



## OFFICE OF THE UNDER SECRETARY OF DEFENSE

3030 DEFENSE PENTAGON  
WASHINGTON, DC 20301-3030

RESEARCH  
AND ENGINEERING

January 10, 2017  
Incorporating Change 1, October 15, 2018

MEMORANDUM FOR: SEE DISTRIBUTION

SUBJECT: Directive-type Memorandum (DTM) 17-002 – Public Access to the Results of DoD Intramural Basic Research Published in Peer Reviewed Scholarly Publications

References: See Attachment 1

- Purpose. In accordance with the authority in DoD Directive 5134.01 (Reference (a)), this DTM implements selected provisions of the direction in the February 22, 2013 Executive Office of the President, Office of Science and Technology Policy Memorandum (Reference (b)), and the direction in the July 9, 2014 Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) Memorandum (Reference (c)). It implements policy, assigns responsibilities, and prescribes procedures for the public accessibility of peer-reviewed publications resulting from DoD scientific and technical intramural basic research efforts and establishes the requirement for development of data management plans for such programs. It establishes the foundation for the baseline processes and procedures that will be adopted for all DoD scientific and technical research via an initial implementation with intramural basic research efforts.
- This issuance is effective January 10, 2017; it will be incorporated into DoD Instruction 3200.12 (Reference (d)) and Volume 1 of DoD Manual 3200.14 (Reference (e)). This issuance will expire effective January 10, 2018.

Applicability. This issuance applies to:

- Office of the Secretary of Defense, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (referred to collectively in this DTM as the “DoD Components”). For the purpose of this DTM, the Office of the Inspector General of the Department of Defense is not considered a part of the DoD Components; thus that office is exempt from the requirements of this DTM.
- DoD intramural basic research programs funded by budget activity 1, “Basic Research,” of each of the following research, development, test and evaluation (RDT&E) appropriations:

- RDT&E, Army.
  - RDT&E, Navy.
  - RDT&E, Air Force.
  - RDT&E, Defense-wide.
- Does not apply to any publications published before the effective date of this DTM.

Definitions. See Glossary.

Policy. In accordance with Reference (b), it is DoD policy that, to the greatest extent and with the fewest constraints possible and consistent with law, the direct results of DoD funded scientific research will be made available to and useful for the public, industry, and the scientific community. The Department will implement this policy using a multi-phase process. The procedures governing the first phase of this effort are set forth in this DTM to ensure public access to peer reviewed scholarly publications resulting from intramural basic research programs. This issuance further establishes the requirement that a data management plan be developed for all intramural basic research programs. Subsequent phases of these efforts will establish procedures governing public access to additional types of results of intramural basic research programs, and to the results of research funded by other categories of the RDT&E budget.

#### Responsibilities

- Administrator, Defense Technical Information Center (DTIC). Under the authority, direction, and control of USD(AT&L), through the Assistant Secretary of Defense for Research and Engineering, the Administrator, DTIC:
  - Creates and maintains an input system for the peer-reviewed scholarly publications.
  - Creates and manages a repository for the data management plans forwarded to DTIC by DoD laboratories.
  - Maintains an online search engine for metadata and full text of peer-reviewed scholarly publications in accordance with the procedures in this DTM.
  - Tracks metrics on compliance and public usage.
- DoD Component Heads. The DoD Component heads develop and implement any necessary internal guidance to comply with this DTM.

Procedures. See Attachment 2.

Summary of Change 1. This change reassigns the office of primary responsibility for this DTM to the Under Secretary of Defense for Research and Engineering in accordance with the July 13, 2018 Deputy Secretary of Defense Memorandum (Reference (f)).

Releasability. **Cleared for public release.** This issuance is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.



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

Attachments:  
As stated

**DISTRIBUTION:**

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Assistant Secretary of Defense for Legislative Affairs  
Assistant to the Secretary of Defense for Public Affairs  
Director, Net Assessment  
Director, Strategic Capabilities Office  
Directors of the Defense Agencies  
Directors of the DoD Field Activities

ATTACHMENT 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) Executive Office of the President, Office of Science and Technology Policy Memorandum, “Increasing Access to the Results of Federally Funded Scientific Research,” February 22, 2013
- (c) Under Secretary of Defense for Acquisition, Technology, and Logistics Memorandum, “Public Access to the Results of Department of Defense-Funded Research,” July 9, 2014
- (d) DoD Instruction 3200.12, “DoD Scientific and Technical Information Program (STIP),” August 22, 2013
- (e) DoD Manual 3200.14, Volume 1, “Principles and Operational Parameters of the DoD Scientific and Technical Information Program (STIP): General Processes,” March 14, 2014
- (f) 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

ATTACHMENT 2

PROCEDURES

1. GENERAL

a. The main objectives of these procedures are:

(1) To ensure that any publicly releasable scholarly publication in a peer reviewed journal produced as a result of DoD intramural basic research is accessible after a 12 month embargo period (or earlier if practical) for public search, retrieval, or analysis.

(2) To ensure that a data management plan is developed for all intramural basic research programs once a decision has been made to fund the effort.

b. The DoD Components will develop and distribute internal guidance to implement this DTM.

c. The procedures governing public release of additional forms of research results, including those funded by other categories of the RDT&E budget, will be addressed in future implementation procedures (e.g., when this DTM is incorporated into DoD issuances).

2. DTIC. Maintains an online search engine for metadata and full text of peer-reviewed scholarly publications in the form of either the required author's final peer-reviewed manuscript or the publisher's final copy (as provided by the publishers or authors) for public access and download after a 12 month embargo period, if applicable. This system will provide metadata and abstracts for such publications in a way that is open and readable, and the metadata will be linked to the manuscript or published article.

3. DoD COMPONENTS. DoD Components develop and distribute internal guidance to implement this DTM. This guidance must include the requirements that:

a. Submittal of final peer-reviewed journal article or accepted author's manuscript be made to DTIC.

b. Submittal of metadata associated with the publication includes:

(1) Authors names and affiliations.

(2) Funding agency, if different from affiliation.

(3) Title of article.

identifier.

- (4) Journal publication information including web location or digital object

- (5) Subject terms.

- (6) Abstract.

c. Submittal of a data management plan to DTIC once a decision has been made to fund the project. The data management plan is not to exceed 2 pages and includes:

- (1) The types of data, software, and other materials to be produced.

- (2) How the data will be acquired.

- (3) Time and location of data acquisition, if scientifically pertinent.

- (4) How the data will be processed.

- (5) The file formats and the naming conventions that will be used.

- (6) A description of the quality assurance and quality control measures during collection, analysis, and processing.

- (7) If existing data are to be used, a description of their origins.

- (8) A description of the standards to be used for data and metadata format and content.

- (9) Appropriate timeframe for preservation.

- (10) If, for legitimate reasons, the data cannot be preserved or made available for public access, the plan will include a justification citing such reasons. Legitimate reasons may include prohibitive costs or effort.

## GLOSSARY

### PART I. ABBREVIATIONS AND ACRONYMS

DTIC	Defense Technical Information Center
RDT&E	Research, Development, Test, and Evaluation
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics

### PART II. DEFINITIONS

These terms and their definitions are for the purpose of this DTM.

basic research. The systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, and life sciences related to long-term national security needs. It is farsighted, high-payoff research that provides the basis for technological progress.

data. The digitally recorded factual material commonly accepted in the scientific community as necessary to validate research findings, including 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. It includes any publicly releasable digital data, algorithms, or other information central to the conclusions of published peer-reviewed scientific research that would enable an individual skilled in the discipline to verify or replicate any major claim presented in the published scientific research.

data management plan. A document that describes which data generated through the course of the proposed research will be shared and preserved, how it will be done, or explains why data sharing or preservation is not possible or scientifically appropriate, or why the costs of sharing or preservation are incommensurate with the value of doing so.

embargo period. The period of time upon which publisher's final copy of the publication is not openly accessible.

intramural basic research. Basic research conducted by DoD military personnel or civilian employees within a DoD Component laboratory or facility.