



Department of Defense MANUAL

NUMBER 3200.14, Volume 1

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Incorporating Change 2, October 15, 2018

USD(R&E)

SUBJECT: Principles and Operational Parameters of the DoD Scientific and Technical Information Program (STIP): General Processes

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 (DoDM). 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 principles, concepts, and procedural functions to ensure that DoD scientific and technical information (STI) is appropriately managed to enable scientific knowledge and technological innovations to be fully accessible to authorized recipients while applying appropriate safeguards to assure that the information is protected as necessary.

2. APPLICABILITY. This volume:

a. Applies to:

(1) 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").

(2) Science and technology (S&T) programs consisting of basic research, applied research, and advanced technology development programs, which are identified as budget

activities (BAs) 1, 2, and 3, respectively, in Volume 2A, chapter 1 of DoD 7000 14-R (Reference (d)).

b. Does not apply to:

(1) DoD programs involving day-to-day operations the warfighter uses, unless required for scientific and technical analysis.

(2) DoD STI that the intelligence community produces.

(3) Signals intelligence and communications security information, as defined in DoDI O-3115.07 and DoDI 8523.01 (References (e) and (f)).

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

4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES

a. Enclosure 3 identifies the procedures for the documentation of results of DoD intramural and extramural S&T programs.

b. Enclosure 4 identifies the procedures for the exchange of all technical information generated by or about the pursuit of DoD technical programs.

c. Enclosure 5 identifies the procedures for the operation of a centralized reporting and analysis system to provide documentation for science and engineering efforts funded by DoD.

d. Enclosure 6 identifies the procedures for collection and management of DoD-reimbursed independent research and development (IR&D) project summaries.

e. Enclosure 7 identifies the procedures for the operation of the Defense Technical Information Center (DTIC).

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 (g)).

8. EFFECTIVE DATE. This volume is effective March 14, 2014.



Frank Kendall
Under Secretary of Defense for
Acquisition, Technology, and Logistics

Enclosures

1. References
2. Responsibilities
3. Documentation of DoD R&E and Studies Efforts
4. Distribution and Access to DoD STI
5. Summarization of Ongoing DoD R&E and Studies Efforts
6. IR&D
7. DTIC

Glossary

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ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5134.01, "Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L))," December 9, 2005, as amended
- (b) DoD Instruction 3200.14, "Principles and Operational Parameters of the DoD Scientific and Technical Information Program," May 13, 1997, as amended (hereby cancelled)
- (c) DoD Instruction 3200.12, "DoD Scientific and Technical Information Program (STIP)," August 22, 2013, as amended
- (d) DoD 7000.14-R, "Department of Defense Financial Management Regulations (FMRs)," date varies by volume
- (e) DoD Instruction O-3115.07, "Signals Intelligence (SIGINT)," September 15, 2008, as amended
- (f) DoD Instruction 8523.01, "Communications Security (COMSEC)," April 22, 2008
- (g) 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
- (h) Public Law 103-62, "The Government Performance and Results Act of 1993," August 3, 1993
- (i) Section 207(g) of Public Law 107-347, "E-Government Act of 2002," December, 17 2002
- (j) DoD Instruction 3200.20, "Scientific and Engineering Integrity," July 26, 2012
- (k) DoD Directive 5230.25, "Withholding of Unclassified Technical Data from Public Disclosure," November 6, 1984, as amended
- (l) DoD Directive 5230.11, "Disclosure of Classified Military Information to Foreign Governments and International Organizations," June 16, 1992
- (m) DoD Instruction 2040.02, "International Transfers of Technology, Articles, and Services," March 27, 2014, as amended
- (n) DoD Instruction 5015.02, "DoD Records Management Program," February 24, 2015, as amended
- (o) DoD Instruction 5230.24, "Distribution Statements on Technical Documents," August 23, 2012, as amended
- (p) DoD Instruction 5230.27, "Presentation of DoD-Related Scientific and Technical Papers at Meetings," November 18, 2016, as amended
- (q) DoD Directive 8000.01 "Management of the Department of Defense Information Enterprise (DoD IE)," March 17, 2016, as amended
- (r) DoD Instruction 8500.01, "Cybersecurity," March 14, 2014
- (s) Chairman of the Joint Chiefs of Staff Instruction 6510.01F, "Information Assurance (IA) and Support to Computer Network Defense (CND)," February 9, 2011
- (t) DoD Instruction 4000.19, "Support Agreements," April 25, 2013
- (u) Title 48, Code of Federal Regulations
- (v) DoD Manual 5200.01, "DoD Information Security Program," February 24, 2012, as amended
- (w) Executive Order 13526, "Classified National Security Information," December 29, 2009

- (x) DoD Instruction 5200.39, “Critical Program Information (CPI) Protection Within the Department of Defense,” May 28, 2015
- (y) DoD Instruction 5200.44, “Protection of Mission Critical Functions to Achieve Trusted Systems and Networks (TSN),” November 5, 2012, as amended
- (z) DoD Instruction 8582.01, “Security of Unclassified DoD Information on Non-DoD Information Systems,” June 6, 2012
- (aa) DoD Directive 5205.02E, “DoD Operations Security (OPSEC) Program,” June 20, 2012
- (ab) DoD Directive 5400.11, “DoD Privacy Program,” October 29, 2014
- (ac) DoD Directive 5400.07, “DoD Freedom of Information Act (FOIA) Program,” January 2, 2008
- (ad) Executive Order 13556, “Controlled Unclassified Information,” November 4, 2010
- (ae) DoD Directive 5230.09, “Clearance of DoD Information for Public Release,” August 22, 2008, as amended
- (af) National Security Decision Directive 189, “National Policy on the Transfer of Scientific, Technical, and Engineering Information,” September 21, 1985
- (ag) Section 200 of Title 35, United States Code
- (ah) DoD Directive 5535.02, “DoD Patent Security Review Process,” March 24, 2010, as amended
- (ai) American National Standards Institute/National Information Standards Organization ANSI/NISO Z39.18-2005, “Scientific and Technical Reports - Preparation, Presentation, and Preservation,” July 27, 2005¹
- (aj) Section 2778 of Title 22, United States Code (also known as the “Arms Export Control Act,” as amended)
- (ak) Chapter 35 of Title 50 United States Code (also known as the “International Emergency Economic Powers Act,” as amended)
- (al) Parts 120 through 130 of Title 22, Code of Federal Regulations (also known as the “International Traffic in Arms Regulations (ITAR)”))
- (am) Parts 730 through 774 of Title 15, Code of Federal Regulations (also known as the “Export Administration Regulations (EAR)”))
- (an) DoD Instruction 8520.03, “Identity Authentication for Information Systems,” May 13, 2011, as amended
- (ao) Title 10, United States Code
- (ap) DoD Instruction 3204.01, “DoD Policy for Oversight of Independent Research and Development (IR&D),” August 20, 2014
- (aq) Section 1905 of Title 18, United States Code (also known as the “Trade Secrets Act”)
- (ar) Section 552 of Title 5, United States Code (also known as the “The Freedom of Information Act (FOIA)”))
- (as) DoD Directive 5105.73, “Defense Technical Information Center (DTIC),” May 2, 2013
- (at) DoD Directive 4205.01, “DoD Small Business Programs (SBP),” June 8, 2016, as amended
- (au) DoD Instruction 8550.01, “DoD Internet Services and Internet-Based Capabilities,” September 11, 2012

¹ http://www.niso.org/apps/group_public/download.php/12038/Z39_18_2005_R2010.pdf

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. Monitors compliance with this volume and Reference (c).
- b. Provides leadership and policy direction for the management of the DoD STIP.
- c. Provides policy and guidance for the operation and management of defense industry information and the DoD technology transfer program.
- d. Oversees the DTIC and the Information Analysis Center (IAC) program.

2. DoD COMPONENT HEADS. The DoD Component heads:

- a. Establish Component guidance consistent with the policy in Reference (c) and this volume.
- b. Designate a senior-level STI director or manager at the Military Department or the Defense Agency staff level to serve as the single, authoritative point of contact for managing and overseeing STIP matters.
- c. Integrate STIP objectives into strategic plans, program plans, management, contract administration, and oversight activities consistent with Public Law (PL) 103-62 (Reference (h)).
- d. Before beginning or continuing a technical effort, conduct preliminary and periodic searches of research in progress and completed research to define the technology baseline, avoid duplication of effort, and justify investment.
- e. As prescribed by section 207(g) of PL 107-347 (Reference (i)), report research and engineering (R&E) data to DTIC, as described in Enclosure 5.
- f. Document the results of all R&E efforts the including studies and analyses of a scientific or technical nature that the DoD sponsors in whole or in part, as described in Enclosure 3.
- g. Adhere to scientific and engineering ethics to assure the integrity of DoD-sponsored research, as directed by DoDI 3200.20 (Reference (j)).
- h. Ensure that all results, regardless of outcome, of DoD R&E and studies efforts are sent to the DTIC, as described in section 3 of Enclosure 4.

i. Determine primary and secondary distribution of STI, as described in Enclosure 4.

j. Certify eligibility for access to DoD technical information for all non-DoD users based on the determination that the user has a legitimate business relationship with the DoD; that the STI falls within the scope of that relationship; and that the access complies with Reference (c), and DoDD 5230.25, DoDD 5230.11, and DoDI 2040.02 (References (k), (l), and (m)).

k. Ensure that all records are maintained and managed in accordance with National Archives and Records Administration's approved dispositions to ensure proper maintenance, use, accessibility, and preservation, regardless of format or medium, as directed by DoDI 5015.02 (Reference (n)).

l. Provide one copy of each approved security classification guide to the Administrator, DTIC. These guides may include those issued as regulations, manuals, or other issuances, but not those covering Top Secret, Sensitive Compartmented Information, or Special Access Program information, or guides deemed by the owning approval authority to be too sensitive for automatic secondary distribution. Each guide provided to the Administrator, DTIC, must bear the appropriate distribution statement and include the DD Form 2024, "Security Classification Guide Data Elements."

3. ADMINISTRATOR, DTIC. Under the authority, direction, and control of the USD(AT&L), through the ASD(R&E) and in addition to the requirements described in Enclosure 7, the Administrator, DTIC:

a. Collects, indexes, catalogs, and provides storage for STI obtained from DoD Components and their contractors, Military Departments and their contractors, and non-DoD domestic and foreign sources.

b. Operates a preservation program to ensure availability of legacy STI.

c. Maintains and operates centralized databases of technical and management-related information describing the content and scope of R&E programs, as described in Enclosure 5.

d. Maintains information management systems and web-based databases to enable full use of DoD-funded STI. Provides a suite of web products and services for publicly releasable STI, as well as systems to manage protected categories of STI.

e. Provides staff support to the ASD(R&E) on DoD STIP policy formulation, including development and maintenance of References (c) and (k), DoDI 5230.24 (Reference (o)), and DoDI 5230.27 (Reference (p)).

f. Consistent with DoDD 8000.01 (Reference (q)), distributes DoD STI internally to the DoD and other Federal Government agencies, including the legislative and judicial branches.

- g. Distributes DoD STI to government contractors, grantees, and other governments (local, State, or foreign) where a DoD Component activity has an established legitimate business relationship; when the STI falls within the scope of that relationship; and in accordance with DoD policies and processes in References (c), (k), (l), and (m).
- h. Ensures that all applicable security requirements are addressed in accordance with DoDI 8500.01 (Reference (r)).
- i. Ensures that provisions for input, access, and retrieval are in accordance with the computer security requirements of Chairman of the Joint Chiefs of Staff Instruction 6510.01F (Reference (s)).
- j. Operates and maintains a DoD-wide certification and registration system. Maintains a central authority file of certified and approved users.
- k. Provides coordination, planning, and integration of DoD-funded IACs, as described in Volume 2 of this manual.
- l. Supports program-specific STI management efforts through support and inter-Service agreements, in accordance with DoDI 4000.19 (Reference (t)).
- m. Sustains a science, technology, and engineering collaboration and networking environment to enhance information sharing across the DoD and with industry partners.
- n. Provides training on the principles and procedures of the DoD STIP.
- o. Maintains a repository of security classification guides. Maintains an index of security classification guides in an online database, accessible through www.dtic.mil.

ENCLOSURE 3

DOCUMENTATION OF DoD R&E AND STUDIES EFFORTS

1. SCOPE

a. This enclosure pertains to the results of DoD intramural and extramural S&T programs consisting of basic research, applied research, and advanced technology development, identified as BA 1, 2, and 3 respectively, as well as DoD studies and analyses efforts.

b. Documentation and distribution of the results of DoD R&E and studies programs are an integral part of such efforts. Those efforts are incomplete until the results are documented and distributed.

c. All significant scientific or technological findings, recommendations, and results derived from DoD endeavors are recorded as STI. This includes endeavors generated under contracts, grants, and other instruments that are pertinent to the DoD mission or contribute to the DoD and the national S&T base.

d. DoD R&E and studies efforts that DoD activities perform or sponsor in whole or in part must be documented sufficiently so that others can understand the purpose, scope, approach, results or outcomes, and conclusions or recommendations. The STI must contain sufficient detail so that others can replicate the methods and compare the results.

e. R&E and studies efforts will be documented whether or not the efforts are successful. Description of all efforts gives others in the DoD information to decide how to invest in and conduct future efforts.

f. The preparation of STI involves a number of different disciplines, including personnel responsible for publication, editing, public affairs, data management, security, intellectual property counsel, contracting, etc. The STIP director or manager coordinates the necessary practices and procedures.

2. FORMAT

a. Scientific findings are communicated through various media, including textual, multimedia, audiovisual, and digital. Findings are expressed in a range of products, such as technical reports, conference papers and presentations, briefing charts, theses and dissertations, scientific and technical computer software, journal articles, workshop reports, program documents, patents, and scientific research datasets.

b. An oral presentation at the conclusion of an R&E effort may be given, but not instead of the documented STI. An oral presentation often enhances understanding of the R&E or study performed. Documentation provides a permanent record, widely distributes the work, and allows

the DoD to multiply gains on the resources invested for the benefit of the larger Defense community for a longer period of time. Briefing charts must contain enough detail for the reader to understand the purpose, scope, approach, results or outcomes, and conclusions.

c. Cognizant DoD Component contract administration offices will ensure that extramural organizations responsible for each research effort submit STI to DTIC. The STI will document the effort well enough so that others understand the purpose, scope, approach, results or outcomes, and conclusions or recommendations in accordance with the requirements of subpart 252.235-7011 of Title 48, Code of Federal Regulations (CFR) (Reference (u)).

3. CLASSIFICATION AND CONTROL

a. Documented R&E and studies efforts may include controlled unclassified or classified information. DoD Components have the responsibility to ensure that STI is marked in accordance with Reference (o) and Volume 2 of DoDM 5200.01 (Reference (v)).

b. STI is protected in the interest of national security, in accordance with Reference (v), Executive Order (E.O.) 13526 (Reference (w)), or other statutory or regulatory provisions. Those include but are not limited to References (k), (o), and DoDIs 5200.39, 5200.44, and 8582.01 (References (x) through (z); DoDDs 5205.02E, 5400.11, and 5400.07 (References (aa) through (ac); and E.O. 13556 (Reference (ad)).

c. STI that is not restricted must be cleared for public release, in accordance with DoDD 5230.09 (Reference (ae)), and marked with "Distribution Statement A," as required by Reference (o).

(1) The results of contracted fundamental research are not restricted unless the research efforts are classified for national security reasons, or as otherwise required by federal statutes, regulations, or E.O.s in compliance with National Security Decision Directive 189 (Reference (af)).

(2) Fundamental research is ordinarily published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product use, which are restricted for proprietary or national security reasons.

d. The sponsoring DoD activity must ensure that contractor-prepared STI, regardless of media or form, is marked in accordance with References (k), (o), Volume 2 of Reference (v) and subparts 203, 227, and 252 of Reference (u). Language citing these references and the requirement for contractors to comply with the provisions must be included in all applicable contracts to ensure contractor-prepared STI is properly marked.

e. To the maximum extent possible, documented efforts will be prepared in unclassified and otherwise unrestricted form in accordance with Reference (c).

4. PATENTS. DoD activities are encouraged to pursue the patenting and licensing of inventions that result from DoD R&E efforts, consistent with section 200 of Title 35, United States Code (U.S.C.) (Reference (ag)) and to complete patent security reviews in accordance with DoDD 5535.02 (Reference (ah)).

5. DATA RIGHTS. DoD activities will pursue a coordinated effort to acquire government rights to intellectual property developed in whole or in part at government expense so that such intellectual property may be used in current and future DoD programs.

6. TECHNICAL REPORTS

a. If the scientific findings are communicated through a technical report, in any media or form, it will be prepared, to the maximum extent practical, in accordance with ANSI/NISO Z39.18-2005 (Reference (ai)).

b. Standard Form 298, "Report Documentation Page," contains all pertinent bibliographic data about a technical report. It must be prepared for each documented effort and is hereby established for that purpose.

ENCLOSURE 4

DISTRIBUTION AND ACCESS TO DoD STI

1. DISTRIBUTION OF STI

a. The DoD STIP will ensure the complete and timely exchange of all STI generated by or about the pursuit of DoD technical programs among DoD intramural and extramural technical activities. Exchange must comply with applicable security requirements and access restrictions.

b. The DoD activity that performed or sponsored the work will prepare and distribute STI quickly according to established standards for document format as described in section 2 of Enclosure 3, distribution, security marking, and reproducibility, consistent with DoD policy and STIP procedural guidance.

c. Wherever practicable, unclassified technical documents and other information should be prepared to expedite the information transfer process.

d. Internal and contractual procedures will ensure that copies of STI are made available to the DoD R&E community, including supporting technical libraries, DTIC, and applicable DoD IACs, and to the civilian scientific and technical community under established security and other limitation controls, and consistent with Reference (ae).

2. PRIMARY DISTRIBUTION

a. The DoD activity that performed or sponsored the work in whole or in part is responsible for primary distribution of all documents, regardless of form.

b. Primary distribution will be to the technical community having a direct and immediate interest in the outcome of the R&E or studies efforts.

c. DTIC, applicable DoD IACs, and the local DoD technical library or repository that supports the activity responsible for sponsoring and creating the documents will all be recipients of the primary distribution at the same time.

d. The preparation and distribution of STI in the form of journal articles, conference papers, and other means external to DoD will not be in lieu of providing those same documents to DTIC, appropriate DoD IACs, and the local technical library.

e. Primary distribution must be explicitly directed to the intended recipients. This includes individuals who are the intended recipients of the document and secondary distribution activities, including technical libraries, DTIC, and appropriate DoD IACs.

3. SECONDARY DISTRIBUTION

a. The distribution of or access to a document, subsequent to primary distribution is usually accomplished by a DoD activity or DoD-sponsored activity, such as DTIC, an IAC, a major technical library, or any secondary distribution or release activity, which provides technical information to eligible users.

b. Secondary distribution includes loaning, allowing the reading of, or releasing a document outright, in whole or in part, without additional approvals or authorizations by the originator or controlling office, but solely within distribution statements provided by the controlling DoD office.

c. Processes to distribute STI to eligible users must be implemented to ensure compliance with DoD international transfer policy and U.S. export laws and regulations, including Reference (m), section 2778 of Title 22, U.S.C., chapter 35 of Title, 50 U.S.C., parts 120 through 130 of Title 22, CFR, and parts 730 through 774 of Title 15, CFR (References (aj) through (am)).

4. SUBMISSION TO DTIC

a. In accordance with Reference (c), DTIC must preserve every document, study, or data set produced under intramural and extramural S&T programs consisting of basic research, applied research, and advanced technology development, as well as DoD studies and analyses efforts. Contributors must submit electronic research results using the instructions at <http://www.dtic.mil/dtic/submit/>.

b. DTIC also accepts reports on CD, DVD, and in hard copy. Send those materials to:

Defense Technical Information Center (DTIC)
ATTN: DTIC-O
8725 John J. Kingman Road
Suite 0944
Fort Belvoir, Virginia 22060
Email: dtic.belvoir.ecm.mbx.acquisitions@mail.mil or 1-800-225-3842 (selection 6).

c. DTIC contributors will use electronic submission as a means to streamline the document submission process, as well as enhance the output product provided by DTIC.

d. DTIC selects documents that include, but are not limited to, the examples listed in Table 1.

Table 1. Examples of Document Types Selected

| |
|---|
| Acquisition life cycle documents, such as: weapons systems, components or subsystems, technology capabilities; basic and advanced research planning documents, S&T planning documents supporting military missions |
| Annual reports from the DoD labs |
| Bibliographies |
| Briefings (DoD-related), including: advanced briefings to industry |
| Conference proceedings and papers |
| Congressional documents (DoD-related), including: Congressional Budget Office documents, Congressional Research Service reports, and Government Accounting Office reports and testimonies |
| Dissertations and theses |
| DoD functional area dictionaries and glossaries |
| DoD manpower estimates |
| Federally Funded Research and Development Center (FFRDC) reports |
| Inspector General audits (DoD-related) |
| Journal articles and reprints (DoD-supported and DoD published) |
| Lessons learned (related to DoD Components) |
| Mission area plans |
| Modernization planning documents |
| North Atlantic Treaty Organization Research and Technology Organization (RTO) documents, meeting minutes, and announcements |
| Newsletters (DoD-related) |
| Patents and patent applications (DoD-related) |
| Planning, Programming, Budgeting, and Execution Process documents. |
| Reference directories and indexes |
| Research, development, test, and evaluation (RDT&E) reports |
| S&T planning documents |
| Security classification guides |
| Software (related to DoD components) |
| Speeches (DoD-related) |
| Studies and analyses (pertaining to DoD S&T programs) |
| Technical publications, including: memorandums, notes, papers, interim and final reports, reviews and surveys |
| Training courses (DoD-related) |

e. Examples of document types not selected are listed in Table 2.

Table 2. Examples of Document Types Not Selected by DTIC

| |
|---|
| Administrative papers |
| Advertisements |
| Blueprints |
| Brochures, catalogs, and posters |
| Circulars |
| Conference programs and agendas |
| Contracting documents and materials, e.g.: Requests for proposal Requests for information Statements of work |
| Correspondence |
| Decision papers |
| Document declassification lists |
| Drafts |
| Engineering drawings |
| Forms |
| Meeting minutes and announcement (Except RTO) |
| Memorandums (inter-office) |
| Memorandums of agreement |
| Memorandums of understanding |
| Notices |
| Operating instructions |
| Orders |
| Parts lists |
| Procedures |
| Promotional materials |
| Proposals |
| Public and Case Laws |
| Status reports |
| Tables |
| Technical manuals |
| Telephone directories |
| Trip reports |

5. STUDIES AND ANALYSES

a. Studies and analyses documents cover a wide range of typical areas and support all aspects of the DoD mission. In order for the DoD repositories such as DTIC, the DoD IACs, and local technical libraries to support the DoD, the DoD activity that performed or sponsored the work must provide studies and analyses documents to the repositories for retention and

secondary distribution in a manner consistent with the approval and release constraints of such documents.

b. The following types of studies and analyses are examples of the types of documents to be provided to the DoD repositories:

(1) Strategic operations, concepts, military strategies, and force structure alternatives pertaining to R&E programs.

(2) Technology assessments, insertion, and deployment pertaining R&E programs.

(3) Operations research and analysis pertaining to R&E programs.

(4) Test and evaluation studies pertaining to R&E programs.

(5) Analyses of alternatives in support of operational and technology program management.

(6) Training studies and analyses pertaining to R&E programs.

(7) Defense functional area studies and analyses for functions such as logistics, manpower and personnel, readiness, etc. pertaining to R&E programs.

6. ACCESS TO DoD STI

a. The procedures defined in this enclosure will be used by DoD STI distribution activities to control access to DoD technical information. DoD personnel who certify access to DoD STI for non-DoD users must have the technical competence and familiarity with the user's needs and intended use for the information to determine that it is in the short-term and long-term best interest of DoD to provide access.

b. Policies and procedures governing the distribution of STI to the public will be subject to review and approval by the Washington Headquarters Services Defense Office of Pre-publication and Security Review or DoD Component public affairs personnel in accordance with Reference (ae).

c. Access to classified STI will be consistent with the requirements defined in Volume 3 of Reference (v).

(1) The DoD classification authority will authorize classified information distribution from a DoD distribution activity.

(2) A cognizant DoD official will certify the access of non-DoD users to DoD classified STI based on that official's determination that the non-DoD user has a legitimate business relationship with the DoD and an appropriate need-to-know.

d. Access to controlled unclassified STI will be consistent with the requirements defined in References (k), (m), (o), and (aj) through (am)).

(1) DoD activities that certify access to controlled unclassified DoD STI for non-DoD users must ensure that the user has a legitimate business purpose with the DoD.

(2) Electronic access to DoD STI must be consistent with the requirements defined in DoDI 8520.03 (Reference (an)).

(3) Authorization for access to electronic resources must be consistent with DoD marking policies, including References (k), (o), and Volume 3 of Reference (v).

e. Requests from foreign governments and international organizations for classified or controlled unclassified information will be made only through applicable DoD foreign disclosure offices in accordance with disclosure procedures established in Reference (l).

f. Approval for access to classified or controlled unclassified STI must stipulate that the recipient understands the conditions of use and will control access to that information.

g. Access or denial of access to DoD STI is solely under DoD authority.

7. ACCESS TO DoD STI THROUGH THE DTIC DATABASES

a. DoD STI approved for public release is accessible through a public website.

b. Controlled unclassified DoD STI is accessible through authentication and access controls to the following authorized user or users upon establishment of a legitimate business relationship with the DoD:

(1) Employees of a DoD organization (civilian and military, including National Guard and Reserves on active duty.)

(2) DoD or Federal Government contractors.

(3) Employees of a Federal Government agency.

(4) A researcher at a university or college for the purpose of conducting research funded by DoD or a Federal Government agency.

(5) A participant in the Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) programs for the purpose of conducting of DoD funded research.

(6) An employee of an FFRDC (DoD or U.S. Government contractors).

(7) A faculty member, staff member, or student of historically black colleges and universities, Hispanic serving institutions, tribal colleges and universities, multidisciplinary university research initiative, and other minority institutions for the purpose of conducting DoD-funded research, in accordance with section 2362 of Title 10, U.S.C. (Reference (ao))

c. Classified DoD STI is available through the DTIC search website on the Secret Internet Protocol Router Network (SIPRNET) and requires additional registration.

ENCLOSURE 5

THE SUMMARIZATION OF ONGOING DoD R&E AND STUDIES EFFORTS

1. BACKGROUND

a. The DoD plans for and invests significant resources (manpower, facilities, and funds) in R&E, and other similar types of scientific and engineering efforts. The Department also invests significant resources in the DoD studies and analysis program.

b. The DoD R&E programs accomplish their purpose through a series of planning, programming, and budgeting processes under the oversight of the ASD(R&E) and in coordination with the DoD Science and Technology Executive Committee and appropriate advisory groups. Advisory groups are made up of leadership from the Department's S&T and policy organizations and other related groups.

c. The DoD pursues a systematic and coordinated effort to identify and promote awareness of such R&E and studies activities to increase the effectiveness of R&E programs.

2. UNIFIED RESEARCH AND ENGINEERING DATABASE (URED)

a. The URED is an input, storage, and analysis tool that the ASD(R&E) established and that DTIC operates.

b. DoD Components will submit R&E data that satisfy the requirements in Reference (i) for BAs 1 through 3 at the performer level.

c. The URED manages DoD R&E data, which describes each separate and distinct R&E task or award including, but not limited to:

(1) The expected task or award start and end dates.

(2) A brief summary describing the objective and scientific and technical focus of the task or award.

(3) The performing organization and points of contact.

(4) The total funding dollars expected over the lifetime of the task or award, and the amount expected each fiscal year that the work on the task or award is in progress.

(5) A distribution statement for all or part of the task or award in accordance with Reference (o).

(6) Other similar scientific, technical data, as approved by the ASD(R&E).

(7) Such information must be reported when the task or award is started, and updated at least once a year.

d. All separately distinct R&E efforts must be reported at the project level, including efforts performed by:

(1) A DoD activity.

(2) Another federal activity in support of a DoD activity.

(3) A contractor, whether the contract is awarded by the DoD or by another federal agency, in support of the DoD when funded in whole or in part from an appropriation intended for R&E purposes.

(4) Educational institutions, non-profit organizations, FFRDCs, and private individuals, in support of the DoD when funded in whole or in part from an appropriation used for R&E purposes.

3. REPORTING R&E DATA IN URED

a. DoD Components establish and sustain a valid registration account and regular submission schedule in coordination with the DTIC point of contact at dtic.belvoir.ecm.list.URED@mail.mil.

b. Data may be submitted by manual data entry via a user interface, web service, or XML upload. The method will be determined by the DoD Component in coordination with the DTIC.

c. Detailed instructions and descriptions of data elements are described at <http://www.dtic.mil/dtic/services/research.html#ured>.

4. MARKING, ACCESS, AND RELEASE OF URED DATA

a. Data submissions must be marked for classification and distribution limitations, as defined by database parameters and in accordance with Reference (o) and Volume 2 of Reference (v).

b. Data are releasable as specified by the originating DoD Component and subject to security restrictions and specific release limitations. In all cases, the requester must possess a valid registration account with DTIC.

ENCLOSURE 6

IR&D

1. PROGRAM OVERVIEW

a. In accordance with DoDI 3204.01 (Reference (ap)), contractors are to be encouraged to undertake IR&D activities that may further national security in a broad sense, may lead to a superior military capability, or may lower the cost and time required for providing that capability. IR&D activities intended to accomplish any of the following are of potential interest to the DoD:

- (1) Enable superior performance of future U.S. weapon systems and components.
- (2) Reduce acquisition costs and life-cycle costs of military systems.
- (3) Strengthen the defense industrial and technology base of the United States.
- (4) Enhance the industrial competitiveness of the United States.
- (5) Promote the development of technologies identified as critical in accordance with section 2500 (6) of Reference (ao).
- (6) Increase development and promotion of efficient and effective applications of dual-use technologies.
- (7) Provide efficient and effective technologies for achieving such environmental benefits as:
 - (a) Improved environmental data gathering.
 - (b) Environmental cleanup and restoration.
 - (c) Pollution reduction in manufacturing.
 - (d) Environmental conservation.
 - (e) Environmentally safe management of facilities.

b. Pursuant to subpart 231.205-18 of Reference (u), DoD-reimbursed IR&D projects must be reported to DTIC. This applies only to major contractors, defined as those contractors whose covered segments allocated a total of more than \$11,000,000 in IR&D bid and proposal (B&P) costs to covered contracts during the preceding fiscal year.

2. IR&D DATABASE

a. The IR&D database contains controlled unclassified proprietary information available to DoD civilian and military employees and to other government personnel under specific conditions. Reporting includes, but is not limited to, elements such as project title, project number, anticipated expenses, project description, keywords, and technology readiness level.

b. The Defense Innovation Marketplace website provides a secure environment for contractors to submit, and for DoD to access, proprietary IR&D summary reports. It is located at <http://www.defenseinnovationmarketplace.mil>

c. Database records summarize R&D efforts that are neither sponsored by a grant, nor required in performing a contract, and which fall under basic research, applied research, development, and systems and other concept formulation studies.

d. The database record(s) must be updated at least annually and when the project is completed.

3. SECURITY AND CONTROLS

a. Access to IR&D project data is restricted to government personnel granted access based on a defined requirement.

b. Adequate controls are emplaced to protect information from compromise in accordance with Reference (r).

c. Only unclassified IR&D project summary information should be provided.

d. Pursuant to section 1905 of Title 18, U.S.C., also known as the “Trade Secrets Act” (Reference (aq)), officers or employees of the U.S. Government are subject to criminal penalties for release not authorized by law of proprietary information . The DoD will not release IR&D submissions without the data owner's written authorization.

e. IR&D project data is within the scope of Freedom of Information Act (FOIA) exemption (b)(4) in accordance with section 552 of Title 5, U.S.C., also known and referred to in this volume as “FOIA” (Reference (ar)).

ENCLOSURE 7

DTIC

1. OVERVIEW. DTIC:

a. Has the responsibility to develop, coordinate, and enable a STIP for the ASD(R&E) and the DoD S&T enterprise, as established by DoDD 5105.73 (Reference (as)). DTIC does this by maximizing the availability and use of technical information and products resulting from defense-funded technical activities while safeguarding national security, export-controlled information, and intellectual property rights.

b. Under the oversight of the ASD(R&E), provides such centralized services as acquisition, evaluation, or implementation of common STI resources, systems, or devices. DTIC is the focal point in such endeavors as arranging or instituting new STI programs, procedures, or exchange agreements.

c. Serves as a resource for specific actions required by the ASD(R&E) to meet technical information needs of the STIP.

d. Participates with OSD and federal agencies in formulating DoD and federal policies on STI management.

e. Provides liaison with other DoD Components and government STI organizations.

f. Participates in STI activities involving the compatibility or standardization of STI data, processes, and improved information transfer.

g. Represents the DoD, where appropriate and justified, at STI meetings, conferences, or symposiums that support mission objectives.

h. Provides a forum for developing and coordinating programs, and provides centralized technical support to DoD technical libraries. To improve their effectiveness and capabilities, DTIC provides assistance in:

(1) Analyzing and exploring applications of library automation operations.

(2) Promoting cooperative efforts among libraries, including the establishment of networks and resource sharing.

(3) Facilitating the integration of technical libraries, IACs, DTIC, and other components of the STIP in a coordinated STI network.

i. Provides support to the SBIR and STTR programs, in accordance with DoDD 4205.01 (Reference (at)).

2. CENTRALIZED DoD STI SERVICES. DTIC:

- a. Acquires technical and related management documents, including non-DoD domestic or foreign documents that are of DoD interest but not readily available from other sources in support of the DoD R&E and studies efforts. Documents may take the form and format of any commonly accepted media for documentation or presentation of STI.
- b. Stores copies of acquired DoD-relevant technical and related management documents.
- c. Maintains a system of acquisition, storage, announcement, and distribution methods, in accordance with DoD security policies, standards, criteria, and procedures for classified, limited distribution, export control and company proprietary information.
- d. Provides timely response to requests from authorized users for STI and related services consistent with References (k), (o), and Volumes 2 and 3 of Reference (v).
- e. Releases documents in response to requests pursuant to the FOIA and in accordance with Reference (ac). DTIC will not release any document not previously cleared for public release without the written approval of the controlling DoD Component, as defined by Reference (o).
- f. Processes requests for classified reports or services from foreign entities in compliance with Reference (l).

3. CENTRALIZED DTIC DATABASE SERVICES

- a. The Technical Reports Database contains research reports generated by and for the DoD as a result of RDT&E and studies and analyses, journal articles, conference papers, and DoD patent and patent applications.
 - (1) The Technical Reports Database covers all areas of defense research, including biological and medical science, environmental pollution and control, and behavioral and social science.
 - (2) The collection includes the resources of the DoD sponsored IACs.
 - (3) Access to specific documents is determined by the users' permissions based on their DTIC registration and the distribution statement in the document.
 - (4) The information carries security classifications up to and including the Secret level.
- b. The URED contains summaries describing DoD research in progress and provides information on technical content, responsible individuals and organizations, principal investigators, and funding sources at the work-unit level.

c. The IR&D database contains IR&D project summaries submitted by defense contractors in a restricted-access database. All records are proprietary and available to DoD civilian and military employees only.

d. DTIC:

(1) Operates centralized databases on three websites (access to classified and controlled resources are governed by Reference (an)):

(a) DTIC Online, public. Does not require registration and offers easy access to publicly available information from defense and federal websites.

(b) DTIC Online, controlled access. Requires registration and is a focal point for information on R&E activities within DoD.

(c) DTIC Online, SIPRNET. Requires additional registration and is available on the SIPRNET. It is accessible to individuals granted access to the SIPRNET.

(2) Operates and maintains procedures where U.S. Government departments and agencies and their contractors, subcontractors, grantees, and DoD potential contractors may become certified and registered for access to export controlled STI, in accordance with References (k) (m), and (v).

(3) Provides database submission systems and procedures to acquire and enter data into the databases, and provides technical support for remote submission to the databases either online or in machine-readable form at <http://www.dtic.mil/dtic/submit/>. Database submission systems use existing DoD standard data elements when applicable.

(4) Provides database output systems and procedures to support the processes involved in:

(a) Formulating and executing online search and retrieval.

(b) Formulating output of significant segments of the databases, including search retrieval and analysis tools and procedures using applicable electronic media.

(c) Control of database output products.

(5) Maintains and operates centralized databases of summary technical and management-related information describing the content and scope of R&E programs, as described in Enclosures 5 and 6.

(6) Maintains central referral resources of the DoD and relevant federal STI activities and cooperates with the federal agencies in maintaining such referral services.

(7) Develops and applies techniques to assess STI needs, usage, and trends with a view to assessing the adequacy of its services and proposing new STI products, services, or programs.

(8) Provides the capability and capacity, as approved by the ASD(R&E), to accommodate new or expanded STI databases and extended levels of database access, system interconnection, and the establishment of networks.

(9) Explores and acquires techniques and arrangements for access to STI databases, online services, or networks on the conduct or management of R&E programs. Those may include data, databases, or systems from other federal, commercial, or foreign sources that may not otherwise be readily accessible to DTIC users, providing it does not compete with or detract from services available from the private sector.

(10) Under the oversight of the ASD(R&E), acts as the DoD lead agent for the preparation and publication of newsletters, journals, reports to support the distribution of defense-related STI.

(11) Functions as a central activity in the DoD for applying advanced techniques and technology to DoD STI systems and for developing improvements in services and STI transfer effectiveness in support of STIP objectives.

(12) Maintains a repository of security classification guides and index of security classification guides, as specified in Volume 1 of Reference (v).

4. COLLABORATION RESOURCES. DTIC provides:

a. Systems, technologies, and analysis tools to promote exchange of information and ideas among scientists, engineers, and warfighter communities to facilitate discovery, distribution, and collaboration.

b. An interface that integrates professional networking, RSS feeds, wiki, relationship discovery, search, S&T project status, and user profiles through DoD internet services and internet-based capabilities in compliance with requirements in DoDI 8550.01 (Reference (au)).

c. A secure site for communication between industry and the DoD. The objective is to support DoD S&T and acquisition program planning personnel by providing visibility into the technical content of industry IR&D activities to ensure that they meet DoD needs and promote industry technical capabilities.

5. STIP TRAINING PROGRAM

a. DTIC develops and operates promotional and training programs to increase the awareness and use of STI policy, procedures, tools, products, and services among R&E managers,

scientists, engineers, and information practitioners that support them throughout the current and potential DTIC user community.

b. DTIC training program includes, but is not limited to, S&T resources for the DoD community, DoD STI management, and marking documents for distribution.

6. WEB SERVICES AND HOSTING

a. DTIC develops customized information solutions and hosts applications that support DoD Components. The jointly developed information collection, collaboration, and analysis projects facilitate DoD Components' goals to:

- (1) Improve DoD acquisition decision-making.
- (2) Increase collaborative research and development efforts.
- (3) Facilitate business processes.
- (4) Provide improved support for the warfighter.

b. DTIC provides information services, which use the appropriate information technologies to acquire, analyze, and distribute information to support oversight and management functions and to improve overall DoD management. To accomplish these tasks, DTIC:

- (1) Analyzes and defines processes for information gathering and distribution, as requested by DoD Component headquarters.
- (2) Investigates and evaluates new technologies and their applications to meet information gathering, analysis, and distribution requirements of supported organizations.
- (3) Communicates with DoD Component headquarters to assure continued support for information gathering, analysis, and distribution.
- (4) Provides these services in compliance with the procedures outlined in Reference (t).

c. DTIC seeks effective ways to employ state-of-the-art information storage, retrieval, analysis, and transmission technology and devices by acquiring and testing the application of telecommunications, storage, and transmission devices and concepts.

d. DTIC coordinates its program with other DoD activities engaged in RDT&E involving information science, telecommunications, and other enabling technologies that help the effective conduct of the DoD STIP.

7. DoD IAC SUPPORT

a. DTIC establishes and supports a comprehensive program in the IAC function of the STIP to improve the visibility, effectiveness, and use of the IACs in support of DoD and federal STI programs.

b. Operational procedures for the DoD IAC program are published in Volume 2 of this manual.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

| | |
|-----------|---|
| ANSI | American National Standards Institute |
| ASD(R&E) | Assistant Secretary of Defense for Research and Engineering |
| BA | budget activity |
| B&P | bid and proposal |
| CFR | Code of Federal Regulations |
| DoDD | DoD Directive |
| DoDI | DoD Instruction |
| DoDM | DoD Manual |
| DTIC | Defense Technical Information Center |
| E.O. | Executive order |
| FOIA | Freedom of Information Act |
| FFRDC | Federally Funded Research and Development Center |
| IAC | Information Analysis Center |
| IR&D | independent research and development |
| NISO | National Information Standards Organization |
| PL | Public Law |
| R&E | research and engineering |
| RDT&E | research, development, test, and evaluation |
| RTO | North Atlantic Treaty Organization Research and Technology Organization |
| S&T | science and technology |
| SBIR | Small Business Innovation Research |
| SIPRNET | Secret Internet Protocol Router Network |
| STI | scientific and technical information |
| STIP | Scientific and Technical Information Program |
| STTR | Small Business Technology Transfer |
| URED | Unified Research and Engineering Database |
| U.S.C. | United States Code |
| USD(AT&L) | Under Secretary of Defense for Acquisition, Technology, and Logistics |

PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purposes of this volume.

B&P. Defined in subpart 31.205-18 of Reference (u).

contracted fundamental research. In accordance with Reference (af), contracted fundamental research includes research performed under grants and contracts that are: funded by BA 1 (basic research), whether performed by universities or industry; or funded by BA 2 (applied research) and performed on-campus at a university. The research will not be considered fundamental in those rare and exceptional circumstances where the applied research funded effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant. Contracted fundamental research may also be conducted with other BA funds at the discretion of the requiring activity and with the concurrence of the contracting officer.

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.

data set. The digital recorded factual material commonly accepted in the scientific community as necessary to validate research findings. This includes data sets used to support scholarly publications, but does not include laboratory notebooks, preliminary analyses, drafts of scientific papers, plans for future research, peer review reports, communications with colleagues, or physical objects, such as laboratory specimens.

distribution statement. A statement used in marking a technical document to denote the extent of its availability for secondary distribution, release, and disclosure without additional approvals or authorizations. A distribution statement marking is distinct from and in addition to a security classification marking assigned in accordance with Reference (v).

DoD internet services. All information capabilities and applications available across the Internet in locations owned, operated, or controlled by the DoD. DoD internet services include collaborative tools such as websites, social networking, social media, and user generated content.

DoD potential contractor. An individual or organization outside the DoD approved and certified by a sponsoring DoD activity as eligible for DoD technical information services under a DoD Component potential contractor program. This may be based on participation in any similar DoD Component program, such as the Navy Potential Contractor Program. The DoD Components without a formal potential contractor program may certify a contractor based on a

company's legitimate business relationship. The sponsoring DoD activity will be assured that this individual or organization may benefit by their access to Defense technical information in their understanding of and for responding to a DoD acquisition-sponsored or cosponsored scientific, technical, studies, or analytical work.

internet-based capabilities. Includes social software, e-mail, and instant messaging and discussion forums delivered through a variety of platforms and presentation mediums.

IR&D. An R&D effort performed by a DoD contractor that is neither sponsored by a grant, nor required in performing a contract, and that falls under any of the following four areas:

basic research.

applied research.

development.

systems and other concept formulation studies.

legitimate business relationship. A relationship that exists when the DoD determines that a need exists to acquire, share, exchange, or distribute DoD technical information to anyone other than a DoD government employee for supporting the DoD mission. That relationship may be established by any agreeable means such as a memorandum of understanding, agreement, contract, or grant. The DoD has the sole responsibility for determining that a legitimate business relationship exists since the only purpose is to provide access to information created by, or under the control of, the DoD. Such a relationship may be established with an individual or organization in another federal department or agency; contractors, grantees, potential DoD contractors; other branches of the Federal Government; State and local governments; and foreign countries.

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

R&E. S&T programs, consisting of basic research, applied research, and advanced technology development programs, which are identified as BA 1, 2, and 3 respectively, in Reference (d).

secondary distribution. Distribution of or access to a document, usually based on a request to a document repository or information center, provided after an initial distribution performed or controlled by the authoring or sponsoring DoD Component.

STI. Findings and technological innovations resulting from R&E efforts and S&T work of scientists, researchers, and engineers, whether contractor, grantee, or federal staff. STI also conveys the results of demonstration and commercial application activities as well as experiments, observations, simulations, studies, and analyses.

STI is found in many forms and formats, including textual, graphical, numeric, multimedia, and digital data, technical reports, scientific and technical conference papers and presentations, theses and dissertations, scientific and technical computer software, models, journal articles, workshop reports, program documents, patents, and other forms or formats of technical data.

STI may be classified, controlled unclassified information (including export controlled or personally identifiable information), or unclassified publically releasable.

DoD-funded STI originates primarily from research and other activities performed by direct DoD-executed prime procurements, DoD-operated research activities, and financial assistance recipients, as well as DoD employees.

STIP. A coordinated program to identify, assemble, organize, and preserve the results of DoD-funded R&E and studies in a manner that supports accessibility to the broadest extent possible within the boundaries of law, regulation, directive, or Executive requirement.

technical data. Recorded information related to experimental, developmental, or engineering works that can be used to define an engineering or manufacturing process or to design, procure, produce, support, maintain, operate, repair, or overhaul material. The data may be graphic or pictorial delineations in media, such as drawings or photographs, text in specifications or related performance or design type documents, or computer printouts. Examples of technical data include R&E data, models, engineering drawings, and associated lists, specifications, standards, process sheets, manuals, technical reports, catalog-item identifications, and related information and computer software documentation.

technical document. Any recorded information that conveys STI or technical data regardless of media. For the STIP, that includes such information documents as working papers, memorandums, and preliminary reports when such documents have utility beyond the immediate mission requirement, or will become part of the historical record of technical achievements.

technical report. Any preliminary, interim, or final technical document prepared to record, document, or share results obtained from, or recommendations made on, or relating to, DoD-sponsored or co-sponsored scientific, technical, studies, or analytical work.