, Defense Agency, or DoD Field Activity responsible for the continuous administrative and operational management of an IAC.
technical monitor. A subject matter expert designated to provide technical oversight and direction to an IAC. A technical monitor must be an officer or employee of the U.S. Government.