



Department of Defense **INSTRUCTION**

NUMBER 3200.12
August 22, 2013

USD(AT&L)

SUBJECT: DoD Scientific and Technical Information Program (STIP)

References: See Enclosure 1

1. **PURPOSE.** This instruction reissues DoD Directive (DoDD) 3200.12 (Reference (a)) as a DoD instruction (DoDI) in accordance with the authority in DoDD 5134.01 (Reference (b)) to establish policy, assign responsibilities, and prescribe procedures to carry out the DoD STIP consistent with the national science and technology policy and priorities described in section 6602 of Title 42, United States Code (U.S.C.) (Reference (c)).

2. **APPLICABILITY.** This instruction:

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 instruction as the “DoD Components”).

(2) Science and technology programs consisting of basic research, applied research, and advanced technology development programs, which are identified as budget activities (BA) 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 scientific and technical information 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. It is DoD policy that:

a. The DoD sustains a coordinated program to manage scientific and technical information created or acquired in the execution of research and engineering activities specified in paragraph 2.a.(2). This program, referred to as the STIP:

(1) Implements a systematic interchange of scientific data and technological findings developed under DoD programs in accordance with the provisions of Reference (c).

(2) Maximizes resources and eliminates duplication of effort by thorough reuse of DoD research, development, test, and evaluation investments and assets.

(3) Facilitates rapid technology development, to meet critical warfighter capability needs through the systematic interchange, of useful scientific findings.

(4) Promotes communication and collaboration among DoD scientists, engineers, acquisition professionals, other federal agencies, and academic, private sector, and international partners.

(5) Establishes requirements and responsibilities to ensure that:

(a) Scientific and technical information (STI) is a key outcome and record of the research and engineering (R&E) work conducted.

(b) DoD STI is appropriately identified, disseminated, preserved, and accessible to policy makers, the scientific community, and the public within the boundaries of laws, regulations, Executive orders, other requirements, and program needs and resources.

b. The acquisition, documentation, and dissemination of DoD STI is:

(1) In accordance with this instruction, DoDD 8000.01 (Reference (g)), and DoDI 3200.14 (Reference (h)).

(2) Controlled in accordance with:

(a) DoD Manual 5200.01 (Reference (i)).

(b) DoDIs 5200.39, 5230.27, 5200.44, 5230.24, 5230.29, 8582.01, and 2040.02 (References (j) through (p)).

(c) DoDDs 5205.02E, 5230.09, 5230.11, 5230.25, and 5400.11 (References (q) through (u)).

(d) DoDD 5400.07 (Reference (v)).

(e) National Security Decision Directive 189 (Reference (w)).

(f) Executive Orders 13526 and 13556 (References (x) and (y)).

(g) Subparts 203, 227, and 252 of Title 48, Code of Federal Regulations (CFR) (Reference (z)).

(h) Parts 120-130 of Title 22, CFR, also known as the “International Traffic in Arms Regulations,” (Reference (aa)).

4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. See Enclosure 3.

6. RELEASABILITY. **Unlimited**. This instruction is approved for public release and is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

7. EFFECTIVE DATE. This instruction:

a. Is effective August 22, 2013.

b. Must be reissued, cancelled, or certified current within 5 years of its publication to be considered current in accordance with DoD Instruction 5025.01 (Reference (ab)).

c. Will expire effective August 22, 2023 and be removed from the DoD Issuances Website if it hasn't been reissued or cancelled in accordance with Reference (ab).



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Under Secretary of Defense for
Acquisition, Technology, and Logistics

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ENCLOSURE 1

REFERENCES

- (a) DoD Directive 3200.12, "DoD Scientific and Technical Information (STI) Program (STIP)," February 11, 1998 (hereby cancelled)
- (b) DoD Directive 5134.01, "Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L))," December 9, 2005, as amended
- (c) Title 42, United States Code
- (d) DoD 7000.14-R, "Department of Defense Financial Management Regulations (FMRs)," Volumes 1-15, date varies per 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) DoD Directive 8000.01, "Management of the Department of Defense Information Enterprise," February 10, 2009
- (h) DoD Instruction 3200.14, "Principles and Operational Parameters of the DoD Scientific and Technical Information Program," May 13, 1997, as amended
- (i) DoD Manual 5200.01, "DoD Information Security Program" February 24, 2012, as amended
- (j) DoD Instruction 5200.39, "Critical Program Information (CPI) Protection Within the Department of Defense," July 16, 2008, as amended
- (k) DoD Instruction 5230.27, "Presentation of DoD-Related Scientific and Technical Papers at Meetings," October 6, 1987
- (l) DoD Instruction 5200.44, "Protection of Mission Critical Functions to Achieve Trusted Systems and Networks (TSN)," November 5, 2012
- (m) DoD Instruction 5230.24, "Distribution Statements on Technical Documents," August 23, 2012
- (n) DoD Instruction 5230.29, "Security and Policy Review of DoD Information for Public Release," January 8, 2009
- (o) DoD Instruction 8582.01, "Security of Unclassified DoD Information on Non-DoD Information Systems," June 6, 2012
- (p) DoD Instruction 2040.02 "International Transfers of Technology, Articles, and Services," July 10, 2008
- (q) DoD Directive 5205.02E, "DoD Operations Security (OPSEC) Program," June 20, 2012
- (r) DoD Directive 5230.09, "Clearance of DoD Information for Public Release," August 22, 2008
- (s) DoD Directive 5230.11, "Disclosure of Classified Military Information to Foreign Governments and International Organizations," June 16, 1992
- (t) DoD Directive 5230.25, "Withholding of Unclassified Technical Data from Public Disclosure," November 6, 1984, as amended
- (u) DoD Directive 5400.11, "DoD Privacy Program," May 8, 2007, as amended
- (v) DoD Directive 5400.07, "DoD Freedom of Information Act (FOIA) Program," January 2, 2008

- (w) National Security Decision Directive (NSDD) 189, “National Policy on the Transfer of Scientific, Technical, and Engineering Information,” September 21, 1985
- (x) Executive Order 13526, “Classified National Security Information,” December 29, 2009
- (y) Executive Order 13556, “Controlled Unclassified Information,” November 4, 2010
- (z) Title 48, Code of Federal Regulations
- (aa) Title 22, Code of Federal Regulations
- (ab) DoD Instruction 5025.01, “DoD Directives Program,” September 26, 2012
- (ac) Public Law 103-62, “Government Performance Results Act of 1993,” August 3, 1993
- (ad) Public Law 107-347, “E-Government Act of 2002,” December 17, 2002
- (ae) DoD Instruction 3200.20, “Scientific and Engineering Integrity,” July 26, 2012
- (af) DoD Directive 5105.73, “Defense Technical Information Center (DTIC),” May 2, 2013
- (ag) Office of Science and Technology Policy Memorandum, “Increasing Access to the Results of Federally Funded Scientific Research,” February 22, 2013¹
- (ah) DoD Directive 5015.2, “DoD Records Management Program,” March 6, 2000
- (ai) DoD Directive 3204.1, “Independent Research and Development (IR&D) and Bid and Proposal (B&P) Program,” May 10, 1999
- (aj) DoD Instruction 1322.26, “Development, Management, and Delivery of Distributed Learning,” June 16, 2006
- (ak) DoD Instruction 5535.8, “DoD Technology Transfer (T2) Program,” May 14, 1999
- (al) DoD Directive 8500.01E, “Information Assurance (IA),” October 24, 2002
- (am) Chairman of the Joint Chiefs of Staff Instruction 6510.01F, “Information Assurance (IA) and Support to Computer Network Defense (CND),” February 9, 2011
- (an) DoD Instruction 4000.19, “Support Agreements,” April 25, 2013
- (ao) DoD Directive 5122.05, “Assistant Secretary of Defense for Public Affairs (ASD(PA)),” September 5, 2008
- (ap) Title 15, Code of Federal Regulations
- (aq) Title 48, Code of Federal Regulations
- (ar) Title 5, United States Code

¹ Copies may be obtained from the Internet at:
http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.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 instruction and Reference (h).
- 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. Maintains oversight of the Information Analysis Center (IAC) program.
- e. Approves or disapproves all proposals by the Heads of the DoD Components to establish or disestablish an IAC or make major changes in an IAC's scope or subject area.
- f. Approves service charges DoD technical information dissemination activities collect in a manner consistent with volume 11A, chapter 4, appendix 2 of Reference (d).

2. DoD COMPONENT HEADS. The DoD Component heads:

- a. Ensure that STIP matters in their respective areas are consistent with the policy in this instruction and in Reference (h).
- b. Designate a senior-level STI director or manager at the Military Department or the Defense Agency staff level who serves 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 (ac)) and this instruction.
- d. Conduct preliminary and periodic searches of research in progress and completed research to define the technology baseline, avoid duplication of effort, and justify investment, before beginning or continuing a technical effort.
- e. Report to the Defense Technical Information Center (DTIC), as prescribed by section 207(g) of PL 107-347 (Reference (ad)), R&E data at the performer level including, but not limited to, the entity performing the task, performance dates, funding, and technical summary for:

- (1) BA 1 – Basic research
- (2) BA 2 – Applied research
- (3) BA 3 – Advanced technology development

f. Adhere to scientific and engineering ethics to assure the integrity of DoD-sponsored research pursuant to DoDI 3200.20 (Reference (ae)).

g. Ensure that all results, regardless of outcome, of DoD R&E and studies efforts sponsored in whole or in part by the DoD, are documented and sent to the DTIC in accordance with DoDD 5105.73 (Reference (af)).

(1) Components ensure that the DoD or extramural organization responsible for each research effort submits to DTIC, STI data that documents the effort to enable others to understand the purpose, scope, approach, results or outcomes, and conclusions or recommendations. The organization may submit any combination of technical reports, technical papers, journal articles, or other types of STI data.

(2) The organization must submit STI data that are primary sources of the information. Merely providing citations to where the information may be found is not sufficient to meet this requirement.

(3) Pending DoD implementation of the Office of Science and Technology Policy Memorandum, (Reference (ag)), if an extramural organization responsible for a research effort elects to submit materials protected by copyright, such as peer-reviewed journal articles, to DTIC as part of its documentation of the effort, DTIC makes the information available consistent with the license afforded to the government under the terms and conditions of the applicable contract, grant, cooperative agreement, or other type of transaction.

(4) The STI contains a summary of work accomplished, to include negative and positive results. It describes theoretical studies, experimental work, mechanical design, theory of operation, test procedures, test results, and drawings, charts, graphs, illustrations, or other material needed to clarify the presentation.

(5) The STI must contain sufficient detail to allow the methods to be replicated and the results compared.

h. Determine primary and secondary distribution of STI and apply markings in accordance with Volume 2 of Reference (i), References (m), (r) through (t), and References (u) and (v).

i. Expedite information and technology transfer within the DoD and to the general public, by presenting STI in an unclassified, unlimited form, in accordance with clearance procedures and within the limits of law, government data rights, and national security requirements.

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, and that the scope of the relationship would authorize access to such technical information. DoD personnel who certify access for non-DoD users have the technical competence and familiarity with the user's needs and intended use for the information to determine that such transactions are in the best interest of the DoD and in accordance with References (p), (s), (t), other applicable policies and references in section 3.b.(2) of this instruction, and the Security and Controls Procedures at Enclosure 3 of this instruction. Promptly report to DTIC any changes of certification status such as contract termination, revisions to contracts and grants concerning levels of access or completion dates, and changes of address or organization names.

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 DoDD 5015.2, (Reference (ah)).

3. ADMINISTRATOR, DTIC. Under the authority, direction, and control of the USD(AT&L), through the ASD(R&E), the Administrator, DTIC:

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

b. Operates a comprehensive 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, in accordance with DoDD 3204.1, DoDI 1322.26, and DoDI 5535.8 (References (ai), (aj), and (ak)).

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 in accordance with control or distribution markings including export control.

e. Provides staff support to ASD(R&E), on DoD STIP policy formulation, including development and maintenance of References (h), (k), (m), and (t).

f. Disseminates DoD STI internally to the DoD and other Federal Government agencies including the legislative and judicial branches, in accordance with Reference (g).

g. Disseminates DoD STI to government contractors, grantees, 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 when the STI is disseminated in accordance with References (p), (s), (t), the Security and Controls Procedures at Enclosure 3 of this instruction, and other applicable policies and references.

h. Ensures that all applicable security requirements are addressed, in accordance with DoDD 8500.01E (Reference (al)).

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 (am)).

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

l. Supports program-specific STI management efforts through support and inter-service agreements, in accordance with DoDI 4000.19 (Reference (an)).

m. Sustains a science and technology collaboration and networking environment to enhance information sharing across the department and with industry partners.

n. Provides training on the principles and procedures of the DoD STIP.

ENCLOSURE 3

PROCEDURES

1. STIP OVERVIEW

a. The STIP operates as a coordinated structure of decentralized activities with overall policy direction and oversight vested in USD(AT&L). Its purpose is to ensure that STI is appropriately managed to enable scientific knowledge and technological innovations to be fully accessible to the research community, industry, the military operational community, and the general public within the boundaries of law, regulation, other directives and executive requirements.

b. The DoD STIP consists of many elements that facilitate and contribute to the acquisition, production, reproduction, and distribution of intellectual property. Additionally, selected STIP functions provide support to the management of selected Defense acquisition programs and the DoD studies program.

c. Activities such as DTIC, the IACs, DoD databases, and technical libraries function as repositories, custodians, and secondary distribution activities that maximize the return on investment in R&E and studies.

d. Applicable plans and resources are applied to preserve essential STI when organizational realignments, consolidations, and program cancellations eliminate the STI holdings of such activities.

e. The DTIC provides centralized operation of specific STIP functions such as access and dissemination of STI and database and reference services; sustains a collaboration and networking environment to enhance information sharing among scientists, engineers, and the operational community; and provides direct information system and database support in coordinating the overall STIP.

f. A principal objective of the STIP is to improve the scope and effectiveness of collecting, processing, distributing, and applying STI. The STIP applies the latest available technologies and provides for maximum participation and compatibility among the information programs of DoD Components, other federal agencies, the private sector, and international partners.

2. PUBLIC RELEASE OF STI

a. All policies and procedures governing the distribution of STI to the public are subject to review and approval by the Washington Headquarters Services Defense Office of Prepublication and Security Review or component public affairs personnel in accordance with Reference (r).

b. Official DoD documents including, but not limited to, audio-visual materials or press releases which meet the criteria in DoDD 5122.05 (Reference (ao)), are approved for public release by the Assistant to the Secretary of Defense for Public Affairs.

3. SECURITY AND CONTROLS

a. The overriding priority of the STIP is to ensure timely and effective exchange of all STI generated by, or needed in, the conduct of DoD R&E programs. The publication and reporting of such information frequently requires security safeguards or specific limitations on access or distribution.

b. Effective coordination is necessary among the STIP and programs involving technical intelligence, information security management, foreign disclosure activities, intellectual property counsel, technical data management, manpower, logistics, and acquisition systems to ensure maximum compatibility, interchange of information, and avoidance of duplication of effort.

c. Every effort is made, under the limits of national security requirements, to prepare technical documents and other types of DoD STI in an unclassified, unlimited form and in accordance with established clearance procedures. Such use of unclassified STI or of unclassified versions of DoD STI expedites information transfer in the DoD and to the national scientific and technical community.

d. STI is protected in the interest of national security, in accordance with References (x) and (i) or other statutory or regulatory provision, including but not limited to References (j), (l), (m), (o), (p), (q), (t), (u), (v), and (y).

e. STIP processes support and incorporate DoD policy to prevent the unauthorized export or transfer of export-controlled technology and technical data, pursuant to parts 730-774 of Title 15, and parts 120-130 of Title 22, CFR (References (ap) and (aa)) and as specified in References (p) and (t).

f. Proprietary data in which the DoD has limited or restricted rights is appropriately marked and protected pursuant to subsections 252.227-7013, 252.227-7014, 252.227-7015, and 252.227.7018 of Title 48, CFR (Reference (aq)).

g. Requests for records pursuant to section 552 of Title 5, U.S.C. (Reference (ar)) are processed in accordance with Reference (v).

4. STIP FUNCTIONS

a. A set of operational functions are required and are used to implement the policies and procedures of the DoD STIP. The STIP functions involve recording and transferring STI from its generator or source to the ultimate user or beneficiary. The STIP functions embrace a broad

spectrum of activity from generation, publication, distribution, and storage, to access, assimilation, and analysis of STI.

b. STI functions include, but are not limited to:

- (1) The preparation, management, preservation, and distribution of STI.
- (2) The provision of STI services, including acquisition, archival functions, repositories, announcements, and various means of distribution, access, transmission, and analysis.
- (3) The operation of data centers, IACs, technical libraries, and other information activities that collect, store, process, and provide document, data, or information services in direct support to information seekers or that act as intermediaries between the user and other STI functions.
- (4) The implementation and operation of database services, including numeric, bibliographic, full-text, and management information databases, database processes and products, and the application of electronic and telecommunications techniques for data entry, storage, access, search, retrieval, and collaboration.
- (5) The provision of information and decision-support systems and services for use in management of R&E programs.
- (6) The operation of directory or reference services to identify and locate available STI and R&E capabilities and resources.
- (7) The conduct and support of technical meetings and conferences.
- (8) The provision of information exchange programs to facilitate transfer of technology from DoD R&E programs to civilian purposes.
- (9) The operation of programs to effect exchange of DoD technical planning, requirements, and acquisition information across the DoD enterprise and with private sector organizations engaging in DoD programs.
- (10) The study of, and experimentation with, new methods and techniques in handling STI and promoting the communication of new ideas or knowledge among scientists and engineers.
- (11) The security aspects of information management to include systematic review, maintenance, and notification of classified and controlled unclassified information.
- (12) The development and implementation of mechanisms and techniques to foster the awareness and use of STI resources, products, and services.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

ASD(R&E)	Assistance Secretary of Defense for Research and Engineering
BA	budget activity
CFR	Code of Federal Regulations
DoDD	DoD Directive
DoDI	DoD Instruction
DTIC	Defense Technical Information Center
IAC	Information Analysis Center
PL	Public Law
R&E	research and engineering
STI	scientific and technical information
STIP	scientific and technical information program
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 purpose of this instruction.

legitimate business relationship. 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. A legitimate business 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.

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

STI. Findings and technological innovations resulting from R&E efforts and science and technology 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, 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.