Section 3.c. Enclosure 3, DoD Instructions 3200.12
August 22, 2013
Incorporating Change 3, Effective December 17, 2018

1. STIP OVERVIEW

a. The STIP operates as a coordinated structure of decentralized activities with overall policy direction and oversight vested in USD(R&E). 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 (s).

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. PUBLIC ACCESS TO THE RESULTS OF DOD-FUNDED RESEARCH

a. In accordance with Reference (af), the DoD will maximize the free flow of scientific and engineering information developed by or for DoD to the public.

b. Publicly releasable results of research arising directly from DoD funding and published in peer-reviewed publications must be stored for long-term preservation and publicly accessible to search, retrieve, and analyze in ways that maximize the impact and accountability of the DoD's research investment. Final peer reviewed manuscripts or final published documents must be available for reading, download, and analysis in digital form after a 12-month post-publication embargo period.

c. Data management planning should be an integral part of research planning. The responsible component will submit a copy of a document describing this plan to DTIC at the start of the research project. Generally, the data management plan will not exceed 2 pages. It will conform to a format established by the relevant research discipline or such other format that meets the requirements of the responsible component, including, but not limited to:

(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) A description of dataset origin when existing data resources are used.

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

(9) Appropriate timeframe for preservation.

(10) The plan may consider the balance between the relative value of data preservation and other factors such as the associated cost and administrative burden. The plan will provide a justification for such decisions.

(11) A statement that the data cannot be made available to the public when there are national security or controlled unclassified information concerns (e.g., "This data cannot be cleared for public release in accordance with the requirements in DoD Directive 5230.09.")

4. 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 and other international technology transfer activities; intellectual property counsel; technical data management; and manpower, logistics, and acquisition systems. This coordination ensures maximum compatibility, interchange of information, and avoidance of duplication of effort.

c. Every effort is made, under the limits of U.S. law, regulations, policy, and 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 (y) and (j) or other statutory, regulatory, and policy provisions, including but not limited to References (k), (m), (n), (p), (q), (r), (u), (v), (w), and (z).

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 (ac) and (ab)) and as specified in References (q), (u), and DoDI 2030.08 (Reference(ap)).

f. Proprietary data in which the DoD has less than unlimited 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 (aa)).

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

5. 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

BA	budget activity
CFR	Code of Federal Regulations
DDRE(R&T)	Director Defense Research and Engineering for Research and Technology
DMP	data management plan
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(R&E)	Under Secretary of Defense for Research and Engineering

PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purpose of this instruction.

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. 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. This does **not** include laboratory notebooks, preliminary analyses, drafts of scientific papers, plans for future research, peer review reports, communications with colleagues, or physical objects.

data management plan. A document that describes which data generated through the course of the proposed research will be shared and preserved and how it will be done. It may explain 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 time during which the publisher's final copy of the publication is not openly accessible.

final peer-reviewed manuscript. An author's final manuscript of a peer-reviewed paper accepted for journal publication, including all modifications from the peer-review process.

final published article. A publisher's authoritative copy of an article, including all modifications from the publishing peer-review process, copyediting, stylistic edits, and formatting changes.

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 (e).

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.