



Department of Defense

DIRECTIVE

NUMBER 3200.12
February 11, 1998

DDR&E

SUBJECT: DoD Scientific and Technical Information (STI) Program (STIP)

References: (a) DoD Directive 3200.12, "DoD Scientific and Technical Information Program," February 15, 1983 (hereby canceled)
(b) Section 133 of title 10, United States Code
(c) DoD Instruction, 3200.14, "Principles and Operational Parameters of the DoD Scientific and Technical Information Program" May 13, 1997
(d) DoD 5025.1-M, "DoD Directives System Procedures," August 1994
(e) through (t), see enclosure 1

1. REISSUANCE AND PURPOSE

This Directive:

1.1. Reissues reference (a) to update DoD policy and responsibilities consistent with the general authority of the Secretary of Defense under reference (b) for establishing the DoD STIP.

1.2. Authorizes the issuance of reference (c), consistent with reference (d), to provide guidance on implementation of policies and principles for the DoD STIP.

1.3. Authorizes the issuance of DoD Instruction 3204.1 (reference (e)), consistent with reference (d), to provide implementation of policy and principles for the DoD Industry Independent Research and Development Program.

1.4. Authorizes the issuance of DoD 3200.12-R-4 (reference (f)), consistent with reference (d) to provide guidance for the implementation of policy and principles for the DoD Domestic Technology Transfer Program.

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2. APPLICABILITY AND SCOPE

This Directive:

2.1. Applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components"). The term "Military Services," as used herein, refers to the Army, the Navy, the Air Force, and the Marine Corps.

2.2. Does not apply to the following:

2.2.1. DoD programs for involving day-to-day operational data used by the warfighter unless required for scientific and technical analysis and communications and display of information relating to the command and control of operations and forces.

2.2.2. The DoD scientific and technical intelligence production community and those products generated under that program, and technical documents containing classified scientific and technical intelligence (although the concepts and principles of the DoD STIP shall be applied when possible).

2.2.3. The DoD technical data management program (DoD 5000-2-R, reference (g)) for those aspects that are distinct from the STI.

2.2.4. Signal intelligence and communications security information, as defined in DoD Directives S-3115.7 and C-5200.5 (references (h) and (i)).

3. DEFINITIONS

OSD Principal Staff Assistants (PSAs). The Under Secretaries of Defense, the Director of Defense Research and Engineering, the Assistant Secretaries of Defense, the Director of Operational Test and Evaluation, the General Counsel of the Department of Defense, the Inspector General of the Department of Defense, the Assistants to the Secretary of Defense, and the OSD Directors or equivalents who report to the Secretary or Deputy Secretary of Defense.

4. POLICY

It is DoD policy that:

4.1. The Department of Defense shall aggressively pursue a coordinated and comprehensive STIP, thereby providing maximum contribution to the advancement of

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science and technology. The STIP shall permit timely, effective, and efficient conduct and management of DoD research and engineering (R&E) and studies programs, and eliminate unnecessary duplication of effort and resources by encouraging and expediting the interchange and use of STI. Interchange and use of DoD STI is intended to include the DoD Components, their contractors, other Federal Agencies, their contractors, and the national and international R&E community. Acquisition, documentation, and dissemination of STI is further described in DoD Instructions 3200.14, 3204.1, and DoD 3200.12-R-4 (references (c), (e), and (f)), and is controlled in a manner consistent with references (j) through (r).

4.2. The STIP is a basic and integral part of the functions of the organization of the Under Secretary of Defense for Acquisition and Technology (USD(A&T)) (DoD Directive 5134.1, reference (s)), the functions of the Director of Defense Research and Engineering (DoD Directive 5134.3, reference (t)), and is affected by the DoD studies program. Managers and performers of R&E shall use and support the STIP. STI services and processes are used to facilitate communication and enrich development and use of STI during the planning and conduct of R&E and studies efforts. Conversely, the performance of those R&E and studies efforts is not considered complete until the STI, including related program management information, is documented satisfactorily and provided to the applicable STI distribution activities.

4.3. Defense R&E programs consist of several critical elements necessary to meet the technological needs of the Department of Defense in support of the DoD national security mission. The DoD Components shall coordinate, sustain, and integrate those critical R&E elements described in subparagraphs 4.3.1. through 4.3.3., below, and in a manner designed to maximize the ability to meet DoD mission requirements. These elements are:

4.3.1. Critical facilities in the public and private sector needed to produce world class technology;

4.3.2. Highly skilled and experienced people in Department of Defense and defense-related academic and industrial complexes that produce and apply the technology needed to sustain DoD technological superiority; and

4.3.3. A well-established and sustained DoD STIP at all levels to record, disseminate, and preserve as a critical asset the investment in and results of the other two elements of the DoD R&E programs. While STI is often unobtrusive or taken for granted when it is well-managed, failure to support adequately the STIP materially impacts the DoD ability to leverage significant investments in defense technology.

5. RESPONSIBILITIES

5.1. Under Secretary of Defense for Acquisition and Technology shall:

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5.1.1. Manage the STIP.

5.1.2. Issue DoD Instructions 3200.14 and 3204.1, and DoD 3200.12-R-4 (references (c), (e), and (f)).

5.2. The OSD Principal Staff Assistants shall ensure that STIP matters in their respective areas are consistent with the policy in section 4., above, and references (c), (e), and (f).

5.3. The Heads of the DoD Components shall implement this Directive and the policy and principles in references (c), (e), and (f). That includes the responsibility to:

5.3.1. Designate a "senior-level STI director or manager" at the Military Department or Defense Agency staff level who shall serve as a single, authoritative point of contact for management and oversight of STIP matters.

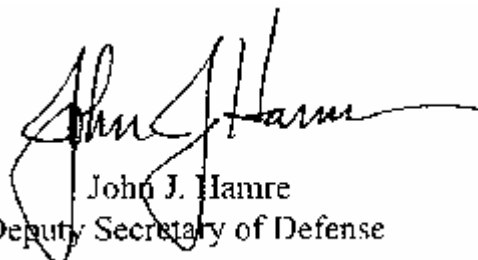
5.3.2. Continually review their needs for STI and make proposals to the Office of the Under Secretary of Defense for Acquisition and Technology (OUSD(A&T)) for the initiation of new or major revisions to STI efforts or activities.

5.3.3. Establish, operate, and administer those STI functions and activities required for the conduct of their missions, and other information activities required to serve the Department of Defense, national R&D needs, or as assigned by the OUSD(A&T).

5.3.4. Provide programming, budgeting, funding, and other fiscal support for their STI activities.

6. EFFECTIVE DATE

This Directive is effective immediately.



John J. Hamre
Deputy Secretary of Defense

Enclosures - 1

E1. References, continued

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E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD Instruction 3204.1, "Independent Research and Development," December 1, 1983
- (f) DoD 3200.12-R-4, "Domestic Technology Transfer Program Regulation," December 1988
- (g) DoD 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPS) and Major Automated Information System (MAIS) Acquisition Programs," March 1996, authorized by DoD Directive 5000.1, March 15, 1996
- (h) DoD Directive S-3115.7, "Signals Intelligence (SIGINT) (U)," January 25, 1973
- (i) DoD Directive C-5200.5, "Communications Security (COMSEC) (U)," April 21, 1990
- (j) DoD Directive 5230.24, "Distribution Statements on Technical Documents," March 18, 1987
- (k) DoD 5200.1-R, "Department of Defense Information Security Program Regulation," January 1997, authorized by DoD Directive 5200.1, December 13, 1996
- (l) DoD Directive 5400.7, "DoD Freedom of Information Act Program," May 13, 1988
- (m) DoD Directive 5400.11, "Department of Defense Privacy Program," June 9, 1982
- (n) DoD Directive 5230.9, "Clearance of DoD Information for Public Release," April 9, 1996
- (o) DoD Directive 5230.11, "Disclosure of Classified Military Information to Foreign Governments and International Organizations," June 16, 1992
- (p) DoD Directive 2002.3, "Clearance of Research and Studies with Foreign Affairs Implications," August 15, 1985
- (q) DoD Directive 5230.25, "Withholding Unclassified Technical Data from Public Disclosure," November 6, 1984
- (r) DoD Instruction 5230.27, "Presentation of DoD-Related Scientific and Technical Papers at Meetings," October 6, 1987
- (s) DoD Directive 5134.1, "Under Secretary of Defense for Acquisition and Technology (USD(A&T)), " June 8, 1994
- (t) DoD Directive 5134.3, "Director of Defense Research and Engineering (DDR&E)," August 31, 1994