SAF/AQT-SR-90-001

The USAF STINFO Program Overview

June 1989

United States Air Force
Scientific and Technical Information Program
Management of STINFO

USAF STINFO MANAGEMENT 90/1

Secretary of the Air Force
Deputy for Scientific and Technical Information (SAF/AQT)
The Pentagon
Washington, DC 20330-1000

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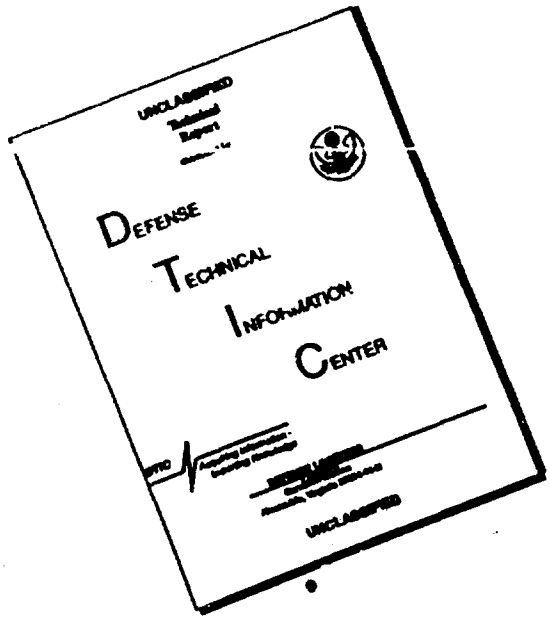

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REPORT DOCUMENTATION PAGE

Form Approved
OMB No. 0704-0188

1. AGENCY USE ONLY (Leave blank)	2. REPORT DATE	3. REPORT TYPE AND DATES COVERED
	Jun 89	

4. TITLE AND SUBTITLE
The USAF STINFO Program Overview.

5. FUNDING NUMBERS

6. AUTHOR(S)
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7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)
Secretary of the Air Force
Deputy for Scientific and Technical Information
SAF/AQT, Room 4D289, The Pentagon
Washington, DC 20330-1000

8. PERFORMING ORGANIZATION REPORT NUMBER
USAF-STINFO Management-90/1

SAF/AQT-SR-90-001

9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)

10. SPONSORING/MONITORING AGENCY REPORT NUMBER

11. SUPPLEMENTARY NOTES
United States Air Force Scientific and Technical Information Program, Management of STINFO, USAF STINFO Management-90/1. Also available in 3.5 floppy microdisc, Macintosh MS (c), SAF/AQT-Floppy-90-001, USAF-STINFO-Management-90/1-Floppy.

12a. DISTRIBUTION/AVAILABILITY STATEMENT
Approved for public release;
distribution unlimited.

12b. DISTRIBUTION CODE

13. ABSTRACT *(Maximum 200 words)*

This document summarizes the critical elements of the USAF STINFO Program, covering the topics and materials in the STINFO Program Manager training course. The purpose of this document and the course is to impart an in-depth understanding of what the STINFO Program Management duties are and to give instruction in carrying out the STINFO function. The overall objective is to support the DoD Scientific and Technical Information (STI) Program, in order to increase the effectiveness of the scientific and technical efforts in the DoD community.

14. SUBJECT TERMS	15. NUMBER OF PAGES
~~STINFO~~, USAF, management, STINFO Program Management	199
	16. PRICE CODE

17. SECURITY CLASSIFICATION OF REPORT	18. SECURITY CLASSIFICATION OF THIS PAGE	19. SECURITY CLASSIFICATION OF ABSTRACT	20. LIMITATION OF ABSTRACT
UNCLASSIFIED	UNCLASSIFIED	UNCLASSIFIED	UL

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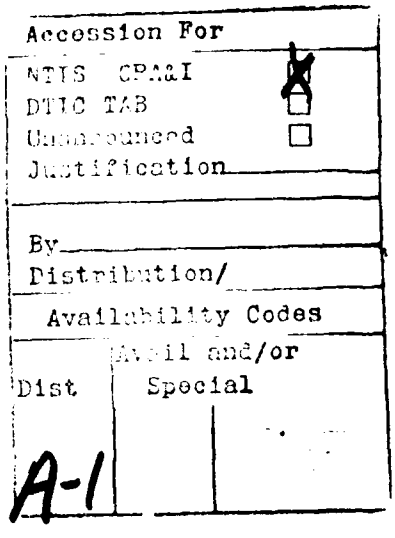

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Contents of Notes and Topics Covered

1. Introduction

THE POINT OF THIS SECTION IS:

You produce and use STINFO. The STINFO office manages all STINFO materials coming into and leaving an organization. Therefore, it is in your interest to find out what these folks do!

1.1. Course Objective

The objective of this course is to familiarize you with the functions and operation of the AF STINFO program.

Your local STINFO Program Manager is responsible for (among a number of related functions) managing the flow of STINFO out of and into your organization. If you are either a user or producer of scientific or technical information, you will have undoubted had some contact with this office already. The purpose of this course is to help you become a more effective user of STINFO services by examining what this office does and how it does it.

1.1.1. Course Content

This course is a summary of the topics and materials covered in a longer STINFO Program Manager's training course. The main thrust of that course is to impart an in-depth understanding of what the STINFO Program Management duties are and to give those individuals who are involved in carrying out the STINFO function some instruction as to how to go about doing it.

1.2. DoD and Air Force Regulations

Fundamental to this course are a number of DoD and Air Force directives, instructions, regulations, and pamphlets that specify responsibilities, what is to be done, and sometimes even how it is to be done. Before starting, it is important is be aware of the numbering system that is used and how to locate the various documents.

The DoD issues a large number of directives and instructions. These documents are numbered according to the following 7 major subject groups:

1000 - Manpower, Personnel, and Reserve
2000 - International Programs
3000 - Planning and Readiness
4000 - Logistics and Resources Management
5000 - General Administration
6000 - Health and Medical
7000 - Comptrollership

Within each of these categories there is a first and second level breakdown. For example, under the General Administration group, the first level breakdown consists of:

5000 - 5099	General
5100 - 5299	Organization and Function
5200 - 5299	Security
5300 - 5399	Office and Administrative Services
5400 - 5499	Public Information
5500 - 5599	Legal and Administrative

Finally, within the Security category, the second level breakdown is:

5200	-	General
5210	-	Administrative Security
5220	-	Industrial Security
5230	-	Control of Information
5240	-	Counterintelligence

Thus we know that DoD 5200.12 (which is a directive that will be mentioned in this course and is titled "Policy on the Conduct of Meetings Involving Access to Classified Information") is a General Administrative directive dealing with Security matters.

Associated with some of the DoD directives are a variety of manuals, regulations, handbooks, and pamphlets. These are identified by the directive number followed by a symbol such as R, M, PH, etc., followed sometimes by a sequence number. For example, DoD 5230.25-PH is a pamphlet associated with DoD directive 5230.25.

The fundamental listing of all DoD directives and instructions is contained in the ***DoD Directives System Annual Index (DoD 5025.1I)***, which is available on a subscription basis and is published by the Directives Division, Washington Headquarters Services, Pentagon, Washington, D.C. 20301-1155. This document lists the titles of all current documents by number and subject, and lists the Action Officer responsible for that directive and their telephone number.

DoD directives requiring direct implementing action with the Department of the Air Force are implemented by a correspondingly large number of Air Force regulations. Often the DoD directives are included as enclosures to the Air Force regulations.

The Air Force regulations, manuals, and pamphlets are organized into "series," where a series corresponds (roughly) to a single topic. For example, the 80 series contains the documents relating to Research and Development topics. and the 190 series contains the documents relating to Public Affairs topics. Most of the Air Force regulations that will be referred to in this course (and which specify your responsibilities) are currently in the 80 series, but starting with 83-1, those regulations of primary interest to the STINFO program will be numbered in the 83 series.

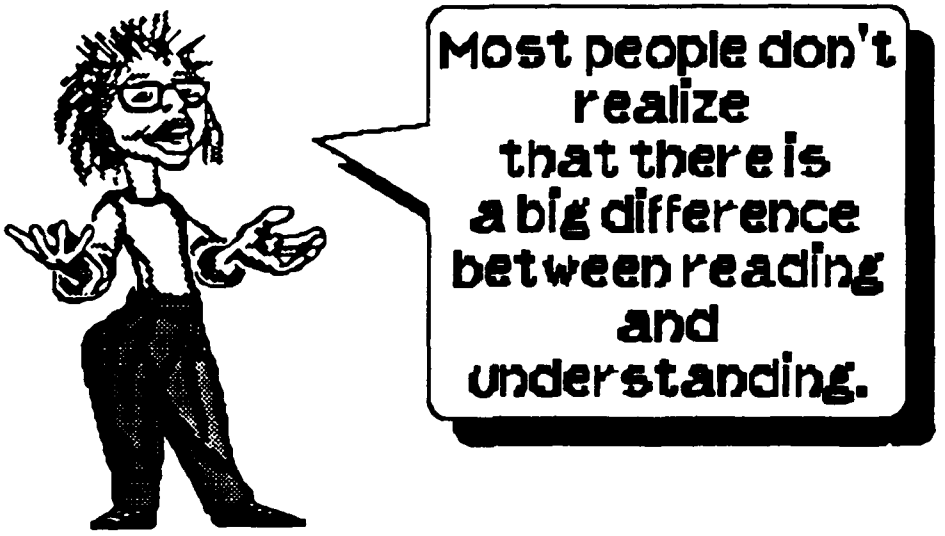
The fundamental listing of all Air Force regulations, manuals, and pamphlets is ***AFR 0-2, Numerical Index of Standard and Recurring Air Force Publications***. This regulation, which is updated quarterly, lists the document number, date issued, title, Office of Primary Responsibility (OPR), number of pages, and distribution type for all Air Force regulations, manuals, and pamphlets.

USAF and Command publishing bulletins are used to keep up with revisions, additions, and changes to directives between updates of the quarterly index. These publishing bulletins document official **forms** also.

Because of the importance of DoD directives and Air Force regulations to both the STINFO Program Manager and Air Force personal in general, it goes without saying that you should be familiar with both of the above publications. In addition, you should either (1) know where to get the current issues of either when they are needed, or (2) obtain both in your office on a regular basis.

1.3. How to Understand Anything

Since the STINFO function centers around information, and since the common information media (despite the microcomputer age) is still paper, it is appropriate to start out with a review of how to gain an understanding of the contents of a document, as opposed to reading it. The technique described below, which is commonly taught to undergraduates in college, is a "universal." It can be used effectively to understand just about anything.



The technique which I am going to describe is known by many names. When I was taught it in college, it was known as "**patterning**" so this it the name that is used here. You might have also heard of it called "**visual outlining**." Patterning is a simple and powerful technique that allows you to see the "big picture" and hopefully gain understanding from this insight.

To apply it, you just need a sheet of paper, a pencil, and a little thought. What you attempt to do is draw a diagram or picture of the document that shows the main components and ideas, and the relationships between each of these elements. After the diagram has been drawn, you can stand back and examine the relationship pattern, change relationships, and add new nodes until the diagram is a true graphical representation of the concept.

You start a pattern by placing your central idea, theme, or research topic in a circle in the center of the paper. Then you list the second level of related ideas in circles around the central node, connecting each of these

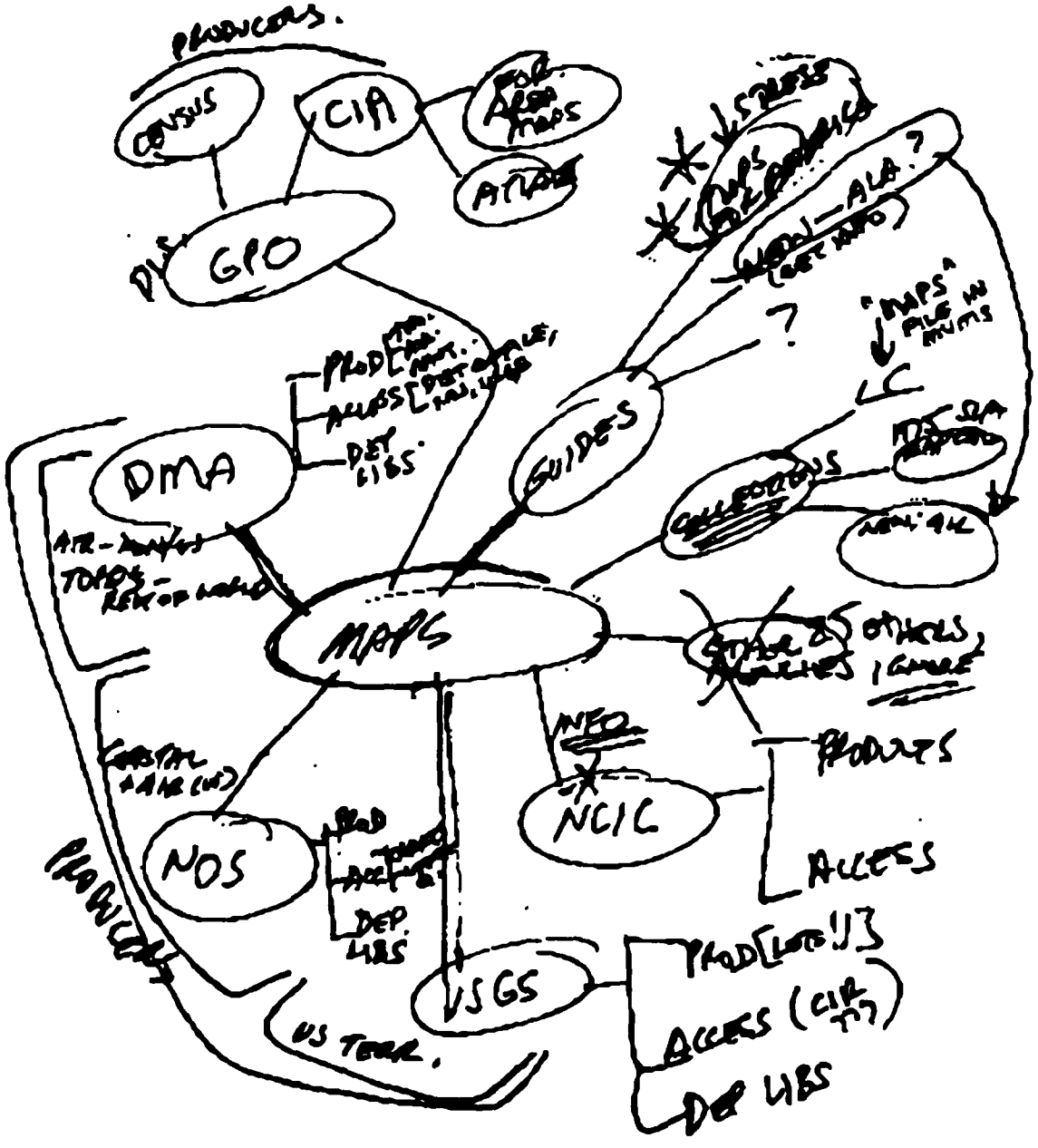
with arrows to the central node. Around each of these nodes you add more and more nodes and connections until the entire concept has been drawn.

Another rule of patterning is that the entire diagram must fit on one sheet of paper. You gain understanding by examining the diagram and the implied relationships, so page-flipping is definitely out. However, there is no limit on the size of paper. I have seen this technique used to lay out a entire college course. The resulting pattern took up an entire large wall of taped-together sheets of wrapping paper.

In addition to aiding in your understanding of any document or topic, patterning is also a powerful writing and presentation tool. Before attempting to write or present anything, try and draw a pattern of the topic. Once the pattern has been drawn, simply walk around the terminal nodes, jotting down your thoughts on each, and relating each back to the central idea through any connecting nodes. You'll find that when you've finished traversing the network, you'll have also completed a rough draft of your ideas.

Patterning has been presented here because you will be asked during this course to draw patterns for a couple of things, from a graphical representation of a regulation, to a pattern for the STINFO Program Manager's function.

If you would like to learn more about patterning, I recommend reading ***Writing the Natural Way: Using Right-Brain Techniques to Release Your Expressive Powers*** by Gabriele Lusser Rico, 1983, St. Martins Press.



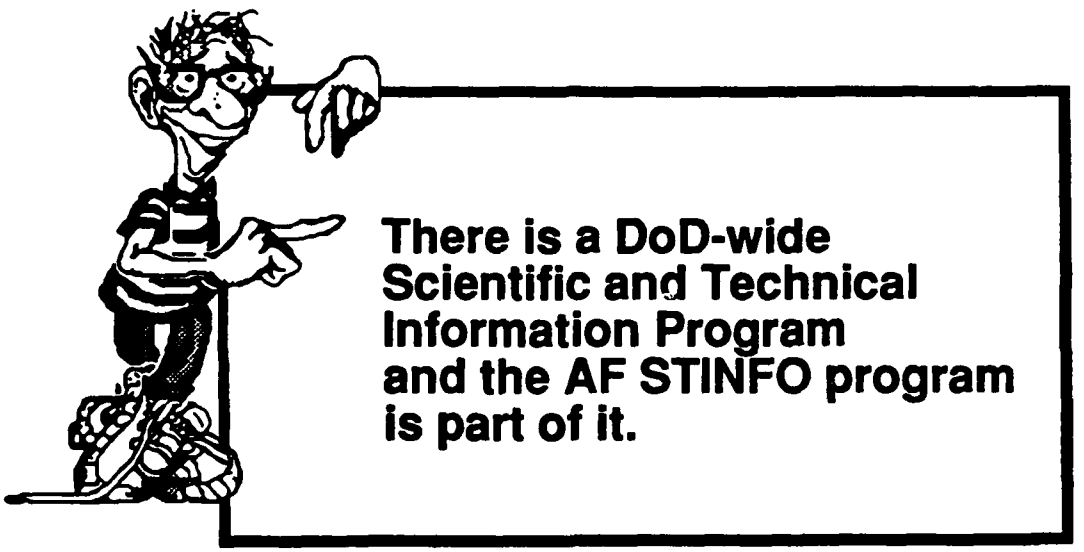
A Sample Patterning Example.

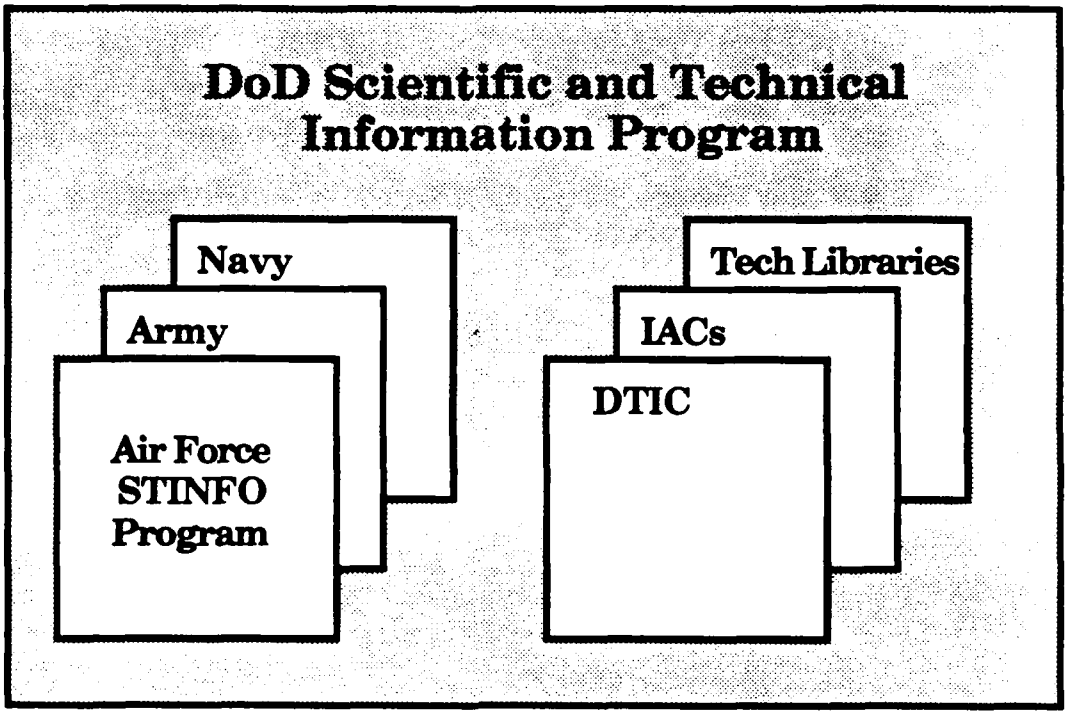
(This real example was an attempt to understand cartographic information sources.)

2. The DoD Scientific and Technical Information Program

This section introduces the DoD Scientific and Technical Information Program (STIP), and discusses the responsibilities listed in DoD Directive 3200.12.

THE POINT OF THIS SECTION IS:





2.1. Key Points

- The DoD STIP is the information "umbrella" under which all other military information programs, including the USAF STINFO program, operate.
- The concepts and responsibilities of the DoD STIP are outlined in DoD Directive 3200.12.
- In addition, the functional responsibilities of both the Deputy Assistant Secretary of Defense for Research and Engineering and the Heads of DoD Components are specified in the enclosures to DoD Directive 3200.12.
- Because the USAF STINFO program exists in support of the DoD STIP, the goals of the DoD STIP are the goals of the STINFO program. As such, a knowledge of these goals should help in understanding why many aspects of the STINFO Officer's duties are being carried out.

2.2. Objective and Responsibilities

The overall objective of the DoD STIP is to increase the effectiveness of the technical effort in the DoD community. The primary goals of the STIP are to ensure that DoD scientific and technical information:

1. Provides maximum contribution to the advancement of science and technology.

2. Permits timely, effective, and efficient management of DoD research, engineering and studies program.

3. Eliminates unnecessary duplication of effort and resources.

The responsibilities for carrying out the DoD STIP are divided between (1) the Deputy Assistant Secretary of Defense for Research and Engineering and OSD Staff - having supervision, coordination, and review functions,and (2) the Heads of DoD components - having specific functional responsibilities.

Of these two sets of responsibilities, clearly the second set are of the greatest interest because many of the STINFO Program Manager's duties are in support of these responsibilities.

There are 10 specific responsibilities listed for the Heads of DoD Components. Six of these responsibilities are very relevant to the STINFO program and, as you will see shortly, are part of the STINFO Program Manager's duties. These responsibilities (paraphrased slightly) include to:

1. Maintain a current review and inventory of STI functions and activities under their administrative control.

2. Encourage the sponsorship and participation in technical symposia and meetings as a mechanism for STI transfer and exchange.

3. Execute technology transfer programs and assign single points of contact to coordinate their technology transfer programs.

4. Ensure that all significant scientific or technical results derived from DoD work or contracts are recorded as technical documents. Procedures shall ensure that copies of these documents are available to DTIC, technical libraries, IACs, and the technical community within established security and limitation controls.

5. Operate and support activities for the input of data to DoD databases of bibliographic and R&E program-related information, and be responsible for the accuracy and currency of database content and reporting.

6. Within security and distribution limitations, policies, and guidelines, ensure that STI is provided for public use in an unclassified manner to the maximum extent possible.

2.3. Documentation

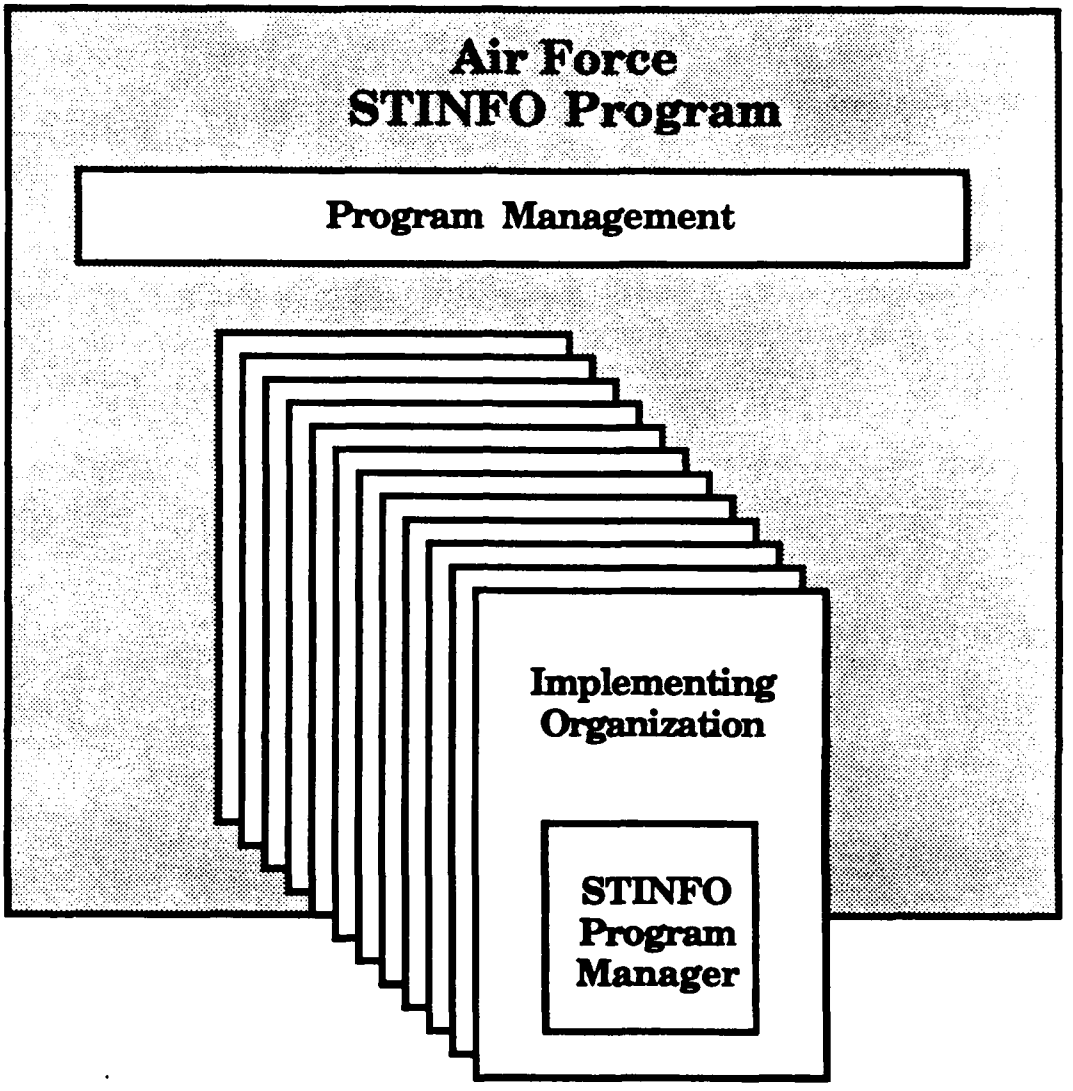
The only documentation in support of the DoD STIP to be aware of is DoD Directive 3200.12, ***DoD Scientific and Technical Information Program***, a copy of which is included in the Appendix to these notes.

3. The USAF STINFO Program

This section introduces the USAF STINFO Program and discusses the responsibilities of the STINFO Program Management and Implementing Organizations as listed in AFR 83-1.

THE POINT OF THIS SECTION IS:

AF Reg 83-1 governs the STINFO program and assigns responsibilities to (1) a STINFO Program Manager, (2) each Implementing Organization, and (3) the STINFO Program Managers.



3.1. Key Points

- The USAF STINFO program is an implementation of DoD Directive 3200.12.
- The governing regulation for the USAF STINFO program is AF Reg 83-1.

- AF Reg 83-1 contains:
  - A description of the USAF STINFO program.
  - Participation requirements for the program.
  - Lists the Program Management duties and responsibilities.
  - Lists the Implementing Organization responsibilities.
  - Lists the STINFO Program Manager duties.

3.2. Discussion

3.2.1. Introduction

The USAF STINFO program is an integral part of the DoD STIP, implementing the Air Force's duties and responsibilities as laid out by DoD Directive 3200.12. AF Reg 83-1 is intended as an overall guide to the program, its concept, participation, and responsibilities at the three levels of (1) Program Management, (2) Implementing Organization, and (3) STINFO Program Manager within an activity.

This section summarizes the information in AF Reg 83-1 up through the STINFO Program Manager's duties (which is one of the main topics of the rest of this course.)

3.2.2. Objectives and Goals

The overall objective of the USAF STINFO program is to ensure that all STINFO generated under Air Force RDT&E programs makes the maximum impact on DoD and national R&D efforts. To carry out this objective, the program provides for the interchange of scientific and technical information within and among Air Force organizations, DoD components, federal agencies, government contractors, and the national and international scientific and technical community.

The specific goals of the program are to:

1. Improve mission effectiveness.
2. Improve the scope and effectiveness of collecting, producing, disseminating, and applying scientific and technical information. The overriding priority is to ensure that all scientific and technical data concerning Air Force research, engineering, and production efforts are reviewed for controlled dissemination, and are rapidly and effectively exchanged within the research, development, and engineering communities throughout the DoD and industry.

3. Support the information needs of managers, scientists, engineers, and technicians.

4. Increase productivity and effectiveness of research and engineering programs.

5. Improve our military capabilities through research and application of new technologies.

6. Maximize use of R&D resources.

7. Facilitate domestic technology transfer.

3.2.3. Participation in the USAF STINFO program

Participation in the USAF STINFO program is Air Force wide, and is required by the following organizations (which include all the major commands):

1. Air Force Systems Command
2. Air Force Space Command
3. Air Force Logistics Command
4. Electronic Security Command
5. Air Training Command
6. Air University
7. Air Force Academy
8. Military Airlift Command
9. Strategic Air Command
10. Tactical Air Command
11. Air Force Communication Command
12. Air Force Operational Test and Evaluation Center
13. Air Force Technical Applications Center

Each of these organizations is required to establish a primary STINFO office, and as necessary within the organization, other STINFO offices. For example, at the Air Force Systems Command, STINFO offices exist at all divisions, centers, and laboratories.

3.2.4. STINFO Program Management Responsibilities

SAF/AQT is the office of primary responsibility (OPR) for the USAF STINFO program management. The official responsibilities of that office are listed in AF Reg 83-1, and the following paraphrased and annotated list is taken from that source. The duties of this office are to:

1. Issue and maintain USAF STINFO regulations. *A primary duty of the SAF/AQT is to continually review and update the regulations associated with the USAF STINFO program. Of note is that at some point, the regulations will start to be numbered in the 83 series instead of the current 80 series.*

2. Coordinate the USAF STINFO program with the Contractor Data Management program, the Foreign Disclosure Office, the Freedom of Information Office, the Public Affairs program, the Technical Intelligence program, Air Force Library program, and pertinent portions of command and control programs. *Essentially, to coordinate the USAF STINFO program with all related information handling organizations.*

3. Review STINFO needs continually, and, as appropriate, revise existing programs. *Plan for future needs, relationships with other programs, new types of STINFO, and make sure that the STINFO program changes to accommodate these as they occur.*

4. Establish an active technology transfer program. *To support the Domestic Technology Transfer Program.*

5. Manage the Work Unit Information System. *To ensure that the Air Force is both inputting current and complete information into the WUIS, and taking full advantage of the WUIS when planning new efforts.*

3.2.5. Implementing Organization Responsibilities

Each commander of an Implementing Organization has specific responsibilities under AF Reg 83-1. Basically, these responsibilities are to assign a STINFO Program Manager, keep SAF/AQT appraised of who holds this position, and then give the STINFO Program Manager the support necessary to carry out their job.

The listing of duties for the Implementing Organization and for the STINFO Program Manager are somewhat redundant. What this means is that the responsibility for these duties rests on two sets of shoulders: the STINFO Program Manager and the organization itself.

The list below is a paraphrased list of these duties:

1. Assign a STINFO Program Manager as a primary duty assignment and notify SAF/AQT of any changes.

2. Ensure that all STINFO is properly reviewed and marked.

3. Ensure that all STINFO produced by the organization are recorded as technical documents and prepared, distributed, and security marked correctly and without undue delay.

4. Support the input of data into the DTIC databases.

5. Sponsor technical meetings, and encourage scientists and engineers to attend professional meetings, make personal visits, and write journal articles.

6. Establish an Office of Research and Technology Applications (ORTA) in support of the domestic technology transfer program.

7. Establish and maintain technical libraries.

8. Review the STINFO program and provide operational support including programming, funding, accounting, and reporting for those services maintained by the STINFO office.

4. STINFO Duties - General

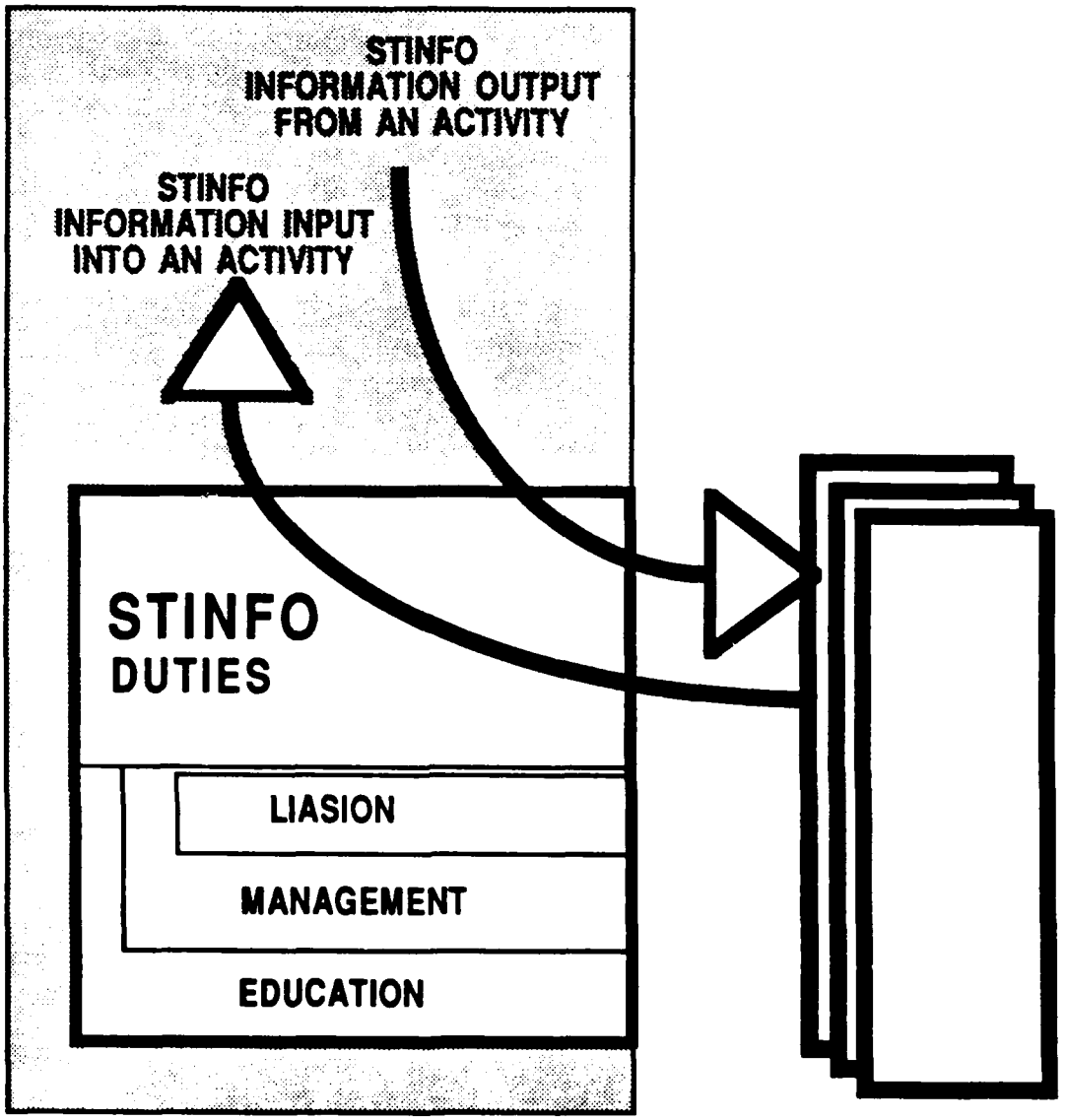
This section discusses the specific assigned duties of a STINFO Program Manager. While the major duties concern managing the STINFO flow into and out from an organization, additional duties concern potentially withholding information, education, liaison, and management functions.

THE POINT OF THIS SECTION IS:

STINFO PM duties are wide-ranging and consist of managing the S&T information leaving an organization, potentially withholding information, information support, education, liaison, and management duties.

4.1. Key Points

- The STINFO Program Manager duties are listed in AFR 83-1
- Additional "unwritten" duties are:
  - That all of the STINFO duties be carried out.
  - The STINFO office and function be run in a professional manner.
  - The STINFO manager become the "single point of contact" for all STINFO activities at that organization.
- STINFO duties are very wide-ranging and can be divided into:
  - Duties that are outward-directed and relate mainly to information being sent out from the STINFO office.
  - Activities that relate to potentially withholding information.
  - Duties that are inward-directed and relate to information support for the organization.
  - Educational duties.
  - Liaison duties. Maintaining on-going, working relationships with other organizations involved in information supply or support functions.
  - Management duties concerning the STINFO function and office.



4.2. Specific Duties

The specific duties of a STINFO Program Manager, as listed in AFR 83-1 are to:

1. Set up procedures to provide or obtain scientific and technical information services to meet the needs of the organization.

2. Provide support to the organizational commander for a domestic technology transfer program. The STINFO Program Manager shall assist in executing the Office of Research and Technology Application (ORTA) function.

3. Ensure that the activities of the STINFO program are closely coordinated with efforts in the Data Management program. Ensure that STINFO needs are accurately specified on DD Forms 1423, Contract Data Requirements List (CDRL), and that contractor-generated data products are entered in the STINFO system.

4. Establish procedures to ensure that all technical data produced within the organization is reviewed and properly marked to control secondary distribution.

5. Establish a technical publications program to ensure timely publication of technical documents. Ensure the qualitative review of technical publications. The review will cover technical pertinence of the content, adherence to report writing standards, inclusion of meaningful title, abstract and key words, distribution limitations, and initial distribution list.

6. Maintain close liaison with Air Force foreign technology specialists to ensure that foreign research results are available to Air Force scientists, engineers, and managers.

7. Ensure the timely input of data into prescribed databases; for example, the Work Unit Information System database and the Technical Reports database at the Defense Technical Information Center (DTIC), in order to keep them current and complete.

8. Monitor the operation of any Information Analysis Centers supported by the organization.

9. Plan methods to improve STINFO systems and procedures. Schedule and participate in meetings to discuss problems relevant to the STINFO program.

10. Conduct a continuous indoctrination program to inform scientists, engineers, and managers of their responsibilities to the STINFO program and to inform them of available STINFO products and services.

11. Help plan technical meetings; become familiar with foreign disclosure procedures when foreign nationals are invited to take part in meetings. Report on planned meetings and ensure that interested personnel are informed of such meetings.

12. Submit plans for improvements in STINFO services, to include internal changes, the knowledge of which may benefit other Air Force organizations.

13. Provide for interest profiles for the selective dissemination of information (SDI). DTIC's program of SDI will require a program to further disseminate the information to the individual user. To

accomplish this, the STINFO Office should develop and maintain profiles of interest to its technical personnel.

14. Be cognizant of RDT&E efforts which may have an impact on STINFO.

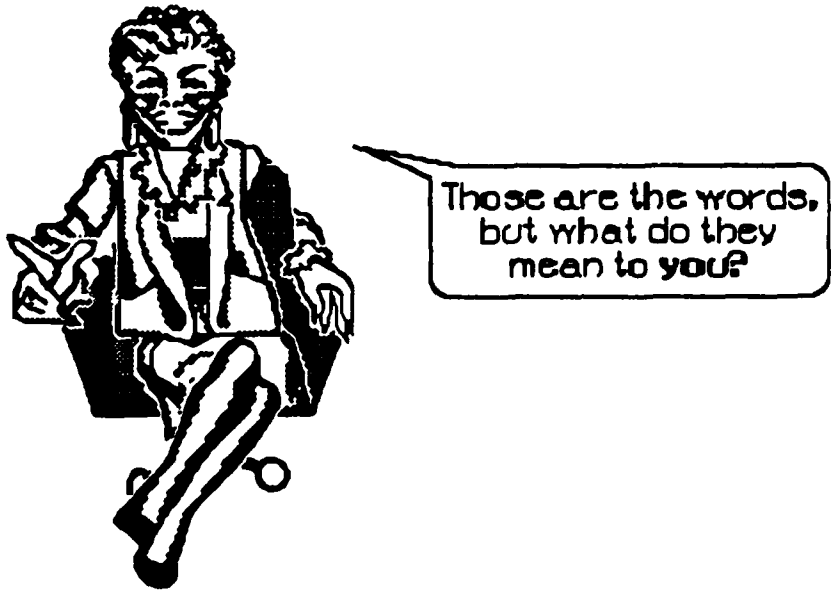
15. Ensure that all RDT&E contracts/grants policies include appropriate instructions regarding the generation and reporting requirements of STINFO.

16. Provide technical library services consistent with user requirements.

17. Ensure currency and effective coverage of primary distribution lists.

18. Provide for the collection, storage, and secondary distribution of those technical documents which have not been provided to DTIC because of distribution limitations. Ensure that bibliographic descriptions of these documents are reported and contained in the DTIC databases.

19. Collect data on the effectiveness of the program. Meaningful data are needed to measure the performance of the organization regarding the acceptance and discharge of their STINFO duties.



4.3. Information Out

A major duty of the STINFO office is to control the scientific and technical information flow out of an activity. The main components of this flow are technical publications, work unit summaries, and sponsored meetings. Another aspect of this information flow out from an organization that the STINFO office will be involved in is the information associated with the domestic technology transfer program.

4.3.1. Technical Publications

The three responsibilities associated with technical publications are:

5.	**Establish a technical publications program to ensure timely publication of technical documents. Ensure the qualitative review of technical publications. The review will cover technical pertinence of the content, adherence to report writing standards, inclusion of meaningful title, abstract and key words, distribution limitations, and initial distribution list.**

The STINFO Program Manager is tasked with the job of managing their organization's technical publications program. Should such a program not exist, they are responsible for creating it. A very important part of such a program is a qualitative review step. It is part of the STINFO Program Manager's job to ensure that this qualitative review is being carried out.

7.	**Ensure the timely input of data into prescribed databases; for example, the Work Unit Information System database and the Technical Reports database at the Defense Technical Information Center (DTIC), in order to keep them current and complete.**

Where STINFO from an organization is required to be either summarized or entered directly into a DoD database, it is the STINFO Program Manager's responsibility to ensure that the input is not only taking place, but is taking place in a timely manner. The major two DoD databases of concerned are the Technical Reports database and the Work Unit Information System database, both of which are managed by DTIC.

18.	**Provide for the collection, storage, and secondary distribution of those technical documents which have not been provided to DTIC because of distribution limitations. Ensure that bibliographic descriptions of these documents are reported and contained in the DTIC databases.**

Depending on the nature of your organization, a number of the technical documents might be withheld from DTIC. (For example, documents pertaining to communications and electronic intelligence are excepted from the DTIC collection.) In these cases, it is the STINFO Program Manager's responsibility to set up a local collection of these documents, and to provide a secondary distribution channel for them. With the exception of Top Secret materials, the bibliographic descriptions of the documents exempt from DTIC should still be be sent to DTIC.

4.3.2. Work Unit Information System (WUIS)

The STINFO responsibility relating to the Work Unit Information System is:

> **7. Ensure the timely input of data into prescribed databases; for example, the Work Unit Information System database and the Technical Reports database at the Defense Technical Information Center (DTIC), in order to keep them current and complete.**

Depending on your organization, the STINFO Program Manager may or may not be directly involved in the preparation and processing of the DD Form 1498, "Research and Technology Work Unit Summary." However, the STINFO Program Manager is responsible for making sure that this information is being transferred to DTIC in a timely manner.

4.3.3. Meetings

The STINFO responsibility relating to technical meetings is:

> **11. Help plan technical meetings; become familiar with foreign disclosure procedures when foreign nationals are invited to take part in meetings. Report on planned meetings and ensure that interested personnel are informed of such meetings.**

Organizations and individuals within organizations will, upon occasion, desire to hold technical meetings with an open audience. Many of the individuals involved will not have sponsored a meeting before and will not be aware of the disclosure implications and the DoD Directives and AF Regulations relating to such meetings. It is the STINFO Program Manager's responsibility to provide guidance to these individuals concerning disclosure, submission of the presented papers to DTIC, and attendance at the meeting, and to inform the appropriate OSD office that such a meeting has been scheduled.

Note that the STINFO office will, in most cases, not be involved in local meetings whose audience is either (1) all Government employees or (2) Government employees and contractors.

4.3.4. Technology Transfer

The STINFO responsibility relating to Technology Transfer is:

2.	**Provide support to the organizational commander for a domestic technology transfer program. The STINFO Program Manager shall assist in executing the Office of Research and Technology Application (ORTA) function.**

At most Air Force organizations, the functions of the ORTA office and the STINFO office have been separate. As part of the new AFR 83-1, the STINFO Program Manager is responsible for assisting the ORTA function.

Whether STINFO Program Manager is personally carrying out the ORTA function or not, it is the STINFO office's responsibility to (1) fully support all aspects of the technology transfer program at the activity, and (2) ensure that all duties of the ORTA function are being carried out.

4.4. Withholding Information

Some of the STINFO Program Manager's duties relate to the (potential) withholding of information. For the most part, these duties are concerned with the distribution of STINFO, including distribution statements, distribution lists, and distribution limitations.

4.4.1. Distribution Statements

The STINFO function dealing with distribution statements is:

4.	**Establish procedures to ensure that all technical data produced within the organization is reviewed and properly marked to control secondary distribution.**

The STINFO Program Manager is responsible for seeing that correct distribution statements have been placed on the STINFO being produced by the activity. This will involve both (1) providing guidance to the controlling office engineers and scientists producing documents, and (2) reviewing the statement they assign. This function will involved a knowledge of export-control (and contractor access to this information), knowledge of the FOIA, and the function of the Public Affairs office and the security review process.

4.4.2. Distribution Lists

The STINFO function dealing with distribution lists is:

17.	**Ensure currency and effective coverage of primary distribution lists.**

The STINFO Program Manager will be, in many cases, directly involved in the primary distribution of documents produced by an organization. Whether this is the case at your organization or not, the STINFO Program Manager is responsible for checking the primary distribution list to ensure that it is up-to-date and that it includes all relevant addressees.

4.5. Information In

The third major area of the STINFO office's duties concerns information coming into an organization. Most of this information will be for direct user support, including the STINFO office being the focal point for access to DTIC services.

4.5.1. User Support

The specific user support STINFO functions are to:

1.	**Set up procedures to provide or obtain scientific and technical information services to meet the needs of the organization.**

It is part of the STINFO Program Manager's job to (1) determine if the information needs of the organization are being met, and if they are not, (2) set up procedures or whatever else is necessary to see that these needs are being met.

6.	**Maintain close liaison with Air Force foreign technology specialists to ensure that foreign research results are available to Air Force scientists, engineers, and managers.**

The primary vehicle for ensuring that foreign research results are getting to Air Force engineers and scientists is the Central Information Reference and Control System (CIRC II). If the organization has any potential need at all for this information, it is the STINFO Program Manager's responsibility to (1) set up access to the CIRC II system, and (2) ensure that all engineers and scientists at your activity know of its existence and how and when to access it.

4.5.2. DTIC

The user-support STINFO responsibilities concerning DTIC are:

1.	**Set up procedures to provide or obtain scientific and technical information services to meet the needs of the organization.**

The STINFO Program Manager is responsible for the organization's DTIC-related activities. This includes responsibility for (1) setting up and administering a DTIC account, (2) providing access to the DROLS system, and (3) promoting these services to the engineers and scientists at the organization.

13.	**Provide for interest profiles for the selective dissemination of information (SDI). DTIC's program of SDI will require a program to further disseminate the information to the individual user. To accomplish this, the STINFO Office should develop and maintain profiles of interest to its technical personnel. (etc.)**

A very important service of DTIC is the compilation and distribution of SDI reports from their databases. In order to generate these, DTIC must have interest profiles to search against. It is the STINFO Program Manager's responsibility to compile a database of these interest profiles, maintain these profiles, and see that they are registered with DTIC.

4.5.3. Library & Technical Information Centers

The STINFO responsibility concerning technical libraries is:

16.	**Provide technical library services consistent with user requirements.**

It is an ongoing discussion whether or not the administration and responsibility for the technical library at your organization should be a part of STINFO. This is currently not the case at most Air Force organizations, and they are likely to remain separate into the future. However, because there are a number of overlapping functions, it is important that these two organizations work together to achieve the Air Force STINFO goals. Specifically, it is the STINFO Program Manager's responsibility to review the organization's technical library services and do whatever is necessary to see that these services are consistent and responsive to local user requirements.

4.6. Education

The STINFO duty concerning education is:

10.	**Conduct a continuous indoctrination program to inform scientists, engineers, and managers of their responsibilities to the STINFO program and to inform them of available STINFO products and services.**

It is part of the STINFO Program Manager's responsibility to develop and implement an ongoing indoctrination program so that all scientists, engineers, and managers are fully aware of those aspects of the STINFO program that relate to their job. This program should consist of (at a minimum) a user's handbook or guide, and a presentation given as part of the initial employee orientation and given as part on the ongoing training provided to those employees generating and using STINFO.

4.7. Liaison

The specific STINFO functions concerning liaison with other information-related offices are:

3.	**Ensure that the activities of the STINFO program are closely coordinated with efforts in the Data Management program. Ensure that STINFO needs are accurately specified on DD Forms 1423, Contract Data Requirements List (CDRL), and that contractor-generated data products are entered in the STINFO system.**

The identification of contractor-generated STINFO starts with its listing on the CDRL. This listing identifies the items, delivery dates, and rules (Data Item Descriptions) that are to be followed by the contractor. It is the STINFO Program Manager's responsibility to ensure that the controlling office is specifying the correct DID for each STINFO product, and that the information from the CDRL is being entered into your local STINFO monitoring system.

8.	**Monitor the operation of any Information Analysis Centers supported by the organization.**

If there are any formal (funded) or informal (locally funded) IACs associated with your organization, they will be both producers and users of STINFO. It is the STINFO Program Manager's responsibility to monitor their operation and ensure that (1) any STINFO generated by the IAC is subject to the proper distribution controls, and that (2) any STINFO distributed by the IAC is properly marked and controlled.

15.	**Ensure that all RDT&E contracts/grants policies include appropriate instructions regarding the generation and reporting requirements of STINFO.**

Similar to responsibility number 3 above, it is the STINFO Program Manager's responsibility to see that all offices initiating contractual agreements that involved STINFO are aware of the implications of the Data Item Descriptions, and have referenced the correct DID in their CDRL.

14.	**Be cognizant of RDT&E efforts which may have an impact on STINFO.**

A start-up requirement for all new RDT&E efforts is a search of the DTIC databases that could potentially impact on that work. It is the

STINFO Program Manager's responsibility to stay aware of these new efforts, as well as being aware of the other STINFO-using and STINFO-generating efforts at the organization in order to actively support the information needs of these efforts, as well as anticipate any future needs they might have.

4.8. STINFO Management

The STINFO duties that relate to the management of the STINFO office and its function are:

9.	**Plan methods to improve STINFO systems and procedures. Schedule and participate in meetings to discuss problems relevant to the STINFO program.**

Setting up a STINFO program or continuing an existing program will be, of course, the major part of your duties. However, the STINFO Program Manager is also responsible for continually reviewing and seeking to improve your program. In addition, the STINFO Program Manager is expected to participate in any local meetings or program-wide meetings that are relevant to the STINFO function.

12.	**Submit plans for improvements in STINFO services, to include internal changes, the knowledge of which may benefit other Air Force organizations.**

Having improved your program, the STINFO Program Manager has a responsibility to the STINFO program to make these improvements known to the STINFO Program Management and other STINFO offices in order that they may benefit from this knowledge.

19.	**Collect data on the effectiveness of the program. Meaningful data are needed to measure the performance of the organization regarding the acceptance and discharge of their STINFO duties.**

Without measurable data, there is no way for the STINFO Program Manager to know if they are carrying out their duties effectively, or if the processing and use of STINFO is at all effective at the organization. For example, it should be obvious that DTIC usage statistics will give you an indication of the effectiveness of DTIC promotion and usage convenience, and tracking report review/distribution processing times will give you a metric for comparison. It is your responsibility to identify, collect, analyze and tabulate data that relates to the STINFO function.

How most new STINFO Program Managers feel upon realizing what they are responsible for.

5. STINFO Duties - Tracking and Processing STINFO Materials

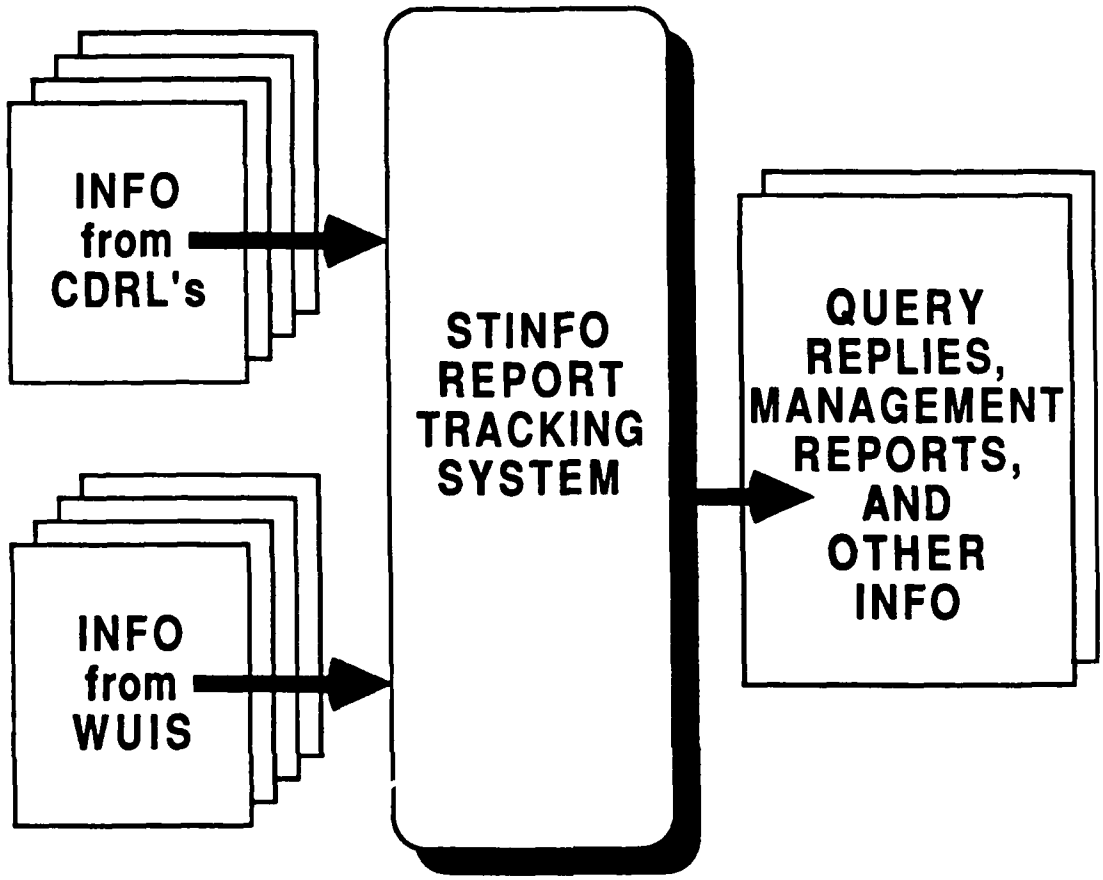
THE POINT OF THIS SECTION IS:

The STINFO office tracks and processes all STINFO materials coming into an organization and leaving an organization.

5.1. Key Points

- One of the major duties of the the STINFO office is to track and process all STINFO materials coming into an organization from contractual or in-house efforts, and going out from an organization through primary distribution.
- Publication Tracking consists of an accounting procedure containing information about the status of all projected and in-process technical reports.
- The STINFO Program Manager is responsible for Qualitative Review of the technical publications produced by their organization.
- The STINFO Program Manager is responsible for setting up a Technical Publication Processing system at their organization, and providing assistance to authors/contracting offices concerning the forms, formats, and procedures to follow in order to publish a technical report, journal article, or other STINFO item.
- While not responsible for filling out the Report Documentation Page, the STINFO Program Manager is responsible for providing any necessary guidance to the author/contracting office filling out this form, and for checking the Report Documentation Page during the Qualitative Review step.
- ANSI Z39.18 is the format standard which replaced MIL-STD-847B.
- The STINFO Program Manager is also responsible for:
  - Maintaining the current distribution list for reports.
  - Examining and updating procedures in order to minimize report processing time.
  - Ensuring that STINFO needs are reflected on the CDRL.
  - Managing the limitation review process, printing and distributing STINFO.

5.2. Technical Publication Tracking



The STINFO Program Manager is responsible for tracking all technical publications from their specification as part of a Contract Data Requirements List (CDRL) or the introduction of a new Work Unit, through the distribution of the publications. What is meant by "tracking" is to keep an account of all projected and in-process technical publications associated with an organization.

5.2.1. Tracking System Inputs

The three sources for technical publications are (1) contractor-generated publications, (2) in-house generated publications, and (3) unplanned publications. Since the first requirement of an effective tracking system is to capture the initial inputs as soon as they are known, it is important to examine (and "hook" into) the first two of these sources.

Identifying anticipated contractor-generated publications is actually quite easy because, with few exceptions, all such publications will be

identified on the CDRL. Coordination with the Data Management Office is necessary to tap into this data source.

Identifying future in-house publications is a little more complex, but is aided by the DoD requirement that the results of each Work Unit be documented. Hence, each Work Unit at an organization should equate to one or more technical publications, and by tracking the Work Units and by contacting the responsible DoD person, future publications can be anticipated.

Some of the specific inputs that STINFO Program Managers include in their tracking system are:

1. **Identification Information**
   - Publication Number (STINFO assigned)
   - Associated Work Unit (from WUIS or CDRL)
   - Author (from WUIS or CDRL)
   - Responsible DoD Person/Office (from WUIS or CDRL)
   - Contract or In-House (from WUIS or CDRL)
   - Contract Number (from WUIS or CDRL)

2. **Basic Tracking Information**
   - Status (STINFO assigned)
   - Contract Start Date (from WUIS or CDRL)
   - Estimated Completion Date (from WUIS or CDRL)
   - Date Due from Contractor (from WUIS or CDRL)
   - Date Received in STINFO (STINFO assigned)

3. **Processing Tracking**
   - Dates to/from Editing (STINFO assigned)
   - Dates to/from Composition (STINFO assigned)
   - Date to/from Author Proof (STINFO assigned)
   - Date to/from Commanding Officer (STINFO assigned)
   - Date to/from Qualitative Review (STINFO assigned)
   - Date to/from PA for U^2 Publications (STINFO assigned)
   - Date to/from Printing (STINFO assigned)
   - Date Distributed (STINFO assigned)

5.2.2. System Outputs

Aside from helping manage the STINFO being generated at an organization, a tracking system is useful in a number of situations:

1. To respond to queries regarding the specific status of a technical publication.

2. To generate regular status reports summarizing all identified future and in-process publications. These status reports are an important contribution to an organization's management.

3. To generate summary statistics needed to measure performance. Since one of the goals of the STINFO program is the timely processing and distribution of all STINFO materials, the generation of regular summaries provides the STINFO office with the metrics against which performance can be measured.

4. To alert the STINFO Program Manager and the organization management to potential problems. Two such examples would be identified technical publications which are long overdue in reaching STINFO, and publications which have bogged down in processing.

5. To trigger reminders to the contracting office that the technical publications acceptance (sign off on the DD 250) should not be made before the determination of whether the technical publication was written as per the controlling DID.

5.3. Technical Publication Processing

In addition to tracking technical publications, the STINFO Program Manager has an active responsibility in the processing of the publications. Specifically, in most organizations the STINFO office is the focus where the draft is send for subsequent coordination of the editorial, composition, review, printing and distribution steps. Unfortunately, there seems to be a mistaken impression among some of the working level engineers and scientists as to the role of the STINFO office.

It is not part of the STINFO duties to fill out the Publication Documentation Page or assign classification markings. Nor is it part of the STINFO duties to bring substandard publications up to the quality levels expected by your organization or the standards contained in ANSI Z39.18.

The STINFO Program Manager's duties in this area are (1) coordination of the various steps to getting a publication "out-the-door", (2) giving guidance to the author/contract monitor concerning marking, limitation statements, and format standards,and (3) qualitative review of the document and the Publication Documentation Page.

5.3.1. Types of Technical Publications

Technical publications are the documented results of Air Force technical efforts. The term "technical publication" is very broad and includes technical reports, special reports, technical memorandum, technical papers, journal articles, conference proceedings, handbooks and user guides.

Basically, all technical publications which will ever go outside the originating organization qualify as STINFO and therefore must go through the publication processing cycle and be provided to DTIC. Exceptions to this are materials that do not qualify as STINFO, and subsequently do not have to be supplied to DTIC. These are materials in the general categories of management; operational; financial; administrative; data of very temporary value; engineering and logistics data (Technical Orders, Specifications, Manuals); special categories of intelligence; special access publications (Top Secret, Cryptographic); and planning studies.

Technical reports are normally final reports and document empirical findings, resolve an R&D issue, summarize the state-of-the-art of a technology, etc. They are the method of publicatcn when the research

results reported are of special significance to the Air Force, other Government organization, private industry, or a contractor.

A technical report has many advantages as a reporting tool. Some advantages are:

1. No limitations on length or depth of detail.
2. Direct distribution to those having a need for the information.
3. Reproduction without copyright questions.
4. Possible lengthy delays in publication time can be avoided in certain situations.

Journal articles published in well-known technical journals are the universally accepted standard of professional recognition. Journal articles are considered technical reports and are handled as such.

The advantages of journal publications are:

1. Professional prestige.
2. Considered refereed publications.
3. Dissemination to a wider, more diversified audience.
4. Specialized audience.

The disadvantages of journal publications relative to technical reports are:

1. Copyright question in connection with DTIC reproduction of the article. (The article itself cannot be reprinted because the publishers have a proprietary right to the page layout, type of print, etc. However, the information or data and words are in the public domain and are not subject to copyright.)
2. Limitation of length of material.
3. Long publication time lags for most publications.
4. Inaccessibility of the articles except through subscription or a technical library.

Depending on your organization, you may find other types of local technical publications that do not qualify as technical reports, but that have some things in common with technical reports. The usual thing that they do not have in common with technical reports is a report documentation page and submittal to DTIC. An example of these "sub-technical reports" are working reports used by the originating activity only. No matter what local types and variations exist, keep in mind that if the publication will

ever go outside the originating office, it must go through the processing cycle.

5.3.2. Qualitative Review

At most organizations, a technical publication must go through four separate review steps of which the qualitative review is logically the second step. These four review steps are:

1. Division Chief/Technical Director - for quality and technical accuracy of publication contents and for approval.
2. STINFO - for qualitative review.
3. Editing - for proper grammar, punctuation, format, clarity, conformance to local style requirements, and conformance to standards.
4. Public Affairs - for security and policy review of all publications marked with Statement A (unclassified, unlimited.)

It is the STINFO Program Manager's responsibility to ensure that every technical publication leaving your organization is given a qualitative review of the contents, marking, and Report Documentation Page. This is in addition to whatever editing, security and policy review, and technical review procedures are in effect at the organization.

During this qualitative review, the following should be checked:

1. Does the publication have a meaningful title.
2. Is the SF 298 complete.
3. Does the abstract on SF 298 present a true reflection of the publication's contents.
4. Does the format conform to the the ANSI Z39.18 standard.
5. Has the document been assigned an appropriate distribution statement, and has the statement been placed in the appropriate place.
6. Have security markings been placed according to AFR 205-1.

5.3.3. Report Documentation Page (SF 298)

A copy of SF 298, "Report Documentation Page," must be included as the title (first) page of each technical publication submitted to DTIC. (SF 298 is the replacement for DD 1498.) This form provides a one-page summary which is vital to DTIC for processing, announcing, and linking databases. This form is filled out by the author/contracting office with guidance from

the STINFO office, and checked by the STINFO Program Manager as part of the qualitative review process.

A detailed instruction sheet for filling out this form is currently included on the back of the form. Although the instructions are thorough and clearly stated, all blocks should be checked for errors and omissions. The blocks that the originator might need assistance on are the ABSTRACT (block 13) and the SUBJECT TERMS (block 14). If the originator is not aware that the DTIC system is basically a fixed vocabulary system, they might totally disregard the need to check the DRIT for appropriate words.

Note that in the case of articles published in technical journals, only the SF 298 need be submitted to DTIC, not copies of the article itself.

5.3.4. ANSI Z39.18

American National Standard ANSI Z39.18, *Scientific and Technical Reports: Organization, Preparation and Production*, has replaced MIL-STD-847B, *Format Requirements for Scientific and Technical Reports Prepared by or for the Department of Defense*. This new standard is very similar to the old standard, and users of MIL-STD-847B should have no trouble converting to the new standard.

This standard contains guidelines for the organization, preparation, and production of scientific and technical reports. Topics covered in the standard are:

1. Report Organization including the order of elements, order and organization of all front matter (cover, report documentation page, abstracts, contents, etc.), order and organization of the text , and organization of all back matter (appendixes, bibliographies, glossary, distribution list, etc.).

2. Report Preparation including format, terminology, inclusion of formulas, layout of graphs and tables, etc.

3. Report Production including graphic design, typography, layout and assembly, reproduction, and binding.

You should keep in mind that this standard is not a style guide, and that every STINFO-producing organization will probably still need a local style guide to define such subtleties as joint authorship, citations, spacing, acknowledgements, acceptable fonts, etc.

5.3.5. Primary Distribution List

It is the STINFO Program Manager's responsibility to maintain an up-to-date distribution list for reports created by the organization. Guidance for the distribution of technical publications is given in AFR 83-2, a copy of which is included in the Appendix.

Some points to keep in mind are:

1. Ensure distribution to DTIC. (2 copies).

2. If appropriate, distribute to the three AFIFIOs.

3. If appropriate, distribute directly to any relevant IACs.

4. Classified reports must include a copy of the initial distribution list as the last page of the report, and hence must have a distribution list.

5. The actual mailing list will be subject to local guidelines, but the primary distribution information included in AFR 83-2 should be followed.

6. Reports should be distributed as widely as possible, consistent with security and distribution requirements. This means that (1) classified reports can only be distributed to those with a need-to-know, valid security clearance, and proper storage facilities, (2) foreign addressees must have approval of the Foreign Disclosure Policy Office, and (3) only those contractors on the Qualified Contractor List can receive export-controlled reports.

7. Once primary distribution has been made, all subsequent requests (secondary distribution) must be processed through either DTIC or NTIS as appropriate.

5.3.6. Minimizing Report Processing Time

"The overriding priority of the DoD STIP is to achieve **timely** and effective exchange among ...." This statement, taken from DoD 3200.12, says it all. The goal is to get the information exchanged, not to delay publication unnecessarily because of slipshod processing procedures, old technology, and bureaucratic hurdles. It is the STINFO Program Manager's responsibility to examine the report processing procedures at the organization to determine where the process can be speeded up.

The goal is clear: to minimize the time between the end of RDT&E efforts and publication distribution. This goal then, provides one (of the many) rationales for a publications tracking system, and defines one of the necessary outputs from the system: summary statistics on the processing times at each point in the process.

5.3.7. STINFO Needs On DD Form 1423 (CDRL)

Each line item on the Contract Data Requirements List (CDRL) corresponds to a contract deliverable. (The CDRL is discussed in a later section of these notes.) The form of the deliverable is specified by (1) the Data Item Description that is referenced as the "Authority" in block 4 of this form, and (2) any further qualifications and instructions included in block 14 under "Remarks."

Should you have any specific needs concerning contractor-generated reports that are appropriate for inclusion in the Remarks block, you should take the initiative to discuss these needs with the Data Management Office and see that these needs are included whenever the corresponding type of STINFO is called for.

5.3.8. Limitation Review

AFR 80-45 requires that all documents containing distribution statements B, C, D, E, F, or X must be reviewed by the controlling office whenever a request is received, to determine if the limitation can be either widened or removed. The goal is, of course, to use a less restrictive statement whenever conditions permit.

One approach that can be taken is to maintain a small local database of locally-generated reports that contain distribution limitations, and on a periodic basis query the controlling office for any limitation changes. Such a small database could be easily constructed on an ad-hoc basis by simply downloading and post-processing an appropriate search using the DROLS TR database.

The advantage of the approach outlined in AFR 80-45 is that only reports being requested would be reviewed and those of no interest would require no additional thought or processing time. In addition, this approach is responsive to the instructions for filling out DTIC Form 55, *Request for Release of Limited Document*, which states that a review should take place concurrently with the release determination, and DTIC be notified of the results of the review, including a letter explaining why the limitation cannot be removed if that is the determination. However, independent of which approach you take, the STINFO Program Manager is responsible for ensuring that technical publications with limited distribution statements are periodically reviewed.

5.3.9. Printing and Distributing STINFO

The rules for the printing of technical publications are included in AFR 6-1, "Policies, Procedures and Standards for Production and Procurement of Air Force Printing, Duplication, Copying and Microform."

5.4. Documentation

The major documentation to be aware of concerning tracking and processing STINFO materials are:

1. ***AFR 83-2: AF Technical Publications Program.*** Basically, this regulation covers rules for writing, processing, distributing, and publishing technical documents generated either in-house, or under contract, subcontract, or grant.

2. ***DTIC Retrieval and Indexing Terminology.*** AD-A176 000. DTIC. This is the authoritative listing of subject terms used to index STINFO in the various DTIC databases. It should be referred to by whoever assigns subject terms in Block 14 of the Report Documentation Page, and should be used in checking to see that this information is correct. It is also used extensively when constructing search strategies for use with DROLS.

3. ***Scientific and Technical Reports: Organization, Preparation, and Production.*** ANSI Z39.18. This is the new standard for technical report formats that replaced MIL-STD-847B.

6. STINFO Duties - Work Unit Summaries

THE POINT OF THIS SECTION IS:

The Work Unit Summary (WUIS) program is a very important part of the DoD STIP. The STINFO office is responsible for ensuring that it is searched during the planning phase of new projects.

6.1. Key Points

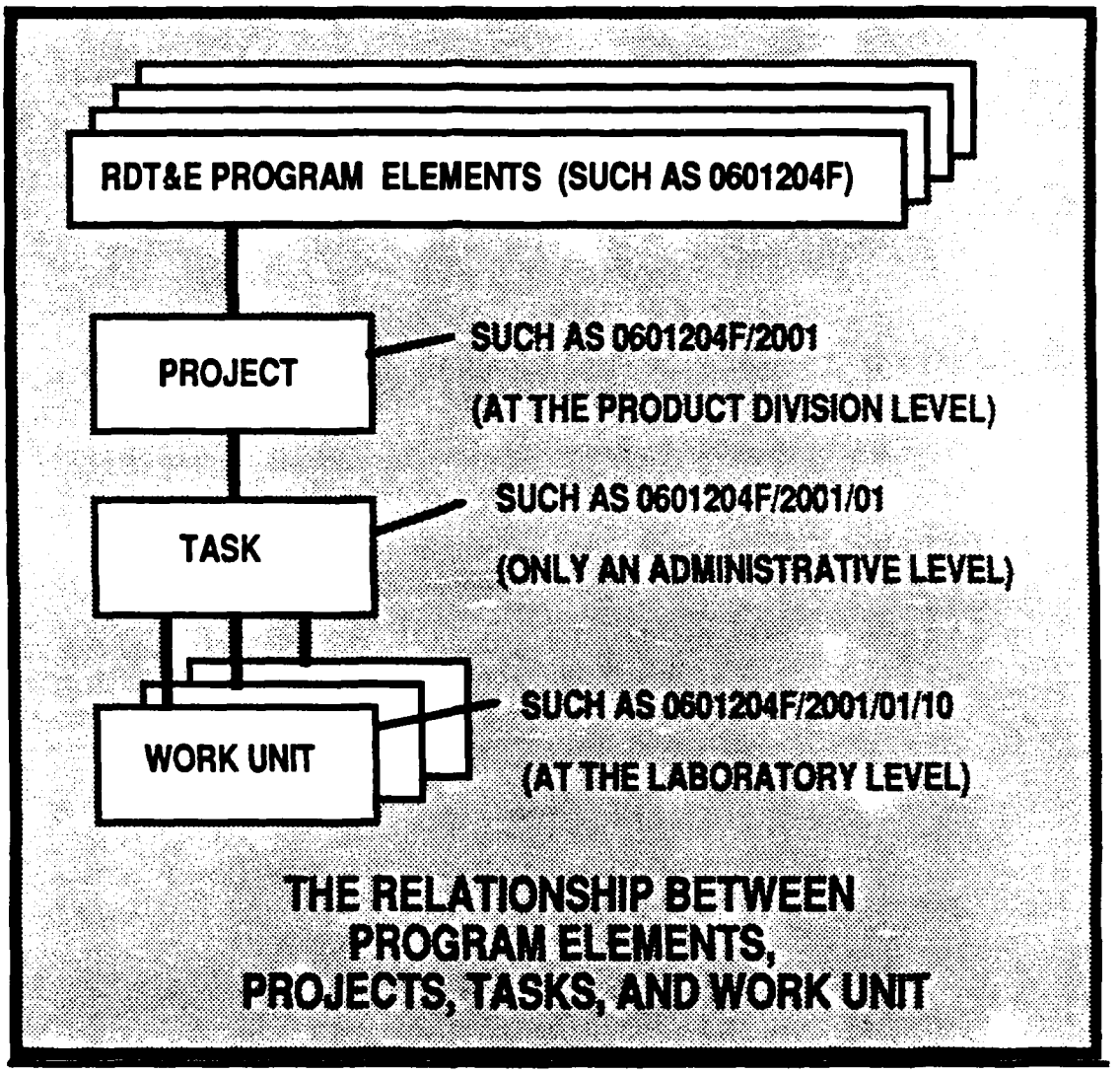
- The Work Unit system is part of the DoD STIP, and is controlled by DoD Reg 3200.12-R-1.
- Work Units are the smallest segment into which research or technology efforts are divided.
- Work Unit information is recorded on DD Form 1498 and reported to DTIC.
- Detailed instructions for filling out the DD Form 1498 are contained in DoD 3200.12-M-1, "Research and Technology Work Unit Information System Data Input Manual."
- The Work Unit Information System Database is the central store of R&T WUIS data, maintained at DTIC, and accessible online as part of the DROLS system.
- STINFO responsibilities concerning Work Units are:
  - Ensure that the R&T WUIS database is searched by the project engineer/scientist during the planning stage of any new project.
  - Ensure that all new Work Units for their organization are scanned for STINFO outputs, and once identified, the STINFO items are tracked through to final distribution.

6.2. Discussion

6.2.1. What a Work Unit Is

A Work Unit is the smallest segment into which research or technology efforts are divided for local administration or control. Each Work Unit has a specific objective, finite duration, and results in an end product. It is technically distinct in scope, objective, and duration from other research or technology efforts with which it may be aggregated for either financial, administrative, or contracting purposes.

A Work Unit Summary (the information contained in DD Form 1498) is the set of data elements that describes for each Work Unit what, where, for whom, for how long, for how much, and the progress of the R&T effort being reported.



6.2.2. The Purpose, Goal, and Objectives of the Work Unit System

The purpose, goal, and objectives of the Work Unit system are defined in DoD Regulation 3200.12-R-1 and in DLAM 4185.4. The summary below is taken from these sources.

The purpose of the R&T WUIS is to provide managers, engineers, and scientists a comprehensive database containing summary descriptions of the technical content, performers, monitors, and funding sources of DoD research or technological efforts. The goal is to increase the effectiveness of the entire DoD RDT&E program by making this database available to DoD

managers, engineers, and scientists, as well as the DoD contractor base in industry.

The specific objectives are to:

1. Help R&D managers identify DoD R&T efforts in a broad range of scientific disciplines and technologies.

2. Permit managers to easily coordinate programs with other DoD components and with other agencies and branches of the federal government to eliminate duplication of effort.

3. Help individual scientists and engineers determine current and past efforts related to their own work.

4. Enable scientists, engineers, and managers to identify individuals working in technical areas of interest.

5. Allow scientists and engineers to maintain current awareness through periodic reviews of pertinent work units.

6. Enhance the efficiency and cost effectiveness of the the defense contractor community by providing knowledge of ongoing DoD work so their R&D efforts can be focused toward national defense and military requirements.

6.2.3. WUIS Reporting

The WUIS reporting is handled by the WUIS focal point within the organization. This person is typically in the Plans and Programs Office or the Data Management Office.

Work units are required for every technically distinct effort performed by or in an RDT&E activity, each individual contract or grant, or each R&T effort performed by a non-DoD government agency but funded by DoD through an interagency transfer of funds. Reporting is mandatory for all R&T categories; the Program Categories 6.1 (Research), 6.2 (Exploratory Development), 6.3A (Advanced Technology Development); all work under the program control of the Deputy Under Secretary of Defense (Research and Advanced Technology))USDR&AT; all work units from all RDT&E program categories (6.1 through 6.7) with U.S. academic institutions, and all DoD contract studies.

The work unit summaries are required to be reported within 30 days of either initiation, change, completion, or termination of an effort.

The inputs into the R&T WUIS system are taken from the DD 1498 form, (usually integrated into a local management information system), and transmitted in machine-readable form directly to DTIC. When paper copies are submitted, the DD Form 1498 itself is used. Details on filling out the DD Form 1498 are contained in DoD 3200.12-M-1, "Research and Technology Work Unit Information System Input Manual."

6.3. Documentation

The major documents involved in the R&T WUIS that you need to be aware of are:

1. DoD 3200.12-R-1, "Research and Technology Work Unit Information System Regulation"
2. DoD 3200.12-M-1, "Research and Technology Work Unit Information System Input Manual"
3. AFR 80-12, "Work Unit Information System"
4. DLAH 4185.4, "Research and Technology Work Unit Information System Database"
5. DLAM 4185.18, "Defense RDT&E Online System, Dial-Up Retrieval Self-Training Manual"

7. STINFO Duties - Technology Transfer

THE POINT OF THIS SECTION IS:

Under the new AF Reg 83-1, the STINFO PM is responsible for assisting the Office of Technology Application (ORTA) function, one of the major components of the technology transfer program.

7.1. Key Points

- Technology Transfer is the transfer of knowledge, facilities, or capabilities developed under federal funding to the public or private sector.
- Technology transfer deals with **domestic** transfer only.
- Under the new AFR 83-1, the STINFO Program Manager is responsible for assisting the Office of Research and Technology Application (ORTA) function.
- The controlling regulation for this program is DoD 3200.12-R4, "Domestic Technology Transfer Program Regulation"
- The organizations involved in Technology Transfer are:
  - Center for the Utilization of Federal Technology (CUFT).
  - Federal Laboratory Consortium (FLC) for Technology Transfer.
  - Office of Research and Technology Application (ORTA).

7.2. Discussion

DoD Regulation 3200.12-R-4 established the DoD Domestic Technology Transfer Program. The purpose of this regulation is to "ensure the full use of the Nation's Federal investment in research and development, stimulating improved utilization by State and local governments and the private sector."

This regulation contains three major items:

1. The DoD policies concerning technology transfer.
2. The responsibilities of the Heads of DoD components.
3. The functions of the Office of Research and Technology Applications (ORTA).

The responsibilities of the Heads of DoD components are to:

1. Establish an Office of Research and Technology Applications (ORTA) at appropriate laboratories to perform the technology transfer functions.
2. Specify the R&D activities that will require a full-time individual to be responsible for the ORTA function.

3. Support the policies set out in the regulation.

4. Designate a headquarters point of contact for domestic technology transfer activities.

5. Develop appropriate goals or corporate plans to achieve the objectives of the Domestic Technology Transfer Program.

6. Encourage and cooperate with the establishment of technical volunteer programs as a resource to complement and support domestic technology transfer activities.

7. Establish a system for collecting and forwarding Technology Application Assessments to the Center for the Utilization of Federal Technology.

8. Establish a mechanism for coordinating domestic technology transfer efforts with the Small and Disadvantaged Business Utilization Specialists for the purpose of stimulating commercialization of appropriate technologies by small business.

9. Establish a mechanism to provide appropriate security review of domestic technology transfer efforts.

The specific duties of the ORTA is covered in the next section.

7.3. Office of Research and Technology Applications (ORTA)

The Stevenson-Wyler Technology Innovation Act of 1980, Public Law 96-480, as amended by Pubic Law 99-502, called for the establishment of an Office of Research and Technology Applications (ORTA) at each Federal laboratory.

There are two provisions of this law to be aware of. Specifically, (1) if you are associated with a laboratory having 200 or more scientific or technical positions, there must be one or more full-time staff associated with ORTA, and (2) the laboratory must spend 0.5% of its budget for technology transfer, including support of the ORTA function. The requirement to spend 0.5% can be waived if the Agency submits to Congress an explanation and alternate plans for the conduct of the technology transfer function.

The functions of the ORTA are spelled out in DoD 3200.12-R-4 These functions are very similar to those listed in the Public Law, and are:

1. To prepare an application assessment of each research and development project which has potential for successful application in State or local government or in private industry.

2. To provide and disseminate information on federally owned or originated products, processes, and services having potential application to State and local governments and to private industry.

3. To cooperate with and assist the Center for the Utilization of Federal Technology and other organizations that link the R&D resources of that R&D activity and the Federal Government as a whole to potential users in State and local government and private industry.

4. To provide technical assistance in response to requests from State and local government officials.

5. To serve as primary representative for their activity and provide appropriate support to the Federal Laboratory Consortium for Technology Transfer.

6. To initiate contacts and maintain liaison with State and local government, and the private sector. Participate in appropriate activities of the public and private sector that provide the opportunities to achieve technology transfer objectives; e.g. local government meetings or small business conferences.

7. Assist program managers and technical department heads in identifying technologies suitable for transfer and for which application assessments need to be developed.

8. Coordinate domestic technology transfer activities with patent counsel to determine rights to tactical data, patent and licensing implications, and the commercial potential of patentable technology.

9. Ensure that no domestic technology transfer functions substantially compete with similar services available in the private sector.

10. Ensure that no domestic technology transfer functions conflict with Export Control Regulations, policies governing militarily critical technology, or any of the responsibilities and procedures for technology transfer control set forth in DoD Directives, Instructions and Manuals.

If you compare these functions with those of the Federal Laboratory Consortium functions, you will note a marked similarity of some of them. At many laboratories, the current FLC representative is the ORTA focal point. Because of their common interest, even if these functions are separate at your activity, it is imperative that the ORTA and FLC focal points work closely to achieve their common goals.

7.4. Center for the Utilization of Federal Technology

Center for the Utilization of Federal Technology
National Technical Information Service
5285 Port Royal Road
Springfield, Virginia 22161
(703) 487-4650

The Center for the Utilization of Federal Technology (CUFT) is the major focal point for all domestic technology transfer information activities. It is a part of the National Technical Information Service, and its main activities center around the **promotion** aspect of technology transfer, trying to link U.S. businesses to the technologies available within the Government.

The major things that CUFT does are (1) handle aspects of the Government-owned patent licensing and promotion program (discussed in Section 10.7 of these notes), (2) handle the Tech Notes program, and (3) publishes special directories relating to technology transfer.

The Tech Notes program of CUFT consists of gathering together all of the "single-sheet announcements" produced throughout the Government, and consolidating these into (1) a monthly *Tech Notes* publication, (2) an annual *Federal Technology Catalog*, and (3) a Federal Applied Technology Database.

The Air Force no longer contributes to this program. Therefore, the STINFO Program Manager has no duties concerning the Tech Notes (which had the acronym ANT.)

In addition to the patent and Tech Notes programs, CUFT has published four directories that you should be aware of. These are:

1. ***Directory of Federal Laboratory & Technology Resources*** - This annual directory contains summary information about 1000 laboratories and other technology resources that are part of the U.S. Government. Each summary lists the name, address, point-of-contact, and discusses the areas of expertise for that resource. Included also are subject term, resource, state, and agency indexes.

2. ***Directory of Federal & State Business Assistance*** - This directory contains information about 180 Federal and 400 State business assistance programs, including technology transfer offices.

3. ***Federal & State Contacts Involved with the Transfer of Federal Laboratory Technology*** - This directory, which is not publicly available, is a companion volume to the *Directory of Federal*

Laboratory & Technology Resources mentioned above. It contains listings for all individuals who have been identified as being connected with the Federal technology transfer program. The directory is divided into seven sections containing laboratory and Federal agency contacts, Federal laboratories, laboratories by agency and State, Federal non-laboratory contacts, Federal technical information centers, and State technology transfer contacts.

4. ***Small Business Guide to Federal R&D Funding Opportunities*** - This is a guide to the Small Business Innovation Research (SBIR) Program, and a directory of the offices throughout the Government that are involved with this program and other related programs.

7.5. Federal Laboratory Consortium (FLC)

The FLC is a service organization that supports the federal technology transfer program. (In fact, its full name is the **Federal Laboratory Consortium for Technology Transfer**.) It is made up of more than 100 federal laboratories and centers from 11 federal agencies, and each of these facilities supports an FLC Technology Transfer Representatives who maintains contact with scientists and engineers from that facility. These representatives form a national network with direct access to almost all the research activity within the federal government.

The FLC was established under the Stevenson-Wydler Technology Innovation Act of 1980. The complete duties of this office were listed in that act, and are summarized in the FLC brochure. According to the FLC brochure, FLC performs the following functions:

1. Provides and disseminates information on federally owned or originated products, processes and services that have potential application to state and local governments, universities and industry.

2. Establishes person-to-person contacts between the federal laboratories and potential public and private sector users.

3. Serves as a national forum for the exchange of ideas, experiences and development of methods relating to federal technology transfer.

4. Helps to solve problems associated with intergovernmental use of federal laboratories and centers.

To perform these services, the FLC Representatives are to:

1. Identify the available resources at that facility.

2. Identify and prioritize the needs and service requests by technology users.

3. Match these needs to the available resources.

4. Hold Technology Transfer conferences whereby needs and capabilities information can be exchanged on a person-to-person basis.

The FLC is a national organization having three levels. At the national level are a Chairperson, an Executive Director, a Technical Specialty Coordinator, and a Washington Liaison. Under this level is a regional level. For the purposes of this program, the country is divided into six regions, each having an FLC Regional Coordinator. Under this level are the participating laboratory's Technology Transfer Representatives.

7.6. Cooperative R&D Agreement

Provision for cooperative research and development agreements was included in the Stevenson-Wydler Technology Innovation Act of 1980, as amended by Public Law 99-502. The provisions of this law allow a Federal laboratory to enter into a cooperative research and development agreement with any other state or national agency, any private or public firm, nonprofit organizations (including universities), and individuals. The purpose of these agreements is mainly to encourage the exploitation of Government-owned inventions made at a laboratory and other inventions of Federal employees that were assigned to the Government. However, the exploitation of a specific invention is not a necessary ingredient of a Cooperative R&D Agreement.

A Cooperative R&D Agreement means sharing towards mutual goals.

A very important provision of these agreements is that the laboratory may:

1. Accept, retain and use funds, personnel, and services from the collaborating party.

2. Provide personnel, services, and property to the collaborating party.

3. Grant patent licenses to the collaborating party.

4. Permit employees or former employees to commercialize inventions they made while employed by the U.S.

Where there are royalties involved, further sections of the law provide that the laboratory:

5. Distribute financial awards to the laboratory personnel for either (1) important inventions or (2) contributing to the domestic technology transfer program of the U.S.

6. Pay a minimum of 20% of any invention royalties it receives directly to the inventor.

7. Allows an employee-inventor to pursue a patent if the Government chooses not to do so.

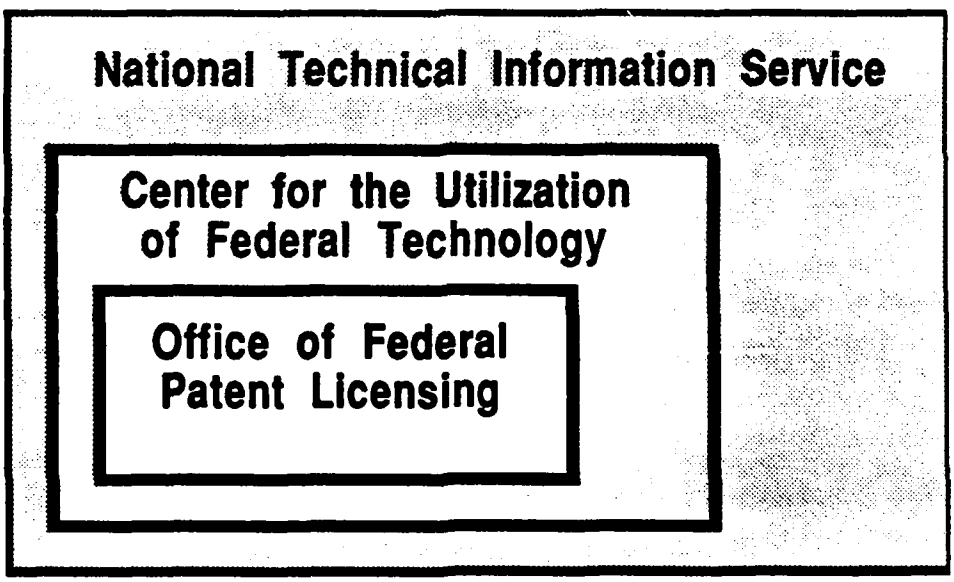
7.7. Patent Licensing

Annually, U.S. Government agencies, including the USAF, apply for and receive patents on over 1,400 inventions. These Government-owned inventions can be licensed by U.S. and foreign businesses (on either an exclusive or non-exclusive basis, and may include foreign rights) as part of the Federal technology transfer effort.

The patent licensing activities of the U.S. are handled by both (1) the defense agencies and laboratories themselves and (2) the Office of Federal Patent Licensing, which is part of the Center for the Utilization of Federal Technology (CUFT), which is part of the National Technical Information Service (NTIS).

7.7.1. The Office of Federal Patent Licensing

U.S. Department of Commerce
National Technical Information Service
Office of Federal Patent Licensing
Springfield, VA 22161
(703) 487-4733



The three main areas that will be addressed here are:

1. How a person locates Government inventions.

2. How to obtain relevant technical information on the invention.

3. What is involved in negotiating the license.

7.7.2. How to locate Government Inventions

There are a number of publications and databases available to alert businesses to new inventions. Two of these are:

1. ***Government Inventions for Licensing Abstract Newsletter*** - This is a weekly newsletter summarizing all of the Government-owned inventions that are available for licensing. It breaks down the information into eleven subject disciplines, and includes a short abstract and drawing. Subscriptions to this publication are $205 per year.

2. ***Catalog of Government Patents*** - This is an annual compilation of the patents that were announced in the weekly newsletter above. It has been published since 1981 and the 1987 issue costs $30.

3. ***Official Gazette*** - All patents, whether Government-owned or not, are announced in the Official Gazette of the Patent and Trademark Office. This weekly booklet is a fairly common library reference item.

However, in today's online world, much of the searching for recent patents is done online. Because patents are considered technical literature, searches of common technical databases will yield citations to Government-owned patents. In particular, DoD-sponsored patents (and some patent applications) are part of the DTIC Technical Reports Database, and many patents are included in the NTIS database.

The major U.S. commercial patent databases to be aware of are the "CLAIMS" series of databases produced by the IFI/Plenum Data Company and available from DIALOG Information Services, the Pergamon InfoLine Search Service, and the STN International Company. These databases contain information on U.S. patents from 1950 to the present for chemical patents, and from 1963 to the present for all patents.

7.7.3. Obtaining Technical Information

Once a patent has been identified using either the above finding aids or as the result of a database search, the next step is obtaining the full patent from either the Patent and Trademark Office or a patent vendor. (Full copies of all U.S. patents are available from the U.S. Patent and Trademark Office, Washington DC 20231, for $1.50 each independent of the length of the patent.) If the invention looks promising, the person would call the Office of Federal Patent Licensing and find out (1) what rights are still available concerning the invention, and (2) the office handling the

negotiations concerning that invention's licensing. In the case of almost all Air Force patents, the person would be referred to the office discussed later in this section.

7.7.4. The Licensing Procedure

The licensing procedure can be thought of as an extension of the contracting process. If an invention has a number of parties interested in it, they will be invited to submit a plan for developing the product or process and utilizing it commercially. An applicant is then selected based on having the most advantageous, realistic, and expeditious plan. If the license is for exclusive rights to the invention, it must be published in the *Federal Register* 60 days prior to its granting.

The terms and conditions of patent licenses are a negotiated item. License agreements usually require an execution fee, annual minimum fees, and royalties based on sales resulting from the use of the invention.

7.7.5. How the Air Force Handles Patent Licensing

Air Force procedures concerning patents and patent licensing are covered in AFR 110-8, "Inventions, Patents, Copyrights, and Trademarks," and AFR 110-33, "Licensing Government-Owned Inventions in the Custody of the Department of the Air Force." Requests made through the Office of Federal Patent Licensing that concern Air Force patents are referred to:

The Chief, Patents Division
Office of the Judge Advocate General
HQ USAF/JACP
1900 Half Street, SW
Washington, DC 20324
(202) 693-5710

Under the provisions of the Stevenson-Wydler Technology Innovation Act, the individual laboratories can enter into direct patent licensing arrangements with individuals and companies. Any questions concerning this should be referred to the local Staff Judge Advocate.

Under the provisions of AFR 110-33, some of the important points concerning how the Air Force handles Patent Licensing are:

1. The types of licenses that the Air Force grants are classified as either nonexclusive, partially exclusive, or exclusive. Nonexclusive licenses usually do not involve royalties, whereas exclusive or partially exclusive licenses normally will involve royalties or other considerations to the Government.

2. The granting of exclusive or partially exclusive licenses involve a number of restrictions and conditions (such as a notice of the prospective license appearing in the Federal Register, and a

60-day delay time to process any objections,) all of which are listed in AFR 110-33.

3. The application for a patent license contains, in addition to the expected items, a detailed description of the applicant's plan for development or marketing of the invention.

4. The application will be denied if it is not in the interests of the public and Federal Government, and the granted licenses may be terminated for any breach of the license.

7.7.6. STINFO Duties Regarding Patents

Both Air Force patents and patent applications are considered STINFO and should be processed, given a Report Documentation Page, and sent to DTIC.

The STINFO Program Manager duties concerning patents are to ensure that all patents generated at the activity are processed and sent to DTIC. This involves coordinating with the local Patent Officer in the office of the Staff Judge Advocate.

8. STINFO Duties - Control and Marking

THE POINT OF THIS SECTION IS:

The distribution limitation statements placed on information by the generator are very important. The STINFO PM provides guidance and reviews the selected limitation.

8.1. Key Points

- The STINFO Program Manager is responsible for:
  - Providing guidance to the generators of STINFO regarding the proper marking of documents.
  - Establishing a system wherein limitations are reviewed on a regular basis (or whenever a request is processed).
- A new Military Standard is under preparation with the tentative title "Marking Technical Documents Prepared by or for the Department of Defense."
- Limitation is different than classification. Limitations are usually applied in order to limit the distribution of the information to a select group or exclude others from access.
- Only specific limitations can be used, and these can only be used for specific reasons.
- A procedure for the periodic review of limitations is needed in order to increase the document's availability when conditions permit in the future.
- All technical information, no matter what form it takes, must have a limitation statement.
- The limitation statement applies to the secondary distribution of a document, not the primary distribution.

8.2. Proper Distribution Limitation Statement

The intent of the distribution limitation system is to stem the flow of military-related technical data to our adversaries without stifling technological growth, blocking the exchange of technical data that is vital to progress or innovation, or reducing the competitiveness of U.S. industry in world markets. Properly applied, the system of limitations will keep critical technology from our adversaries but permit it to flow to government agencies and private entities that have legitimate need for it.

A proper distribution limitation statement is very important to ensure that Air Force STINFO is only released to those persons and organizations allowed access to the information, and that STINFO subject to export-control laws is identified and controlled as such.

8.3. Marking STINFO information

8.3.1. Responsibility

The responsibility for marking technical documents properly belongs to the DoD component that generates the document. For each new document, the manager of the technical program generating the document is responsible for checking whether or not the document should be assigned any limitation statement.

It is the responsibility of the STINFO office to assist the originating office in assigning the correct limitation (for example, by having a copy of the MCTL available for review), and then, during processing, checking that a valid and reasonable limitation has been assigned.

8.3.2. Classified Markings

The most fundamental type of document marking is for classification. When applied to a technical publication sent to DTIC, the publications are made available to anyone who is certified to receive that level of classification and who has the need-to-know in subject areas that the report falls into. In the case of contractors, certification to receive classified materials involves completion of DD Form 1541, and the need-to-know is on a contract-by-contract basis involving the submittal of DD Form 1540.

The classification of a report is determined by the content and the source of the information in the report, and is established by the manager of the program generating the information with advice from the cognizant security office.

Also, DTIC only handles materials through SECRET, and the marking of classified materials must be in accordance with AFR 205-5, "Information Security Program."

8.3.3. Limited (Classified or Unclassified)

Limited documents have distribution statements imposed by their controlling office. Such documents may be either classified or unclassified. (All classified documents must now have a limitation of some sort, therefore there is no longer a possibility of a classified and unlimited document.) Users who are affected by a limitation and who want to get access to the document must submit a limited document request form, DTIC Form 55, to DTIC. The request is validated at DTIC and forwarded to the document's controlling office for release determination.

8.3.4. Export-Controlled

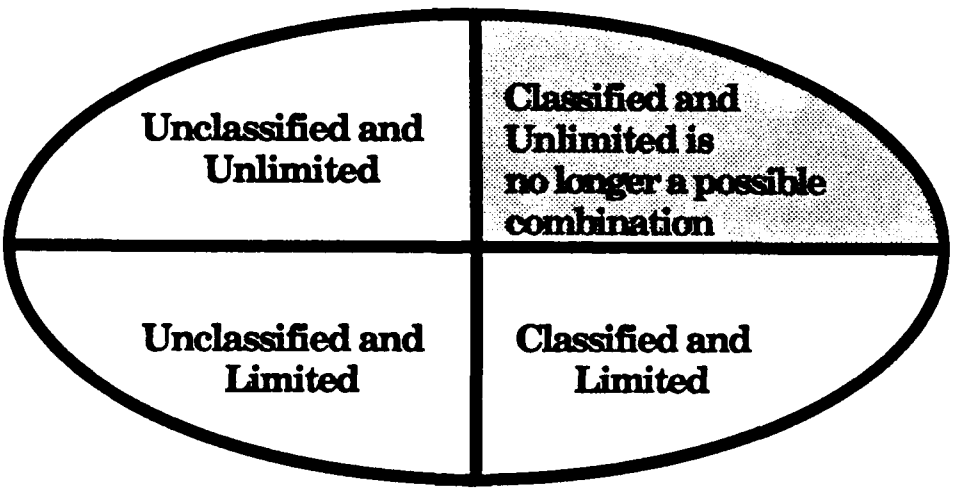
Because classified materials are automatically export-controlled, the category of "export-controlled" usually refers to unclassified documents

that contain information subject to one or more of the export-control lists that will be discussed later. However, because classified materials are subject to automatic downgrading, classified materials may also be marked for export control to prevent their unauthorized distribution in the future. In order for a contractor to get access to these materials, the contractor must have registered with the Defense Logistic Services Center by submitting a DD Form 2345, "Export-Controlled DoD Technical Data Agreement."

Once registered, the contractor is listed on the Qualified Contract Access List, which is published quarterly by the Defense Logistics Services Center. Once DTIC receives this information, the contractor will receive unclassified, export-controlled technical data as requested.

8.3.5. Unclassified/Unlimited

The fourth category of materials is Unclassified/Unlimited, which are also referred to as "U^2" or "Statement A". These materials are distributed by DTIC to all registered users who have a deposit account with the National Technical Information Service (NTIS). They are subsequently available to the general public, without restriction, from NTIS.



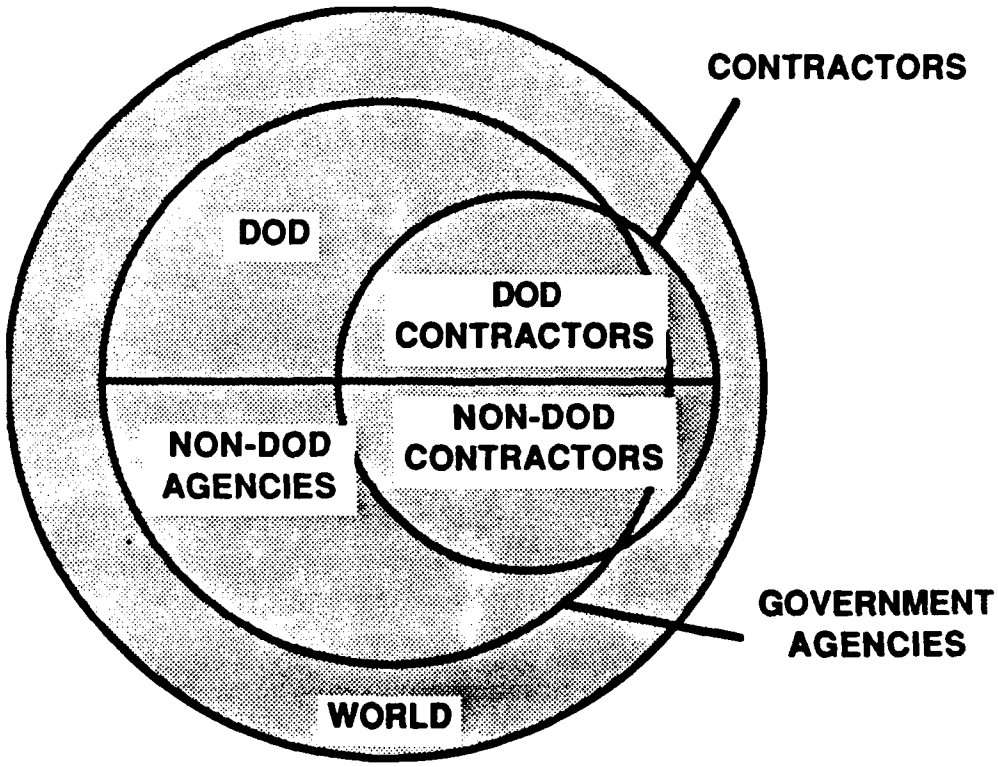
8.3.6. Distribution Statements

The distribution statement should be selected to limit the secondary distribution of the information to the intended audience. The following distribution statements are authorized for use in marking technical documents:

Distribution Statement A

Approved for public release; distribution is unlimited.

This distribution statement is used on unclassified technical documents that do not contain export-controlled data, and have been approved for public release after a security review and policy determination by the Public Affairs Office, as authorized by AFR 190-1.



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Distribution Statement B

Distribution authorized to U.S. Government agencies only (*fill in reason*) (*date of determination*). Other requests for this document shall be referred to (*insert controlling DoD office*).

The possible "reasons" to use in this statement are:

Foreign Government Information - limits distribution according to the desires of the foreign government that furnished the technical information.

Proprietary Information - protects information not owned by the U.S. Government and not protected by a contractor's "limited rights" statement, but received with the understanding that it not be routinely transmitted outside the U.S. Government.

Test and Evaluation - protects results of test and evaluation of commercial products or military hardware when such disclosure may cause unfair advantage or disadvantage to the manufacturer of the product.

Contractor Performance Evaluation - protects information in management reviews, records of contract performance evaluation, or other advisory documents evaluating programs of contractors.

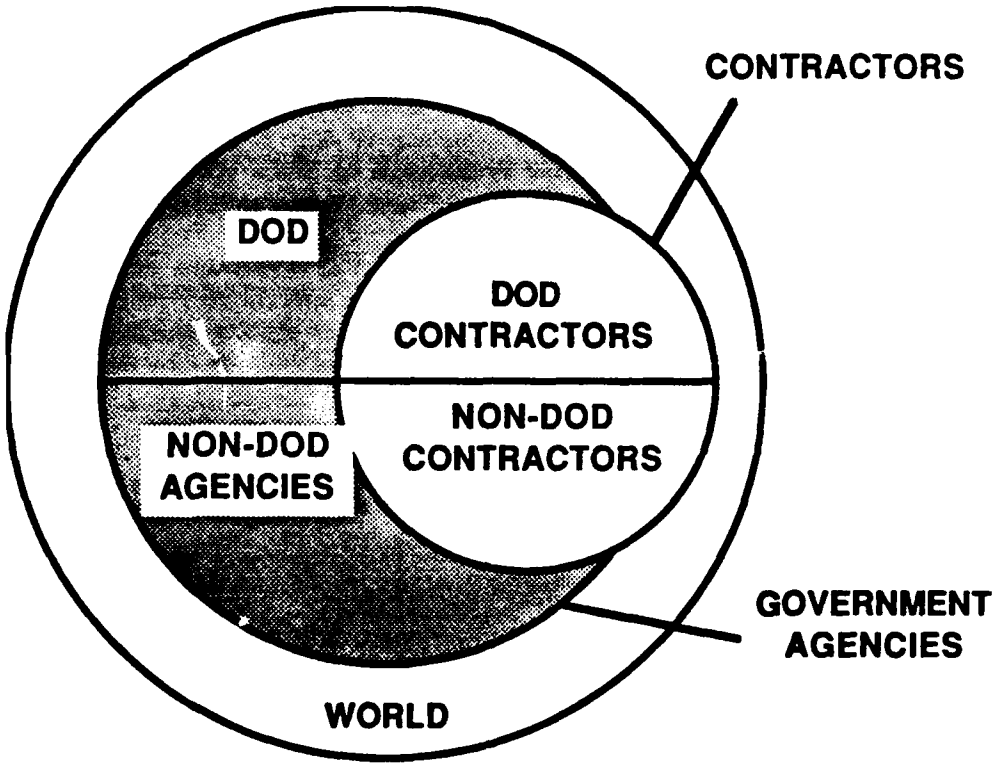
Critical Technology - protects information and technical data that advance current technology or describe new technology in an area of significant, or potentially significant military application, or that relate to a specific military deficiency of a potential adversary.

Premature Dissemination - protects information on systems or hardware in the developmental or conceptual stage to prevent premature disclosure that might jeopardize the inventor's right to obtain a patent.

Administrative or Operational Use - protects technical or operational data or information from automatic dissemination under the International Exchange Program (IEP) or by other means. This protection covers publications required solely for official use or strictly for administrative or operational purposes.

Specific Authority - protects information not specifically included in the above reasons, but which requires protection according to valid documented authority such as Executive Orders (EOs), classification guidelines, or regulatory documents.

Notes: All technical data marked with a contractor's restrictive marking claim will be marked with Distribution Statement B. Any technical document which includes particular Foreign Military Sales (FMS) item information or technology shall be marked with Distribution Statement B.



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Distribution Statement C

Distribution authorized to U.S. Government agencies and their contractors (*fill in reason*) (*date of determination*). Other requests for this document shall be referred to (*insert controlling DoD office*).

The possible "reasons" to use in this statement are:

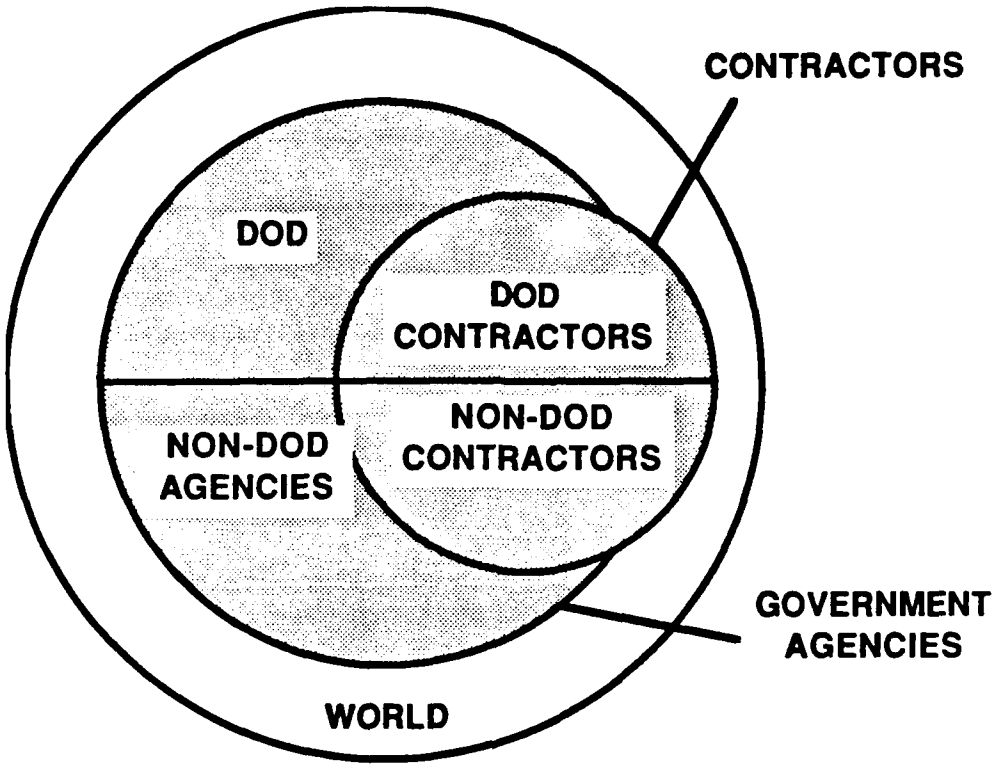
Foreign Government Information - limits distribution according to the desires of the foreign government that furnished the technical information.

Critical Technology - protects information and technical data that advance current technology or describe new technology in an area of significant, or potentially significant military application, or that relate to a specific military deficiency of a potential adversary.

Administrative or Operational Use - protects technical or operational data or information from automatic dissemination under the International Exchange Program (IEP) or by other means. This protection covers publications required solely for official use or strictly for administrative or operational purposes.

Specific Authority - protects information not specifically included in the above reasons, but which requires protection according to valid documented authority such as Executive Orders (EOs), classification guidelines, or regulatory documents.

Notes: Any technical document which contains technical information on the technologies listed as requiring control, but less than absolute control, in the MCTL, shall be marked with Distribution Statement C.



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Distribution Statement D

Distribution authorized to the Department of Defense and DoD contractors only (*fill in reason*) (*date of determination*). Other requests for this document shall be referred to (*insert controlling DoD office*).

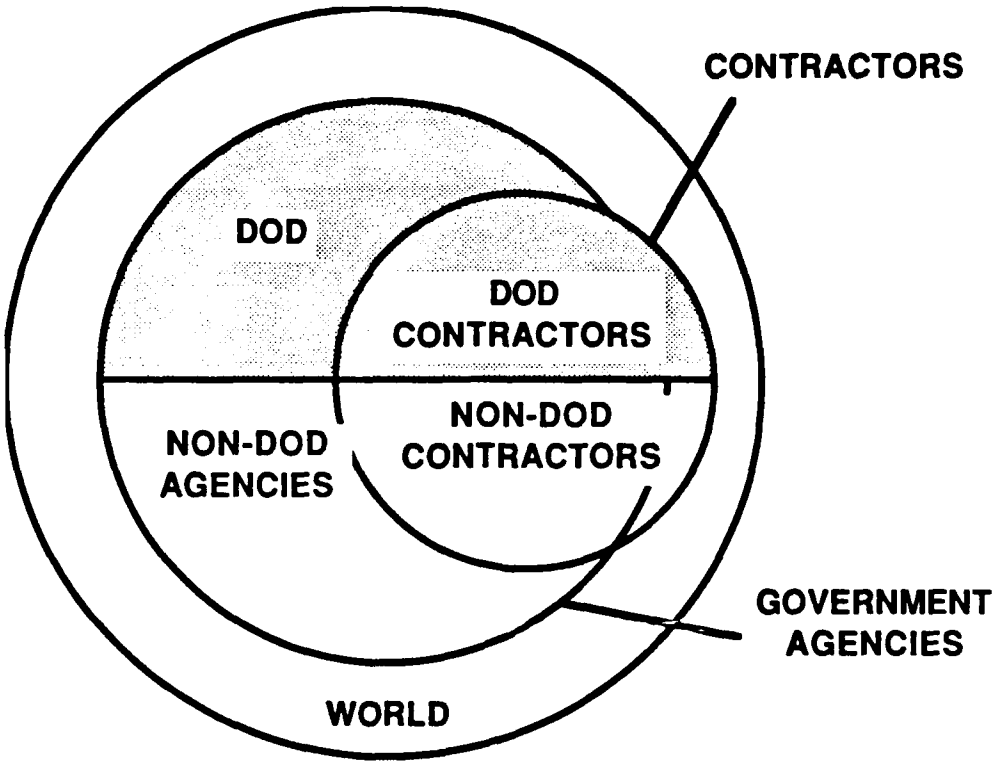
The possible "reasons" to use in this statement are:

Foreign Government Information - limits distribution according to the desires of the foreign government that furnished the technical information.

Critical Technology - protects information and technical data that advance current technology or describe new technology in an area of significant, or potentially significant military application, or that relate to a specific military deficiency of a potential adversary.

Administrative or Operational Use - protects technical or operational data or information from automatic dissemination under the International Exchange Program (IEP) or by other means. This protection covers publications required solely for official use or strictly for administrative or operational purposes.

Specific Authority - protects information not specifically included in the above reasons, but which requires protection according to valid documented authority such as Executive Orders (EOs), classification guidelines, or regulatory documents.



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Distribution Statement E

Distribution authorized to DoD components only (*fill in reason*) (*date of determination*). Other requests for this document shall be referred to (*insert controlling DoD office*).

The possible "reasons" to use in this statement are:

Direct Military Support - protects technologies of such significance for military purposes that release may jeopardize an important technological or operational military advantage for the U.S., as designated by the DoD, or in those cases where a specific decision is made by the program office responsible for the project that only DoD components should have access to the document.

Foreign Government Information - limits distribution according to the desires of the foreign government that furnished the technical information.

Proprietary Information - protects information not owned by the U.S. Government and protected by a contractor's "limited rights" statement, or received with the understanding that it not be routinely transmitted outside the U.S. Government.

Test and Evaluation - protects results of test and evaluation of commercial products or military hardware when such disclosure may cause unfair advantage or disadvantage to the manufacturer of the product.

Contractor Performance Evaluation - protects information in management reviews, records of contract performance evaluation, or other advisory documents evaluating programs of contractors.

Critical Technology - protects information and technical data that advance current technology or describe new technology in an area of significant, or potentially significant military application, or that relate to a specific military deficiency of a potential adversary.

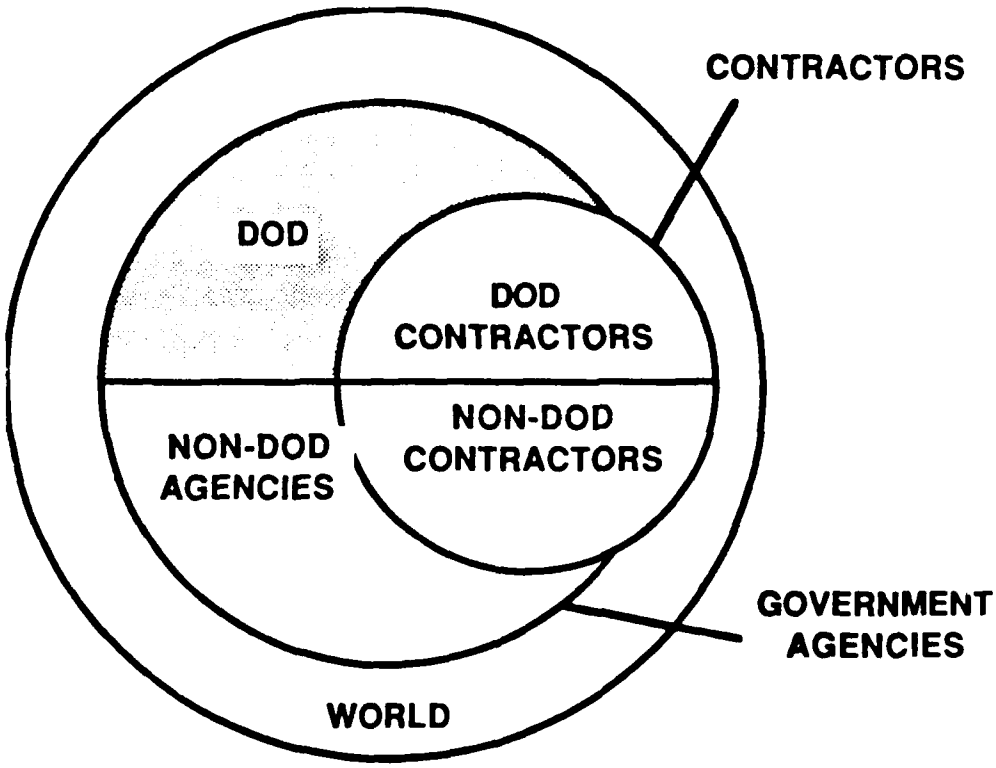
Premature Dissemination - protects information on systems or hardware in the developmental or conceptual stage to prevent premature disclosure that might jeopardize the inventor's right to obtain a patent.

Software Documentation - protects software documentation and data releasable only under AFR 300-6.

Administrative or Operational Use - protects technical or operational data or information from automatic dissemination under the International Exchange Program (IEP) or by other means. This protection covers publications required solely for official use or strictly for administrative or operational purposes.

Specific Authority - protects information not specifically included in the above reasons, but which requires protection according to valid documented authority such as Executive Orders (EOs), classification guidelines, or regulatory documents.

Notes: Any technical document which contains technical information on the technologies listed as requiring absolute control in the MCTL shall be marked with Distribution Statement E. Deficiency reporting data, and Accident Investigation Information will be marked with Distribution Statement E.



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Distribution Statement F

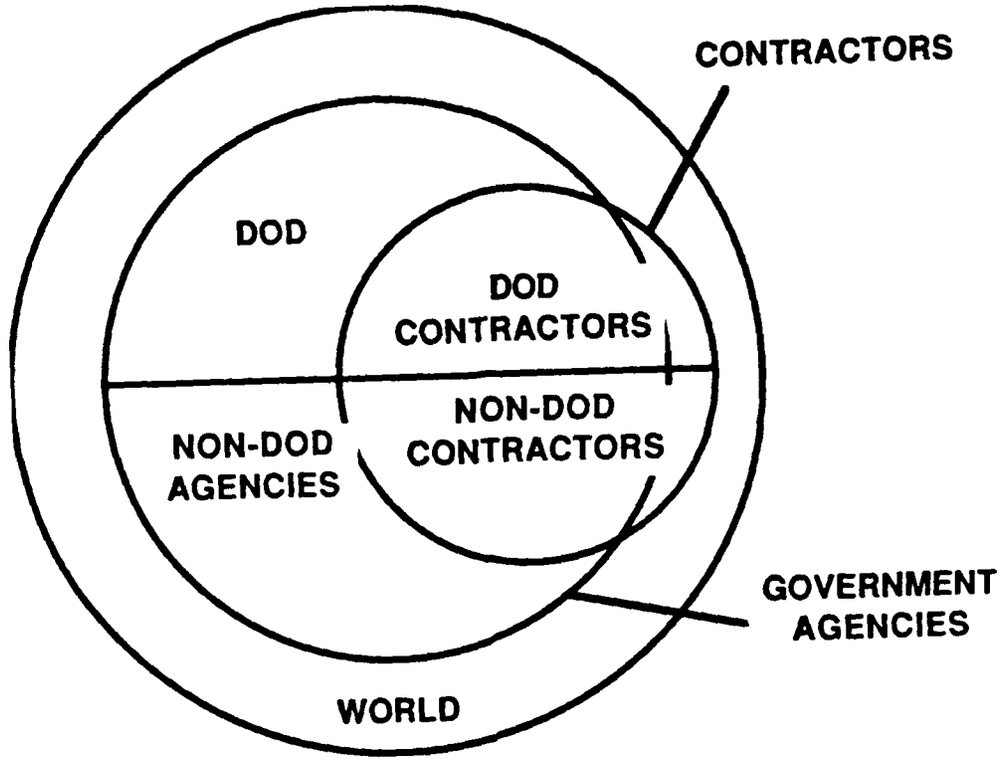
Further distribution only as directed by (*insert controlling DoD office*) (*date of determination*) or higher DoD authority.

The possible "reasons" to use in this statement are:

Direct Military Support - protects data so militarily significant that its release for purposes other than direct support of the USAF or other DoD activities may jeopardize an important U.S. technological or operational advantage. This type of technical data provides a significant military capability, has little or no current commercial usefulness, and its development for commercial purposes would jeopardize the military advantage it provides. Data marked with Distribution Statement F and this reason is usually only released to permit the requester to bid or perform on a contract with the USAF or other U.S. Government Agency.

Special Dissemination and Reproduction - protects information subject to special dissemination limitations specified by paragraph 4-505, DoD Regulation 5200.1-R.

Notes: Distribution Statement F usually is used only on classified technical documents, but may be used on unclassified technical documents when specific authority exists.

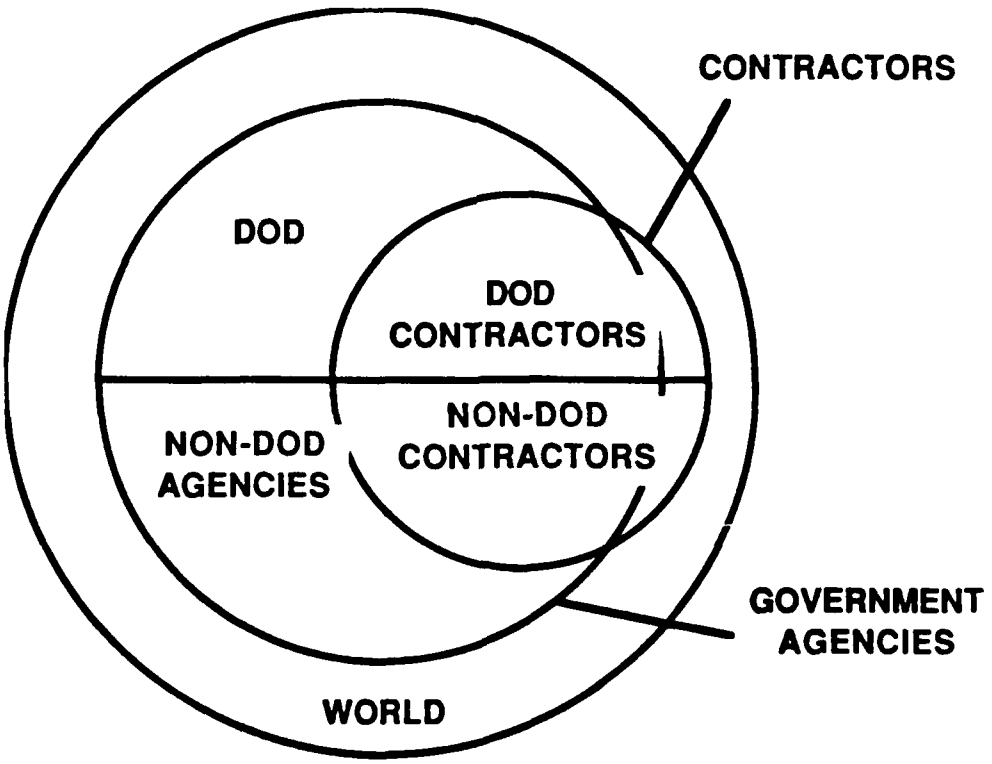


This is the most restrictive limitation with each distribution being controlled.

Distribution Statement X

Distribution authorized to U.S. Government agencies and private individuals or enterprises eligible to obtain export-controlled technical data in accordance with regulations implementing 10 U.S.C. 140c (*date of determination*). Other requests must be referred to (*insert controlling DoD office*).

Export-Controlled Data - protects data subject to DoD Directive 5230.25, when distribution statements B, C, D, E, or F are not used. Note that Distribution Statement X is never used on classified documents.



Eligibility to receive this information is determined by the ability to receive Export-Controlled information.

8.3.7. Control of Unclassified Technology with Military Applications

DoD Directive 5230.25 established policies and procedures for disseminating and withholding unclassified technical data. AFR 80-34, "***Withholding of Unclassified Technical Data From Public Disclosure***" implements this Directive within the Air Force.

Essentially, the Air Force may withhold from public disclosure any technical data with military or space application in the possession of, or under the control of, the U.S. Air Force if such data may not be exported lawfully without an approval, authorization, or license under export-control law.

It is Air Force policy to provide this data to contractors certified and registered by the Defense Logistics Services Center. However, when the data is so important that release for purposes other than direct support of the Air Force or other DoD activities may jeopardize an important U.S. technological or operational advantage, the data will be withheld even from registered contractors.

The two document request channels that AFR 80-34 addresses are non-FOIA requests and FOIA requests. The regulation lists the situations and reasons for which access should be denied in both these situations, as well as a number of sample letters to cover the more common situations.

8.3.8. Placing Limitations and Export Control Markings on Technical Documents and Other Forms of STINFO

The new distribution marking system mandates the use of the following warning notice on all documents that contain export-controlled technical data:

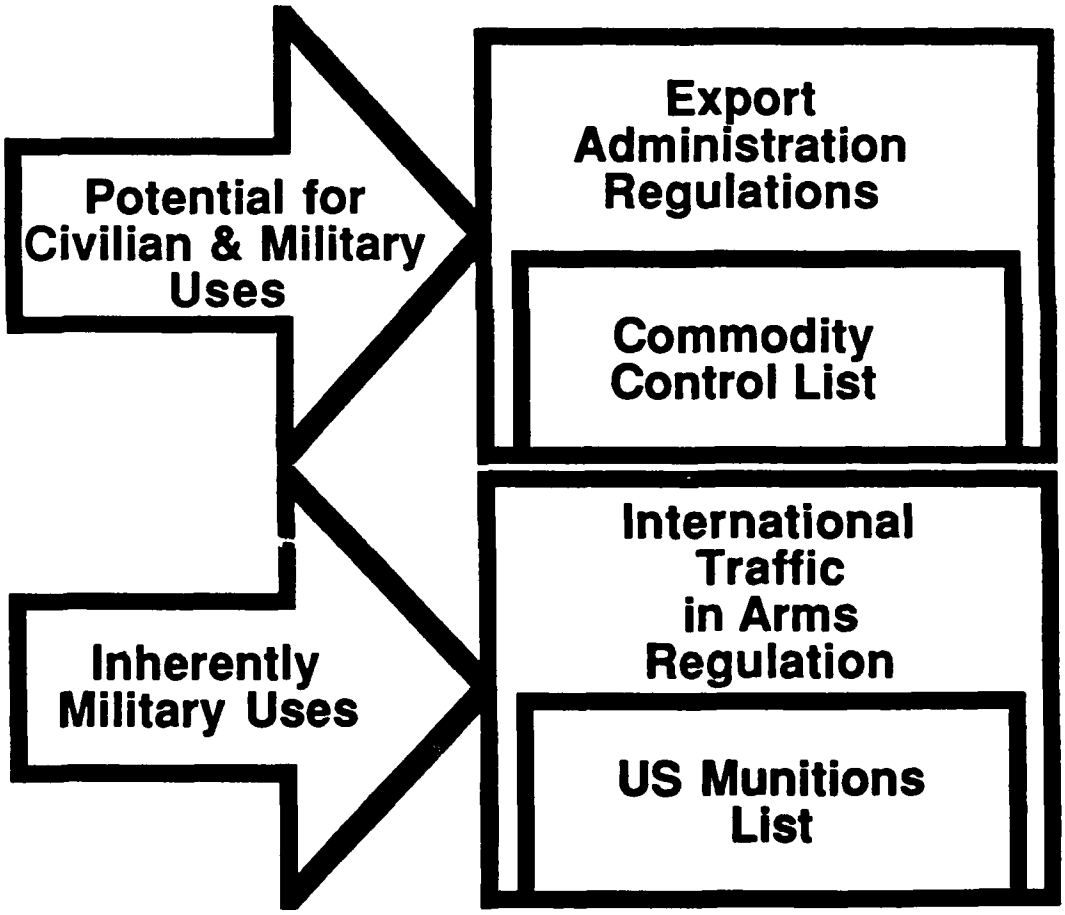
> **WARNING - This document contains technical data whose export is restricted by the Arms Export Control Act (Title 22, U.S.C., Sec. 2751 et seq.) or the Export Admistration Act of 1979, as amended (Title 50, U.S.C., APP. 2401, et seq.). Violators of these export laws are subject to severe criminal penalties. Disseminate in accordance with the provisions of AFR 80-34.**

All other categories of materials including hardware, charts, maps, drawings, photographs, films, recordings, transparencies, slides, motion picture films, recordings, microforms, and all types of ADP media also

need to be marked. Detailed marking instructions will be contained in the new MIL-STD entitled "***Marking Technical Documents Prepared by or for the Department of Defense***" which is in preparation.

8.4. Export Control

All defense goods and technical data that are subject to export control fall either within the International Traffic-in-Arms Regulation (ITAR) or the Export Administration Regulations (EAR). The criteria as to whether the item comes under one or the other is a function of its inherent capabilities. If the item is deemed to be inherently military in character, it falls under the ITAR. If the item has potential for both military and civilian use, it falls under the EAR.



8.4.1. International Traffic-in-Arms Regulation (ITAR) (22 CFR 120)

The ITAR prohibits the export and import of defense articles and defense services without the approval of the Department of State. "Defense article" means anything included on the U.S. Munitions List (see next section) and includes models, mockups, and other such items which reveal technical data directly relating to the items in the U. S. Munitions List. "Defense services" means assisting (including training) foreign persons in the design, engineering, development, processing, manufacture, use, operation, ..., of defense articles or the furnishing to foreign persons of any technical data, whether in the United States or abroad.

According to the ITAR, technical data is defined as:

a. Information relating to defense articles and services;

b. Information covered by an invention secrecy order;

c. Information which is directly related to the design, engineering, development, production, processing, manufacture, use, operation, overhaul, repair, maintenance, modification, or reconstruction of defense articles. This includes, for example, information in the form of blueprints, drawings, photographs, plans, instructions, computer software and documentation. This also includes information which advances the state of the art of articles on the U.S. Munitions List. It does not include information concerning general scientific, mathematical or engineering principles.

Note that this definition of technical data is very broad and covers all technology which may relate to items on the U.S. Munitions List. If there is any question at all as to whether or not an item is on the U.S. Munitions List, the Office of Munitions Control, Bureau of Politico-Military Affairs, Department of State, Washington, DC 20520, will make such a determination. (Procedures are outlined in 22 CFR Part 120.)

8.4.1.1. What the ITAR Contains

Basically the ITAR contains four things:

a. General information on the ITAR itself.

b. The U.S. Munitions List.

c. Registration procedures for exporters and manufacturers, and license procedures for exporting the controlled materials.

d. The penalties for violation of these regulations.

8.4.2. U.S. Munitions List (22 CFR Part 121)

The U.S. Munitions List is part (in fact it is the heart) of the ITAR. It is a subject-organized list of defense equipment and topics, and is about 7 pages long. Some items on this list are marked (by an asterisk) to indicate that they are "significant military equipment" and subject to even more stringent controls (dealing with non-transfer and use.) Changes in the list (and clarifications) are issued through the *Federal Register* and through a *Munitions Control Newsletter* published by the Office of Munitions Control.

The List is quite specific concerning military hardware such as "underwater sound equipment, including but not limited to towed arrays, electronic beam forming sonar, ..." However, sprinkled liberally throughout the list is the phrase "but not limited to ..." This legalese means that items not specifically on the list (but are of the same type as items on the list) probably are subject to the same controls as items on the list.

8.4.3. Export Administration Regulations (EAR) (15 CFR Parts 369-399)

Export Control Laws are the responsibility of the Department of Commerce, and were established to provide export control policies and practices. A validated license is required from the Department of Commerce for not only the export of materials, but the export of technical data relating to the controlled materials.

Technical data is defined as information of any kind that can be used in the design, production, manufacture, utilization, or reconstruction of articles or materials. The data controlled consists of not just reports, but may take on the form of a model, prototype, blueprint, or operating manual. All software is considered technical data.

Basically, the technical data relating to the commodities as listed on the Commodity Control List (CCL) are prohibited without a license.

8.4.3.1. Country Groups

For the purposes of export control, the foreign countries are separated into seven country groups designated by the letters Q, S, T, V,W, Y, and Z. The specific controls are then applied to a specific country group. Note that Canada is not in any group and is mentioned by name in the EAR, and that many countries are listed in Group V. (Note that the following list is quite dynamic and subject to frequent changes. In order to determine the precise list at any point in time, you would have to refer to both 15 CFR Part 370, and the *Federal Register's* List of CFR Sections Affected).

Country Group Q: Romania.

Country Group S: Libya.

Country Group T: Greenland, Miquelon and St. Pierre Island, Mexico, Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, Panama, Bahamas, Barbados, Bermuda, Dominican Republic, French West Indies, Haiti, Jamaica, Leeward and Windward Islands, Netherlands Antilles, Trinidad and Tobago, Colombia, French Guiana, Guyana, Surinam, Venezuela, Bolivia, Chile, Ecuador, Peru, Argentina, Brazil, Falkland Islands, Paraguay, Uruguay.

Country Group V: All countries not included in any other country group (except Canada.)

Country Group W: Hungary, Poland.

Country Group Y: Albania, Bulgaria, Czechoslovakia, Estonia, German Democratic Republic, Laos, Latvia, Lithuania, Mongolian People's Republic, Union of Soviet Socialist Republics.

Country Group Z: North Korea, Vietnam, Cambodia, Cuba.

8.4.4. Militarily Critical Technology List (MCTL)

The Militarily Critical Technology List (MCTL) was developed by the DoD to identify those technologies whose export could increase the military capabilities of potential adversaries to the detriment of U.S. national security.

The MCTL is not intended to replace either the Export Administration Regulations nor the International Traffic-in-Arms Regulations. Rather, it should be used as a resource document (background information) in determining which technologies must be controlled from foreign export. The contents of the MCTL do impact both the Commodity Control List (CCL) and the U.S. Munitions List.

8.4.5. Commodity Control List (CCL) (15 CFR Part 399)

The CCL is a detailed listing prepared by the Department of Commerce to control the export of goods and technologies which may significantly contribute to the military potential of foreign countries thereby adversely affecting the national security of the U.S. The CCL is contained in 15 CFR Part 399, and is about 200 pages long.

The CCL is broken into 9 commodity groups (such as Group 0: Metal-Working Machinery), and each entry within the groups is given a four-digit Export Control Commodity Number. For each entry, the CCL contains information as which Country Groups need a special license, the value over which a special license is needed, and the reason for control. Looking over the list, many of the "reason for control" entries is simply "National security." There is also a "processing code" which is used by exporters to indicate country groups.

The major groupings of commodities listed in the CCL are:

Group	Types of Commodities
0	Metal-Working Machinery
1	Chemical and petroleum equipment
2	Electrical and power-engineering equipment
3	General industrial equipment
4	Transportation equipment
5	Electronics and precision equipment
6	Metals, minerals, and their manufacture
7	Chemicals, metalloids, petroleum products
8	Rubber and rubber products
9	Miscellaneous

8.4.6. Coordinating Committee (COCOM)

The COCOM is a multilateral organization that cooperated in restricting strategic exports to controlled countries. It consists of 15 member nations: Belgium, Canada, Denmark, France, the Federal Republic of Germany, Greece, Italy, Japan, Luxembourg, the Netherlands, Norway, Portugal, Spain, Turkey, the United Kingdom, and the United States.

This committee is important because the CCL contents and structure are determined by the COCOM.

8.4.7. Qualified Contractor Access List, Defense Logistics Service Center Certification

The DoD has established a system that accommodates transfer of export-controlled DoD technical data to persons or companies in the U.S. while retaining the protections afforded by national export control laws. This data, however, is provided under a binding agreement and therefore is not a public disclosure. The system, established in the new DoD Directive (5230.25) includes a process for certifying those who need access and outlines procedures for obtaining the data required.

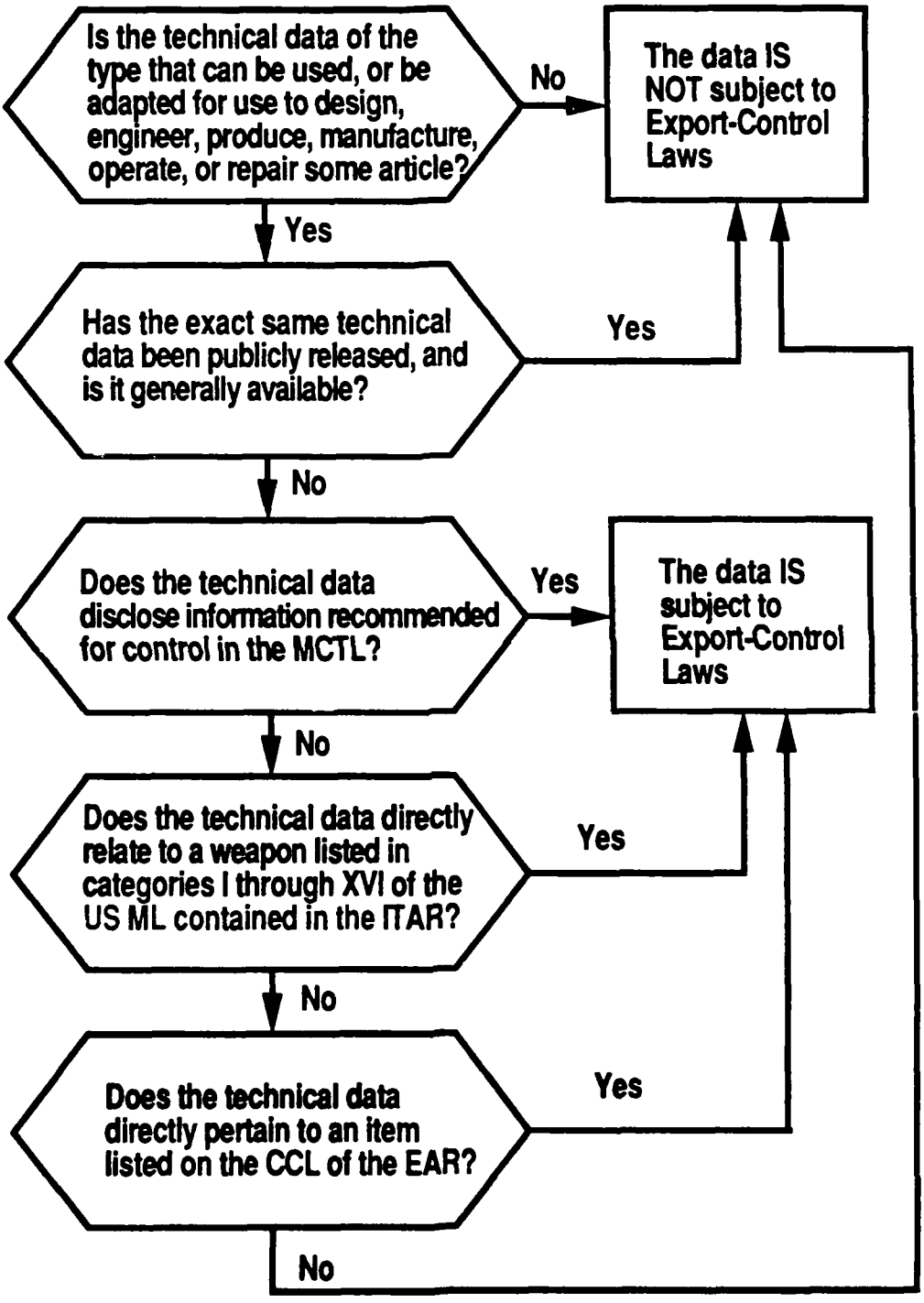
Certification is accomplished using DD Form 2345, called an "Export-Controlled DoD Technical Data Agreement." The Form is in effect a self-certification that the applicant will use the data only in ways that will maintain the protections afforded by U.S. export control laws.

The Defense Logistics Agency has overall responsibility for administering the certification system, and the Defense Logistics Services Center, located in Battle Creek, Michigan, carries out the operational functions. It collects the certifications and maintains them in a database. The Center also disseminates a list of contractors eligible for access to export-controlled DoD data. This list, which is published quarterly, is called the ***Qualified Contractor Access List (QCAL)***

Companies that are certified are assigned a certification number and are eligible to receive export-controlled DoD data for a renewable five year period.

The pamphlet DoD 5230.25-PH is highly recommended for an in-depth discussion of the ins and outs of this process.

8.4.8. Procedure for Determining if Technical Data is Export Controlled (based on Section 5 of AFP 80-30)



9. STINFO Duties - User Support

The STINFO office provides access to a number of important information services including access to the all-important Defense Technical Information Center.

9.1. Key Points

- It is the STINFO Program Manager's responsibility to set up procedures to obtain scientific and technical information services to meet the needs of the organization.
- The single most important user service is access to DTIC databases and services.
- Other user support services that might apply to the organization are:
  - Access to CIRC II for foreign technology.
  - Access to commercial databases.
  - Access to IR&D brochures and evaluations.
  - Support of sponsored technical meetings.
  - Access to GIDEP for engineering data.

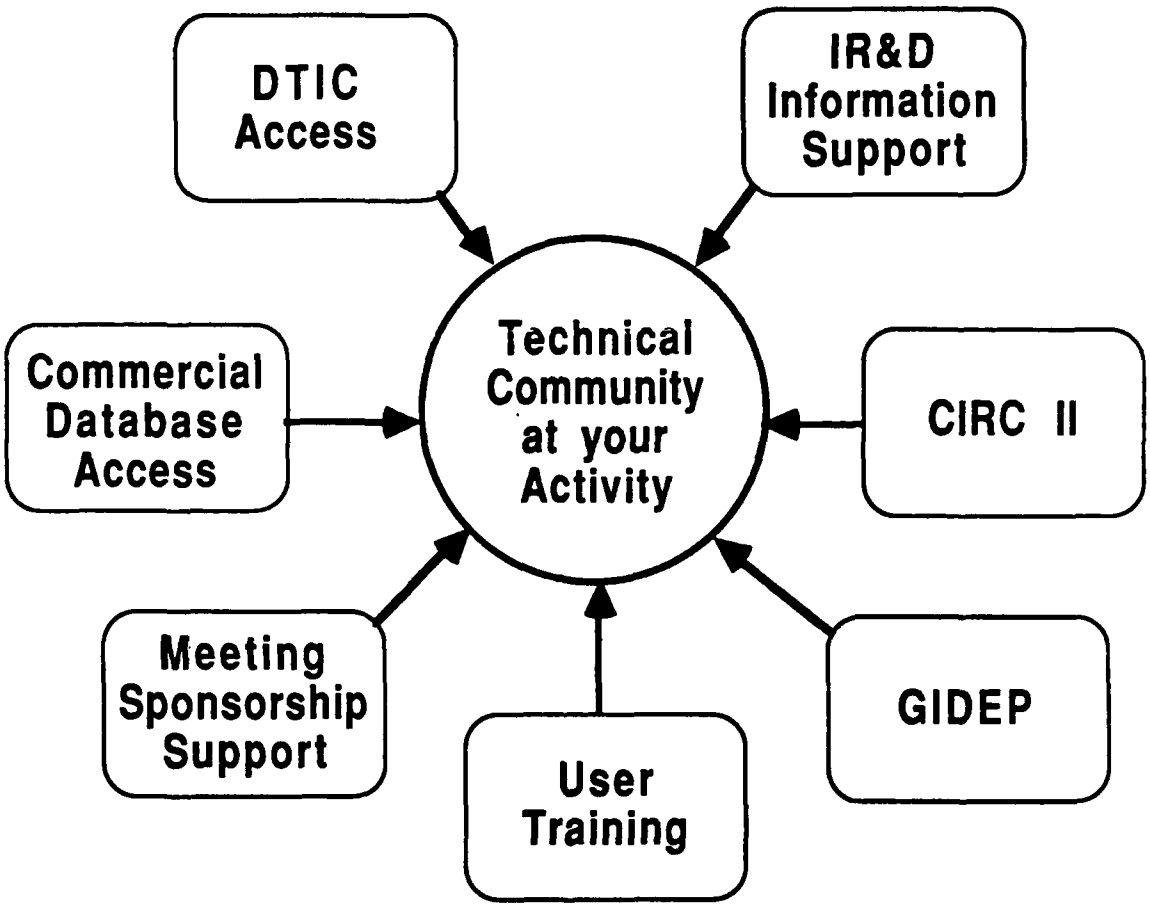
9.2. User Support Duties

STINFO duties pertain to scientific and technical information flow not just out from an organization, but also **into** an organization in the form of support of the technical community's information needs. In fact, the first STINFO duty listed in AFR 83-1 is to set up procedures to provide or obtain scientific and technical information services to meet the needs of the organization.

Some of the most important of the information services to be aware of are discussed in this section. Keep in mind that this list is not complete.

The services user support services that are discussed in this section are:

1. Defense Technical Information Center (DTIC) -
2. Foreign Technology Access (CIRC II)
3. Commercial Databases
4. IR&D Responsibilities
5. Technical Meetings
6. Government Industry Information Exchange (GIDEP)
7. Information Support Training



SOME POTENTIAL USER SUPPORT SERVICES

9.3. Defense Technical Information Center (DTIC)

Defense Technical Information Center
Building 5, Cameron Station
Alexandria, VA 22304-6145
(202) 274-6434, Autovon 284-6434

9.3.1. What DTIC Is

DTIC is the central point within the DoD for acquiring, storing, retrieving, and disseminating scientific and technical information to support the management and conduct of DoD research, development, engineering and studies programs. DTIC's governing regulation is DoD Directive 3200.12, *DoD Scientific and Technical Information Program*, and it is under the operational control of the Defense Logistics Agency (DLA).

The Air Force policies, responsibilities, and support procedures regarding DTIC are specified in AF Regulation 80-44.

9.3.2. DTIC Databases

DTIC maintains four major databases. These databases are:

1. The **Technical Report (TR) Database** is a collection of bibliographic citations to documents in the reports collection. All citations are to documents which have been assigned an AD number. The bibliographic information in the file is essentially the information reported on SF 298 (previously DTIC Form 1473), *Report Documentation Page*, that is included in each report sent to DTIC.

2. The **R&T Work Unit Information System (WUIS) Database** is a collection of information about all the ongoing (and many of the past) DoD work units.

3. The **Independent Research and Development (IR&D) Database** contains descriptions of technical programs which are initiated and performed by DoD contractors and are not wholly funded by DoD. IR&D records are considered proprietary information and are exempt from disclosure under the FOIA. IR&D information is available to DoD engineers and scientists.

4. The **Program Element Summary (PEDS) Database** consists of summary descriptions of proposed programs and project-level RDT&E efforts. This database originally consisted of information taken from the now-defunct DD Form 1634. Currently, the information being collected is coming from the Congressional Program Element Descriptive Summaries. (This database is just being formed and is currently incomplete Also it is

being implemented as part of the WUIS database and is not available to contractors.)

"DTIC is the single most important information service for defense engineers and scientists to be aware of."

9.3.3. DTIC Services

Some of the more important services that DTIC provides are:

1. Archiving and secondary distribution of technical publications.

One of DTIC's major functions is to collect and archive technical publications. Their technical reports collection alone contains around 1.5 million documents, and because all documents distributed by DTIC are either microform blow-backs or microform copies, no document ever goes "out-of-print."

As the official secondary distribution channel for technical publications within the DoD, DTIC provides a rapid and effective means for DoD employees and contractors to obtain copies of reports that have already had a primary distribution by the generating organization.

2. Announcement of new technical publications via the Technical Reports Awareness Circular (TRAC).

The TRAC is a monthly publication of DTIC's that announces the availability of technical reports acquired by DTIC and added to the TR database. It is an unclassified, limited publication, and contains entries for all new citations. It also contains five indexes: Corporate Author - Monitoring Agency, Title, Personal Author, Contract, and Report Number.

3. **Automatic document distribution via the ADD Program.**

Under the Automatic Document Distribution (ADD) Program, users (such as your organization) can establish an interest profile and receive on a regular two-week basis, microfiche copies of newly acquired reports which match those interests .

Any local documents collection that supports your user community should be using the ADD program to build the collection with relevant materials.

4. **Online access to its major databases via the DROLS system. And, "demand bibliographies" for any organization not having DROLS access.**

The Defense RDT&E Online System (DROLS) links remote terminals to DTIC's central computer at Cameron Station. Users of this system can query the major DTIC databases to answer specific questions and to generate custom bibliographies on a specific topic.

Access to DROLS is either via any microcomputer or terminal equipped with a modem, or via dedicated lines to terminals equipped with cryptographic equipment for classified service. (Although a lot of classified material is in the DTIC collection, only a very small fraction of these documents have either a classified abstract or classified title. Therefore, dedicated access is not, in most cases, really needed and can seldom be justified in terms of the added expense and inconvenience. This is especially true since classified bibliographies can be requested online from an unclassified terminal, and the results send directly from DTIC to the requestor in a very short time.)

By using DROLS, the standard bibliographic fields such as author, source, keywords, etc. can be used as search terms to generate lists of citations meeting the search criteria. These searches can be made in any of the available databases including the TR, WUIS, and IR&D databases.

Once a search has been performed and refined to the point of getting useful information, the outputs can be either examined onscreen, downloaded and printed out at the terminal, or printed offline and sent to the requestor the next day. Usually the decision is a function of the size of the output and how much of a hurry the requestor is in.

DTIC provides a lot of support documentation and training for the use of their system, and because the DROLS search language is a relic of the computer dark ages, this training is necessary. (DROLS is definitely not user-friendly!) Also, the response time of the service can be frustrating at times (especially just after lunch EST when both Coasts are awake and kicking.)

5. Custom, automatically generated bibliographies via the Current Awareness Bibliography CAB Program.

The CAB program is a customized, automated bibliography based on a subject profile of a specific user. Every 2 weeks, the user's subject interest profile is matched against information contained in newly accessioned technical reports. A paper document containing the citations which match the user's profile is then sent to the subscriber automatically.

This is a very powerful service. However, the drawback to the CAB and similar services is that user interests change over time. If a mechanism isn't implemented to update these profiles on a regular basis, the user profile will slowly drift out of relevancy and into the trash can.

6. Shared Bibliographic Input Network (SBIN).

This is a service whereby a user organization can use DTIC's computer facilities and TR file to "tag" locally held reports with their DTIC-assigned holding symbol. In addition, bibliographic information about any locally-held reports not held by DTIC would also be input and tagged.

By using the SBIN, users can theoretically skip having any local index file to the technical reports in their documents collection. In exchange, DTIC finds out about reports not in its collection. Initially, any records not in the database are assigned an accession number in the AD-E and AD-F range, and are not available for ordering. In the future these will become regular AD numbers and would be available for ordering.

7. Referral database of defense organizations containing information such as their fields of expertise, etc.

DTIC maintains a referral database of information on S&T government-sponsored activities with the capability and willingness to serve the defense community in their field of expertise. The most fundamental type of search would be to identify RDT&E activities with expertise in a particular technical area.

This database is not online, but will be searched if requested by telephone or by letter. In addition, the database is printed out regularly and issued as an unclassified paper document. The latest edition is AD-A138 400, ***DTIC Referral Data Bank Directory***.

8. A listing of many important DoD databases in the DoD Database of Databases.

An evolving project at DTIC that you should be aware of is the compilation of a directory of DoD R&D databases. This directory and database will serve as a unified reference to all R&D databases within the DoD. This worthwhile project has been ongoing for a couple of years, and should be supported. An early (and incomplete) printed version of the database is available as AD-B085 600.

9. Common access to all Government database collections via SearchMaestro and the Intelligent Gateway project.

Another evolving project at DTIC to be aware of is the Intelligent Gateway project. The idea of a gateway (of which there are a small number) is to provide a single telephone number, password, bill, and search language into a number of databases. These services have evolved to the point that you can use your charge card to access 800+ comercial databases without any initial signup or instruction necessary!

The Intelligent Gateway provides access to the DOE and NASA collections of databases, in addition to the DoD databases. It also provides an electronic mail capability, a means to access the commercial databases (if you have an account already established), and access to some other minor databases.

10. Maintenance of *How to Get It.*

One of the most important reference books available to anyone dealing with defense information is ***How to Get It,*** AD A201 600.This book lists, for all types of defense publications, (1) what the publication is and who generated it, (2) where it is indexed or listed, and (3) how to get copies of titles in the series.

9.3.4. Recertification

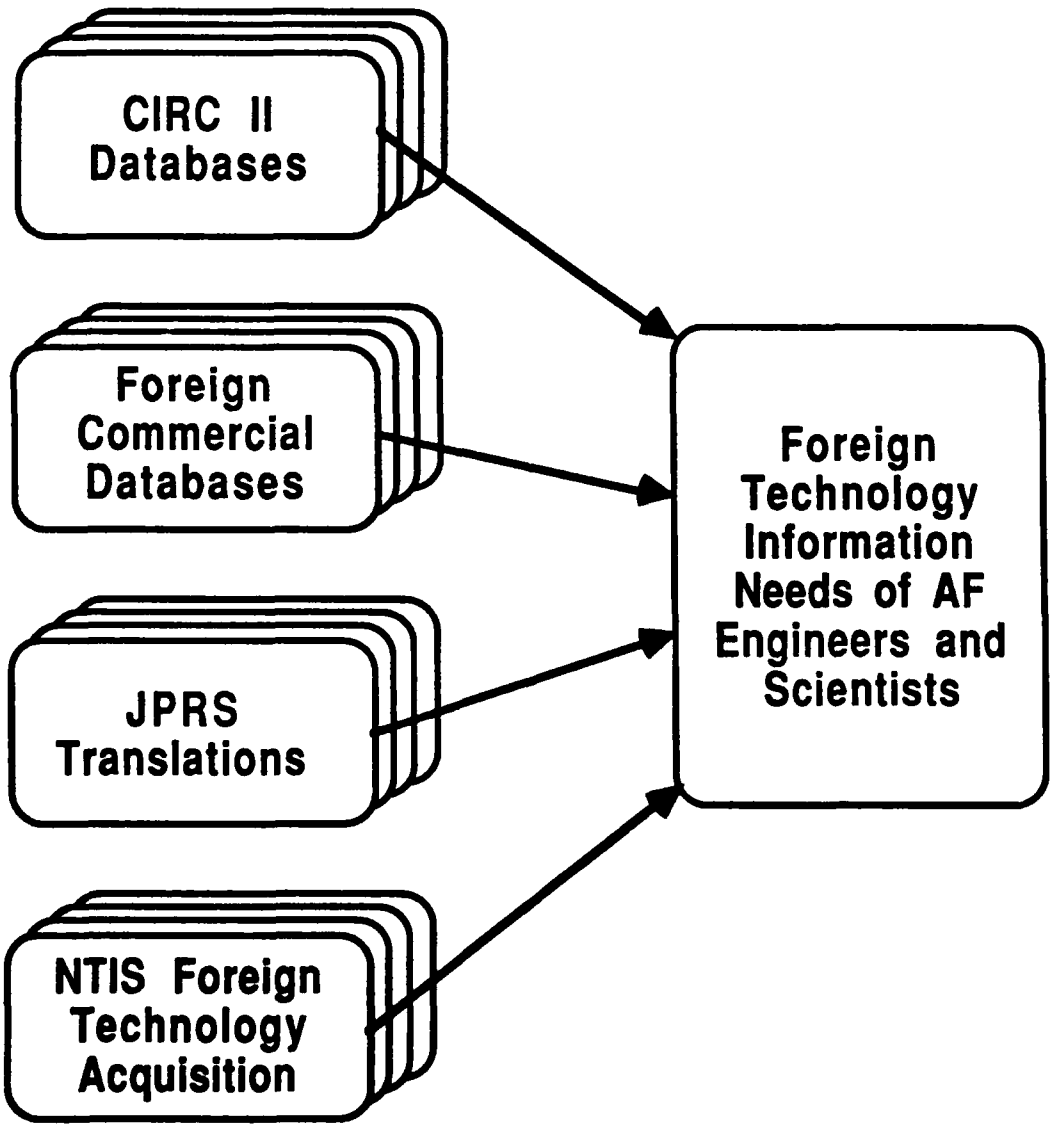
The process whereby U.S. Government activities and contractors obtain access to DTIC services is called "certification." Contractor access remains in effect for the period authorized by the contract monitor. Individuals and contracts gaining access via the Potential Contractor Program remain certified for a period of three years. All other U.S. Government users must recertify annually. Although this annual recertification may seem like bureaucratic excess, the STINFO Program Manager is responsible for being sure that it is carried out and that DTIC services are not interrupted.

9.3.5. Relationship Between the STINFO Program Manager and DTIC

The STINFO Program Manager is responsible for setting up procedures to obtain technical information services from DTIC (AFR 83-1). In addition to this specific function, there are many other situations in which the STINFO Program Manager will have contact with DTIC. One of these situations will be in the processing of certain forms discussed elsewhere in this notebook. In particular, it is the STINFO Program Manager duty to manage the processing of Standard Form 298, "Report Documentation Page", DTIC Form 50, "DTIC Accession Notice", DTIC Form 55, "Request for Limited Document", FL Form 88, "Request for Scientific and Technical Reports", and DD Form 1540, "Registration for Scientific and Technical Information Services".

9.4. Foreign Technology

The sixth STINFO Program Manager duty listed in AFR 83-1 is to "Maintain close liaison with Air Force foreign technology specialists to ensure that foreign research results are available to Air Force scientists, engineers, and managers." Fortunately, because of (1) the Central Information Reference and Control (CIRC II) system, (2) the CIA's Joint Publication Research Service, (3) the NTIS role in foreign S&T, and (4) foreign technology databases, fulfilling this duty will be easier than you might expect.



9.4.1. CIRC II

The CIRC II system is the national system for the processing, storing, retrieval, and dissemination of foreign scientific and technical written word intelligence information. It is run by the Air Force Foreign Technology Division (FTD) as part of the Scientific and Technical Intelligence Information Service Program (STIISP) of the Defense Intelligence Agency. The contact for information about CIRC II is:

CIRC II Monitor
FTD/SIOO
Foreign Technology Division
Wright Patterson AFB, OH 45433-6508
(513) 257-2533, Autovon 787-2533

The CIRC II system has two functions. First, it supports the mission of the five service-related production agencies. In addition to FTC, these include the Army Foreign Science and Technology Center, the Army Missile Intelligence Agency, the Armed Forces Medical Intelligence Center, and the Naval Intelligence Support Center. Second, CIRC II supports all Government-sponsored research and development agencies.

The CIRC II system is quite large, containing (as of November, 1985) citations to approximately 9 million S&T document references in 12 S&T databases and 6 million references in about 14 support databases. The S&T databases contain document citations with a variety of classifications, and the support databases contain cross-references to personalities, facilities, locations, nomenclatures, translations, etc.

9.4.2. Joint Publications Research Service (JPRS)

The Joint Publications Research Service (JPRS), 1000 N.Glebe Road, Arlington, VA 22201, translates and abstracts foreign language technical and political media for Federal agencies. Most JPRS publications are concerned with communist countries, although there are a number of Asian, Latin American, and African titles produced. About one half of the materials abstracted are in the scientific and technical fields.

JPRS reports are available by subscription from NTIS. These reports are basically abstracting journals, and hence are very "digestible" to English-speaking technical personal. Sample technical titles in this series are U.S.S.R./Chemistry, U.S.S.R./Engineering and Equipment, etc. The JPRS reports themselves are indexed in the TRANSDEX, an index produced by Bell & Howell.

9.4.3. Foreign Technology Acquisition at NTIS

Located within the National Technical Information Service is the Office of International Affairs. This office is heavily involved in a number of programs that are concerned with foreign technology acquisition. One aspect of this program are agreements with foreign countries that lead to the exchange of access to U.S. information for access to that country's technical information. This has lead to there being a significant portion (over 20%) of foreign S&T reports in the NTIS collection. Thus, whenever any search is made of the NTIS database, the searcher is automatically also searching a part of the world's store of technology.

Should you want further information about this program, the NTIS pamphlet PR-287, *NTIS International Technology Acquisition Program*, describes it in full.

9.4.4. Foreign Technology Databases

The online commercial database phenomenon is world-wide in scope. A indication of just how world-wide can be seen by a quick glance through the address list in any database directory. Examples of the foreign databases that are available to anyone with the language skills needed to deal with them are the databases available from the Japan Information Center of Science and Technology (JICST). These include the JICST File on Current Science and Technology in Japan, JICST File on Science and Technology, JICST File on Science, Technology, and Medicine in Japan (in English), and many others. Another example is the set of French databases available from the Centre National de la Recherche Scientifique, Centre de Documentation Scientifique et Technique.

Access to these, and many other commercial foreign technical databases, is available to any researcher willing to pay for the service. (This topic will be discussed further in the next section.)

9.5. Commercial Databases

One of the most important information resources available to Air Force scientific and technical personnel is access to the thousands of online commercial databases. These databases, which are available to anyone with a modem and the ability to pay for the service, cover the S&T literature from Vapor Pressure Datafiles to Soviet Science and Technology. While the bulk of these databases are referral in nature (meaning they serve as an index into some class of literature), many others are source databases and contain the numbers or full-text of the covered articles.

The database phenomenon has had a growth curve that almost rivals the ubiquitous personal computer. In 1980, the ***Directory of Online Databases*** (worldwide listings) listed 400 databases, 221 different database producers, and 59 different online services. The 1987 edition listed 3487 databases, 1604 database producers, and 547 online services. Also, these databases are all online at some central computer. The introduction of the compact laser disk as a dense, cheap storage media will, in the near future, lead to many thousands of locally-produced databases.

9.5.1. STINFO Responsibilities Concerning Commercial Databases

The STINFO responsibilities regarding commercial database access are:

1. To be aware what databases are available, especially what S&T and military databases are available that pertain to the activity's interests.
2. To know what the current database access procedures are at the activity.
3. To know how information about commercial database access is currently being promoted within the organization.
4. To set up procedures to ensure that these services are being promoted and used to the full extent possible.

9.5.2. Database Availability

There are a large number of databases and the number is growing at a rapid rate. In order to determine what databases are currently available, the choice is either (1) a database search in a "database of databases", or (2) a search of an appropriate directory.

The two best "database of databases" are the Database of Databases published by the University of Illinois, which is available on the DIALOG Information System, and the Cuadra Directory of Databases which is available on the Pergammon InfoLine Search Service. Either of these can

be subject searched with a good deal of confidence that the important commercial databases will be found.

The best directory (out of the 10 or so that exist) is the ***Directory of Online Databases*** published by Cuadra/Elsevier, 52 Vanderbilt Avenue, New York, NY 10017. It is a quarterly, and subscriptions are currently $110 per year. (Most libraries that I have been in subscribe to this directory.)

9.5.3. Database Access

There is a political issue to be aware of concerning database usage. It is called end-user access. Because many of the original databases were extensions of a library's reference collection, it was natural that database access start out as a library service. However, the true utility of database access is as a "desktop library" and many end-users want (and should have) access to these services.

9.6. IR&D Responsibilities

9.6.1. What IR&D Is

Independent Research and Development (IR&D) is a DoD contractor's technical effort which is not sponsored or required in the performance of a contract and which consists of projects falling within basic or applied research, development, systems and other concept formulation studies. IR&D is directed toward continually improving the contractor's technological competence in order to meet DoD's future requirements for advanced technology, systems, or hardware in a timely and technically competitive manner.

Participation in the IR&D program is not mandatory, but because it brings in additional research funds, it is participated in by all contractors who qualify for the program. Originally, the criteria for participation was to be one of the top one-hundred contractors in terms of prime contract awards. This changed at some time, and now participation is open to contractors with more than a certain dollar amount in DoD contracts.

Basically, the contractors prepare an annual IR&D plan (called a "brochure") describing all the work planned or ongoing under this program. These plans are disclosed to the Government, evaluated, and are given scores. The composite score a company receives plays a part in determining the dollar value of the IR&D monies given to the contractor.

9.6.2. IR&D Information

One of the basic things to be aware of concerning IR&D data is that it is company proprietary and is exempt from disclosure under the FOIA. Also, IR&D information is limited to U.S. Government access only. (Contractors are vigorously excluded from seeing other contractor's information in any form.)

IR&D information takes two forms. First the physical brochures that are submitted by the companies contain the project descriptions that are actually scored. These tend to be bulky and contain a great deal of supporting information about each project. The binders that contain projects scored by that activity are usually kept in a secure area by the IR&D focal point, but are accessible by any Government engineer wanting to review or access the data.

The second form the IR&D information takes is as a short indexed summary submitted to DTIC on DTIC Form 271. This information is gathered and compiled into the IR&D database where it can be searched by DTIC users. The information in this database is a one-page summary of the larger multi-page description found in the brochure.

The IR&D information has important uses beyond its direct use for scoring. First, whenever a new DoD project is proposed, the IR&D database should be searched to determine is there is any duplication of effort or similar projects that the proposed project should be coordinated with. Second, when seeking contractors or evaluating proposals, the IR&D database can be valuable in establishing a track record, accomplishments, and ongoing work in a particular field.

9.6.3. STINFO Responsibilities Regarding IR&D

The company brochures and scoring is handled by an IR&D focal point at each activity performing IR&D evaluations. This aspect of IR&D is not of direct interest to STINFO. The aspect that is of direct interest is the subsequent use of the IR&D information.

A procedure should be set up so that the IR&D database is searched (along with the WUIS and TR databases) whenever a new R&D work unit is initiated at that activity. Also, the STINFO Program Manager should be knowledgeable as to the location and status of the physical brochures (they are usually kept only for the current year and then destroyed) so as to be able to (1) refer the user to this collection, and (2) include access procedures in any user training that you set up.

9.7. Technical Meetings

The STINFO Program Manager duties regarding technical meetings are to:

1. Help plan technical meetings.
2. Become familiar with foreign disclosure procedures when foreign nationals are invited to take part in meetings.
3. Report on planned meetings and ensure that interested personnel are informed of such meetings.

The Air Force policies and guidance on this function are set out in AFR 80-43, "***Sponsoring or Cosponsoring and Conducting Scientific and Technical Meetings***." (One of the four principal regulations concerning the STINFO program.)

9.7.1. What is and is not Considered a Technical Meeting

The definition of a technical meeting seems both intuitive and general. A technical meeting is defined as a formally scheduled session conducted by DoD components, DoD contractors, or by an association, institute, or society whose membership consists of DoD contractors or DoD personnel. However, there are also audience and size considerations that can impact this definition. A meeting of just DoD personnel or a meeting of contractor and DoD personnel involved in a specific project is not usually considered a "technical meeting" even if it is formally scheduled. However, if the audience is at all open (in the sense of discretionary attendance), or if the meeting involves technical papers being prepared and presented, it is almost certainly a "technical meeting."

9.7.2. Sponsoring/Cosponsoring Technical Meetings

Air Force organizations are encouraged to sponsor or cosponsor technical meetings when it is in the interest of the Air Force to have the information issued promptly and widely, and to exploit discoveries and share information, innovations, and inventions. Holding such meetings is usually an infrequent and irregular activity of those involved. Because STINFO is involved, and because you are familiar with the regulations and procedures involved, it is your responsibility to help these organizations comply with the regulations and get their meeting held.

The fundamental meeting sponsorship points to be aware of are:

1. A technical meeting where classified military scientific and technical information is disclosed is subject to a number of controls. Among the more important of these controls are (1) the meeting may only be sponsored by a DoD activity, (2) the sponsoring activity takes on the burden of security and must appoint a security sponsor to ensure that the provisions of the Security regulations are met, and (3) the meeting may only be held at either a DoD site or a cleared contractor site.

2. A technical meeting where unclassified export-controlled technical information is disclosed is also subject to controls. The most important control is that such data must be presented only in sessions where the recipients are eligible to receive such data, unless specific release authority has been received.

3. A technical meeting involving foreign nationals in the audience is subject to the rules of Foreign Disclosure and all presentations must be cleared by the Foreign Disclosure Office.

4. A technical meeting involving the public (as opposed to just Government employees and DoD contractors) is subject to the security review process performed by the Public Affairs Office. This is true for all DoD employee unclassified presentations and all DoD contractor presentations if stipulated in the contract.

9.7.3. Foreign Participation at Technical Meetings

The rules concerning foreign participation at technical meetings are different for classified and unclassified meetings.

If the meeting is classified, guidelines for foreign participation are established in DoD Directive 5230.11, "*Disclosure of Classified Military Information to Foreign Governments and International Organizations*," and DoD Instruction 5230.20, "*Control of Foreign Representatives*." In addition, all foreign participation in classified meetings must be reported as per DoD Directive 5200.12, "*Policy on the Conduct of Meetings Involving Access to Classified Information*."

If the meeting is unclassified, foreign participation is under the control of the meeting sponsor. If there is foreign participation, then the level of DoD participation must take this into account, especially in the matter of export-controlled unclassified information.

9.7.4. Proceedings of Technical Meetings

The papers presented at technical meetings are considered a STINFO product and should be given a report documentation page and forwarded to DTIC for announcement and secondary distribution. It is the STINFO Program Manager's responsibility to see that the presenters are aware of this requirement and execute it. It is a local decision as to whether the set of papers should be submitted as a single document, or the individual papers be submitted as separate documents. In any case, where both classified and unclassified papers are given, they should be separated (whenever possible) into separate unclassified and classified documents.

9.7.5. STINFO Involvement in Technical Meetings

The specific STINFO involvement in the technical meeting process is to:

1. Review all requests for sponsoring meetings.
2. Establish a request procedure and guidance so that individuals will know the steps to follow, policies, required endorsements, forms and letters to submit, and expected lead times.
3. Assist the requestor in following this procedure.
4. Track all papers presented and proceedings to ensure that the author/contracting office prepares a report documentation page and submits the paper through the STINFO office to DTIC.

9.7.6. Regulations Relating to Sponsoring, Cosponsoring, and Conducting Technical Meetings

There are a number of Air Force regulations and DoD directives that relate to sponsoring meetings and presenting papers at these meetings. These are:

1.	AFR 80-43	Sponsoring or Cosponsoring and Conducting Scientific and Technical Meetings.
2.	AFR 30-9	Meetings of Technical, Scientific, Professional, or Similar Organizations.
3.	AFR 80-34	Withholding Unclassified Technical Data From Public Disclosure.
4.	AFR 30-30	Standards of Conduct.
5.	DoD 5220.22-M	Industrial Security Manual for Safeguarding Classified Information.
6.	DoD 5200.12	Policy on the Conduct of Meetings Involving Access to Classified Information.
7.	DoD 5230.11	Disclosure of Classified Military Information to Foreign Governments and International Organizations

9.8. Government-Industry Data Exchange Program (GIDEP)

GIDEP Operations Center
Department of the Navy
Naval Fleet Analysis Center
Corona, CA 91720
(714) 736-4677

Air Force participation in GIDEP is governed by AFR 80-10, "***Government-Industry Data Exchange Program***". This regulation states that GIDEP participation is mandatory for Air Force Systems Command and Air Force Logistics Command activities involved in "acquisition, contracting, manufacturing, research and development, modification, reliability, quality assurance, and logistics," and authorizes the use of a number of reporting forms.

9.8.1. What GIDEP Is

GIDEP is a cooperative activity between a large number of Government and Industry participants seeking to reduce or eliminate expenditures of time and money by making maximum use of existing technical data. The program provides a means to exchange certain types of unclassified technical data essential in the research, design, development, production, and operational phases of the life cycle of systems and equipment.

The five data interchanges (databases) that GIDEP supports are:

1. **Engineering Data Interchange** - Contains engineering evaluation and qualification test reports, nonstandard parts justification data, parts/materials specifications, manufacturing processes, failure analysis data, and other related engineering data on parts, components, materials, and processes. Also included are reports on specific engineering methodology and techniques.

2. **Metrology Data Interchange** - Contains test equipment calibration procedures and related metrology engineering data on test systems, calibration systems, and measurement technology.

3. **Reliability-Maintainability Data Interchange** - Contains failure rate/mode and replacement rate data on parts and components based on field performance information or based on reliability demonstration tests of equipment, subsystems, and systems.

4. **Failure Experience Data Interchange** - Contains objective failure information generated when significant problems are

identified on parts, components, processes, fluids, materials, or safety information.

5. **Value Engineering Data Interchange** - This is a new item which has been added recently. It contains summaries of DoD-approved value engineering projects.

9.8.2. GIDEP Participation

GIDEP participation is not mandatory, nor is it even desirable for every defense activity. However, GIDEP participation should be considered for any activity that uses the types of information contained in the five data interchanges.

9.8.3. GIDEP Services

GIDEP provides a number of services to its user community. These services are:

1. **Access to the five data interchanges.** Access is in the form of microfilm sets of source documents, hard copy indexes, and online access to the database.through

2. **Alerts** - notifications of specific parts/materials/equipment failures by members of GIDEP.

3. **Safe-Alerts** - Similar to Alerts, but pertaining to worker hazards.

4. **Urgent Data Requests** - a system by which a GIDEP participant may query all other GIDEP members on specific problems.

9.8.4. Relationship Between STINFO Program Manager and GIDEP

There is no formal relationship between the GIDEP Program and the STINFO Program. However, because of the nature of the two programs, you will (if your organization is a GIDEP participant) need to either (1) monitor the GIDEP focal point, (2) form a liaison relationship with this person, or (3) find that the GIDEP duties have been assigned to the STINFO Office.

GIDEP participation represents both an information flow both into and out from an organization. The only allowable information flow out of your organization and into GIDEP is unclassified/unlimited data, and this data must be cleared through the Public Affairs Office

10. STINFO Duties - Liaison and Coordination

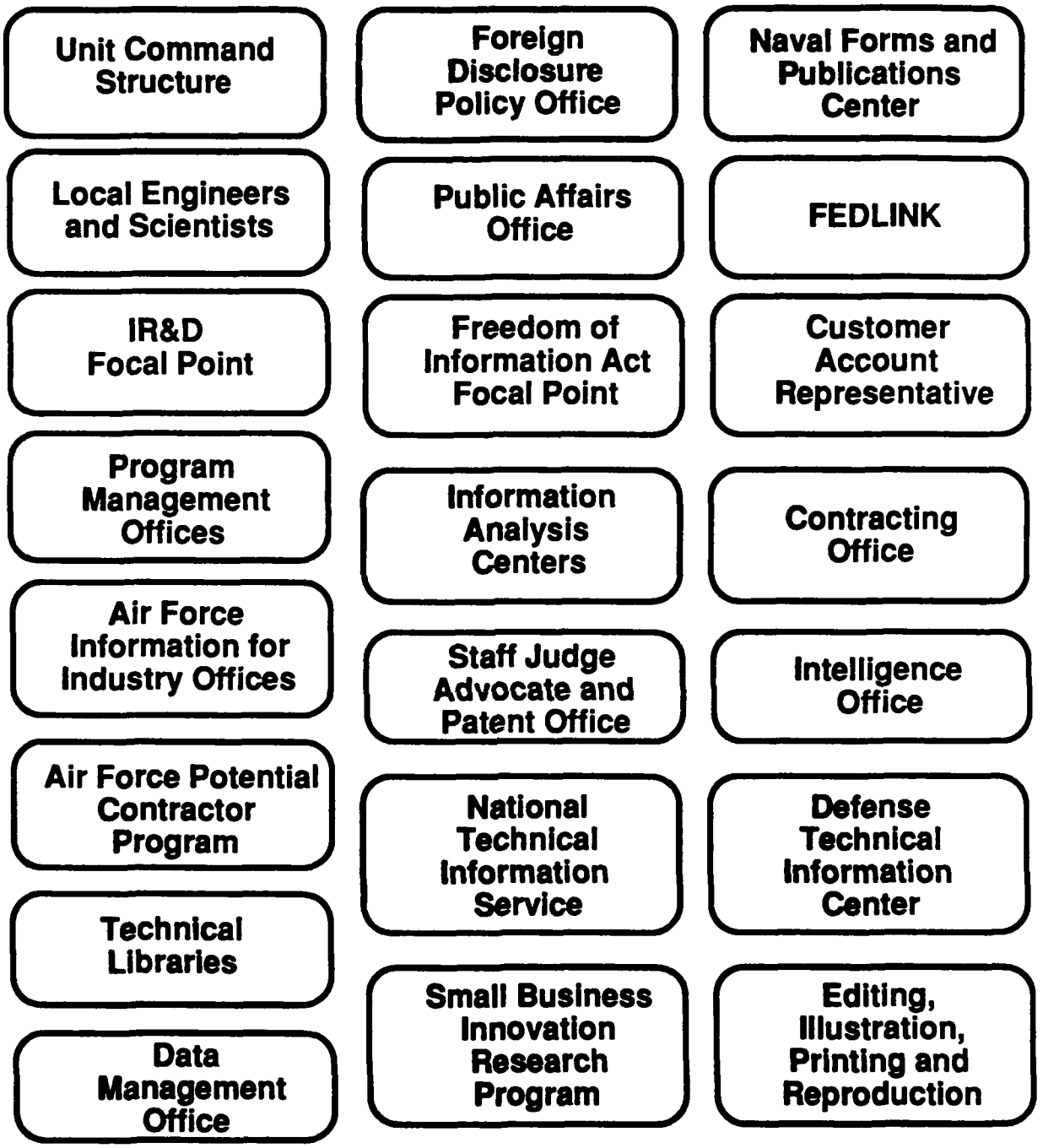
There are many offices and people involved in various aspects of the information picture. This section discusses **some** of the various offices and programs that the STINFO Program Manager works with.

THE POINT OF THIS SECTION IS:

The STINFO PM, because of their role in managing the organization's information, must interface with many organizations for a number of different reasons.

10.1. Key Points

- The STINFO Program Manager interfaces with many other individuals and programs. This contact varies from just having an awareness of that program or maintaining a liaison relationship, through active support or coordination relationships. Some of the groups, individuals, and programs are:
  - Unit Command Structure
  - Local Engineers, Scientists, and Program Management Offices
  - Independent Research & Development Focal Point
  - Air Force Information for Industry Office
  - Air Force Potential Contractor Program
  - Technical Libraries
  - Data Management Office
  - Foreign Disclosure Policy Office
  - Public Affairs Office
  - Freedom of Information Act Focal Point
  - Information Analysis Centers
  - Staff Judge Advocate
  - National Technical Information Service
  - Small Business Innovation Research Program
  - Naval Forms and Publications Center
  - FEDLINK
  - Customer Account Representative
  - Contracting Office
  - Defense Technical Information Center
  - Editing and Illustration Group
  - Printing and Reproduction
  - Intelligence Office
  - Patent Office



SOME OF THE OFFICES AND PROGRAMS THE STINFO OFFICE WORKS WITH

10.2. Unit Command Structure

It is important to a successful local STINFO program that the STINFO Program Manager coordinate the program with the needs of the local unit command structure (activity administration). To support the needs of the local administration, the STINFO Program Manager should be a contributing member of regular staff meetings involving the technical activities of the organization. Some STINFO Program Managers prepare regular status summaries of all STINFO being processed, as well as identifying specific problems and recommending actions on these problems.

10.3. Local Engineers, Scientists, and Program Management Offices

The STINFO office has a responsibility to the local engineers, scientists and program management offices in a number of areas. (Most of these were discussed earlier under the heading "User Support.") Some of the areas are:

1. Training as to STINFO responsibilities, services, and procedures.
2. Information support including access to DTIC databases and related services.
3. Technical meeting sponsorship guidance.
4. Expeditious processing of all generated STINFO materials.

10.4. Technical Libraries

10.4.1. What Technical Libraries Are

Traditionally, the center for all information has been the library. However, with the advance of the information age and online services, this traditional role is being challenged.

Libraries are basically "information stores." Sitting in a centralized location and having a large collection of materials that can be shared among the user community, libraries perform an important role in the information flow of an organization.

The major things that most libraries provide are:

1. **Reference Services**

   Reference Librarians
   Reference Collection
   Database Access

2. **Interlibrary Loan and Access to OCLC**

3. **SDI and Current Awareness Services**

4. **Collections of Materials**

   Basic Collection (Books)
   Periodical Collection
   Reports Collection (Documents Collection)
   Microform Collection (Microfiche/Microfilm)
   Depository Collection (Government Documents)
   Map Collection
   Special Collections

5. **Publications**

   Guides
   Journal Holdings Lists
   Recent Acquisitions Bulletins

Reference Services

The major reference services that a library offers are (1) the reference staff, (2) the reference collection, and (3) access to online services. The purpose of these reference services is to provide an initial place for you to get information and guidance.

The basic thing that reference librarians do is point you in the right direction to find a particular piece of information. The reference collection is the set of materials and books that have been separated from the general

collection because of their utility or because they are guides to information in the collection of books and periodicals. The reference collection is usually broken into two parts. The ready reference part is usually behind the reference librarian's desk and contains the books which are referred to most frequently.

The online service access that libraries provide varies from library to library. Because many of the commercial databases are really just an extension of the reference collection, this was a natural evolution. All modern technical libraries have access to some online services.

One of the fundamental uses of ` .tabases is to generate a custom bibliography for a topic. This use has become so prevalent, that the manual production of a bibliography (involving searching the library's holdings, abstracts and indexes, previous bibliographies, etc.) is now the exception instead of the rule. In addition, many libraries anticipate extensive interest in a particular topic and prepare bibliographies for multiple distribution.

How the end-user access to these services is handled is a sore point to many engineers. Some libraries allow their user community to directly access these services from terminals within the library. Many other libraries treat access as an internal resource, do not advertise their existence, and hence discourage engineers from having any knowledge of these resources.

Interlibrary Loan and Access to OCLC

Not every library has every book and periodical that has ever been published. (In fact, none do.) However, libraries are well-known for their cooperation with one another. If the library does not have a copy of a particular publication, a system called "interlibrary loan" exists so that materials can be shuttled from one library to another. Therefore, if there are a small number of items that a user wants access to, it is easier for your local library to get these materials via interlibrary loan than for to user to go to another library to access them. In most modern libraries, interlibrary loan is accomplished by using an online service called OCLC (Online Computer Library Center).

OCLC is a very large information system used by librarians for a number of library-related functions and is almost never searched by end-users. The initial idea behind OCLC was to eliminate the costly duplicate cataloging of materials by having a centralized database of cataloging information. The major by-product of this service was printed cards.

At the heart of the OCLC system is a huge database, the Online Union Catalog, which contains about 12 million records. Each record is a description of a book, serial, map, or other library holding, and symbols that identify which libraries have copies of that item. If a user needs access to an item that the library doesn't have, the reference librarian can identify nearby libraries that do have the item by searching this database.

Once the other library has been identified, the user can choose to either physically go to that site or, by using the OCLC Interlibrary Loan Subsystem, determine the interlibrary loan policies of the holding library and submit the loan request online. By using this system interlibrary loan is cut to an average of six days.

SDI and Current Awareness Services

Selective Dissemination of Information (SDI) and Current Awareness programs are two ways for engineers to keep up-to-date with the latest publications in their fields of interest. To use these services, the engineer first must register an interest profile with the library. An interest profile is just a list of the topics and keywords that the person is interested in.

If this service is automated (the majority of cases), the profile is entered into a "system" and associated with specific databases. Then, each time those databases are updated, a report is automatically generated and sent to the user. In the report are listings of all new records contained in the update that matched the interest profile. When implemented in this fashion, Current Awareness programs are fairly easy to handle and require a minimum amount of work by the librarian. The hardest part of this procedure is maintaining up-to-date profiles of the user community.

Collections of Materials

Libraries contain many different types of collections of materials, and to obtain access to these collections is the major reason most people use libraries. The types of collections that you find in libraries are usually grouped into:

Basic Collection (Books)

Periodical Collection

Reports Collection (Documents Collection)

Microform Collection (Microfiche and Microfilm)

Depository Collection (Government Documents)

Map Collection

Special Collections

The basic holdings of a library are its main collection of books. These holdings can be very general, as in the case of a university library, or very specific, as in the case of an association library. It's not the size of the holdings that matter: it's the size and currency of the holdings that relate specifically to the activity's current RDT&E problems.

Another major asset that a library has is its periodical collection. Whether you call them magazines, periodicals, journals, or serials, they all mean the same collection. You are probably aware that most libraries separate the current periodicals from those that have been bound together. "Current" can be anything from the latest issue to the last calendar year's worth of titles. Most libraries keep the current periodicals by title and the bound periodicals by classification (but all together and separated from the main collection).

The term "depository collection" is foreign to most people. This is unfortunate, since a depository collection can be a valuable information resource. You are aware that all libraries have some government publications in their collections. What you might not be aware of is that certain libraries, called depository libraries, have extensive government document holdings. The depositories are subsidized in order to make the government documents more widely available. Unfortunately, by taking the government documents collection and setting it outside the main collection, it gets doomed to gather a lot of dust.

Most major technical libraries have separated their microform holdings from their general collection. ("Microform" is a general term meaning either microfilm or microfiche.) Many users tend to shy away from the microform collection because they have a strong preference for paper copy. Because of the economics involved, microforms are the media of the near future (they'll be overtaken by optical laser disks at some point), so we all have to learn to overcome this prejudice.

Publications

Most libraries publish three general purpose publications. These are (1) a Guide to the library and its services, (2) a Periodical Holdings List containing an list of all the journals the library currently receives and has received in the past and cataloged into its periodical collection, and (3) usually a Library Bulletin listing all recent acquisitions to the library. The quality and usefulness of these publications vary greatly from library to library.

10.4.2. Relationship of the STINFO Program Manager to the Technical Library

The fundamental relationship of the STINFO Program Manager to the local technical library is to help the technical librarian identify the STINFO needs of the organization.

Technical libraries act as a service function that the end user voluntarily chooses to either use or not. On the other hand, the STINFO-producing engineer must interact with the STINFO office when new work units are begun, to get their publications out the door, and in order to sponsor conferences. Also, most engineers will not be aware that the STINFO office is working behind the scene to track documents, keep up

with the technical activities of an organization, obtain new information services, and in general be on the active look out for STINFO services that would help the engineer do their job.

Since the STINFO Program Manager's main function is not to create or maintain collections of technical materials, there is little or no overlap in this area. However, because STINFO is the primary interface to DTIC's online services, there is a great deal of common interest in providing online services to the user community. (The only collection of materials that the STINFO Program Manager might be responsible for are those few items held back from DTIC submission.)

10.5. Data Management Office (DMO)

The duties of the Data Management Office (DMO) and the STINFO office are very complementary. The DMO (which is a part of the contracting chain) duty of highest interest to the STINFO function is that the DMO advises and assists project officers on the completion of the Contract Data Requirements List (CDRL), and then monitors the technical data deliverables.

10.5.1. The Contract Data Requirements List (CDRL)

The CDRL (DD Form 1423) is the part of a contract that specifies all technical data deliverables required by that contract. Each deliverable is identified by number, title, and contract reference. Also, the distribution, frequencies, and due dates for each item are also specified.

Each item on the CDRL is referenced to a Data Item Description (DID), and usually has some specific comments that add to the information in the DID.

10.5.2. The Data Item Description (DID)

A Data Item Description (DID) is a set of rules that define for the contractor the content and substance of that data item. In essence, because the contractor is not obligated to follow the military regulations, the DID serves in their place to standardize the contract deliverables. Hopefully, this ensures that when the contract specifies a technical report, the contractor does not deliver a novel.

The DID itself is DD Form 1664, and there are a large number of DIDs (around 3000) in existence. A complete set of DIDs can be found in your local DMO. The complete listing and index for the DIDs is found in DoD 5010.12-L, "Acquisition Management Systems and Data Requirements Control List," also known as the AMSDL.

The DID which is to be used for Scientific and Technical Reports has recently been revised and has been assigned number DI-MISC-80711. A copy of this DID is included in the Appendix to these notes.

The AMSDL contains DID number, title, and KWIC indexes for all DIDs cleared for use in defense contracts by the Office of Management and Budget. It also contains background information on the DIDs issuance process, the availability of DIDs, and a list of the current Data Management focal points in the DoD for DID approval, processing, and distribution.

10.5.3. STINFO/DMO Relationship

Because the CDRL specifies all contractor-generated STINFO items, it is one of the major inputs into any STINFO tracking and monitoring system you may devise.

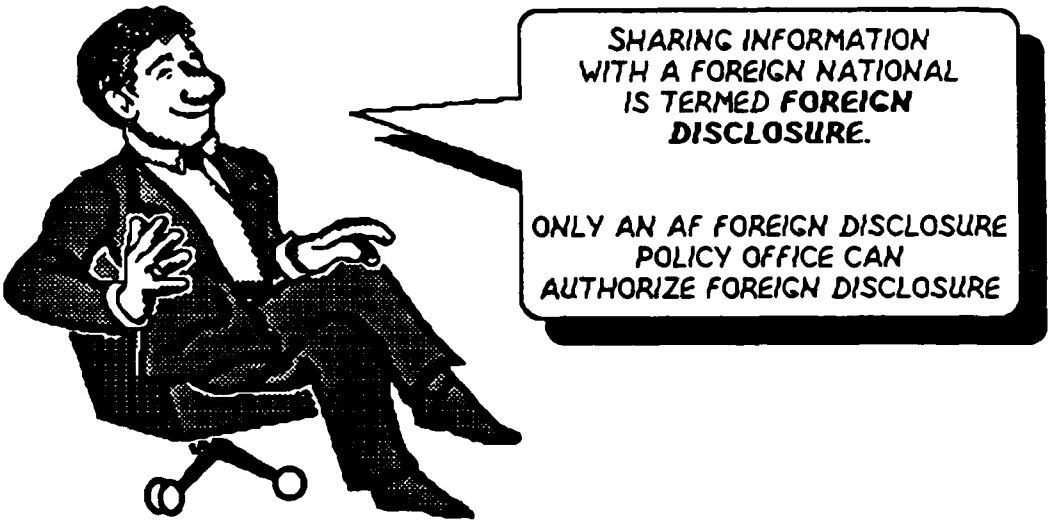
It is the technical office, not the DMO or STINFO, that actually receives the items from the contractor and signs off on the DD 250 Form. The technical office then, eventually, passes the items to STINFO for processing. It is very important that the items be reviewed for completeness, adherence to standards, and that they meet any other requirements of the DID before the technical office officially accepts and signs off on the item.

Should the technical office accept any sub-standard STINFO from a contractor, it is the technical office's responsibility to correct the problem: it is not a STINFO function to bring sub-standard items up to par as part of the processing function.

10.6. Foreign Disclosure Policy Office (FDPO)

10.6.1. What Foreign Disclosure Is

According to National Disclosure Policy, information is a national security asset which must be conserved and protected. Military information is information under the control of the DoD and its departments, and requires protection in the interest of national security.



Sharing information with foreign nationals is termed **foreign disclosure**, and refers to the authorized transfer of military information to a foreign government, foreign national, or international organization such as NATO.

10.6.2. National Foreign Disclosure Policy

Normally, U.S. classified military information is provided only to officials of the U.S. Government and to U.S. defense contractors who have (1) the proper security clearance, and (2) have a need to know the information to do their job.

This same information may be shared with a foreign government or international organization only in certain situations. There are five policy objectives, or criteria, all of which must be satisfied before foreign disclosure will be approved. These are:

1. Disclosure must be consistent with the U.S. foreign policy toward the recipient nation or organization.

2. The disclosure must not seriously jeopardize the military security of the U.S.

3. An assessment of the foreign recipient's ability to give the information substantially the same degree of security protection that we give it must be made.

4. The benefits to the U.S. must be at least equivalent to the value of the information disclosed.

5. The information to be provided must be limited only to that which is necessary to accomplish the purpose of the disclosure.

10.6.3. What the Foreign Disclosure Policy Office Is

The Secretary of the Air Force has the authority to disclose or deny access to U.S. classified military information originated within the Air Force. The Foreign Disclosure Policy Office (HQ USAF/CVAIP) is designated as the principal for disclosure matters within the Air Force, and this office has, in turn, delegated disclosure authority to Foreign Disclosure Policy offices at the major commands and at subordinate levels.

It is the Foreign Disclosure Policy Office that has overall responsibility to implement Air Force foreign disclosure policies and procedures, and arrange for the authorized release of military information to foreign governments and foreign nationals.

FDPOs are guided by Delegation of Disclosure Authority Letters (DDLs), that are issued by HQ USAF/CVAIP. The DDLs establish guidelines and provide authority to release classified U.S. military information to foreign governments or international organizations on a continuing basis.

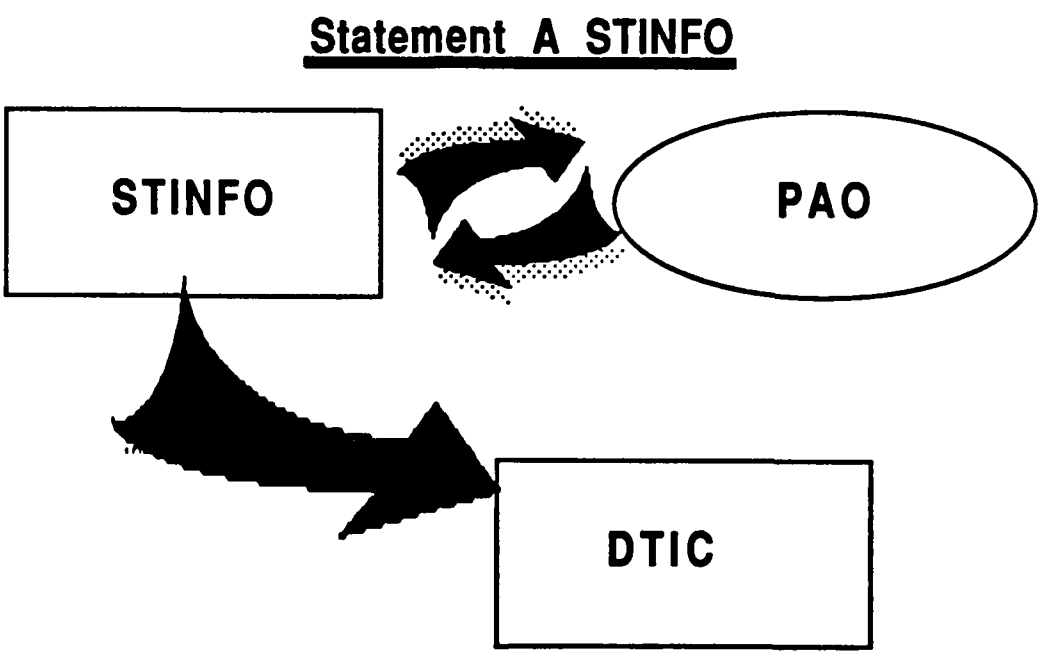
10.6.4. Relationship of STINFO and FDPO

There is no continual direct interaction between the STINFO office and the FDPO. You should, however know who and where your FDPO is, and be alert to foreign disclosure situations involving personnel from your organization. This includes participation in scientific and technical meetings which include foreign participation (including meetings held in the U.S.), visits of foreign nationals to your organization, and any work-related foreign travel.

The STINFO Program Manager should be aware that the FDPO has the authority (and the practical need) to reword the distribution limitation statements in special situations.

10.7. Public Affairs Offices

The Public Affairs program is an on-going effort to inform and increase the public understanding of the missions and programs of the Air Force. **Security Review** is a service performed by Public Affairs personnel to ensure that the information is released quickly, unclassified, technically accurate, and conforms to established Air Force and DoD policies. All limitations and policies concerning technology transfer, such as the withholding of unclassified technical data from public disclosure and the International Traffic in Arms Regulations must be adhered to.



The review of information prior to public release is called Security Review, and must be applied to all technical information, no matter what size, shape, or form it takes. The major exception to this rule is information derived from 6.1 funding (basic research) whether done by a contractor or a university, and information derived from 6.2 funding (exploratory development) and performed on campus at a university.

10.7.1. Clearance Versus Release

The terms "clearance" and "release" are very separate concepts that can be easily confused. Clearance refers to the process of review for releasability, and release refers to the actual dissemination of any information to the public. Release includes any means of communication

possible including speeches, papers given at symposia and conferences with public attendance, news releases, even letters.

10.7.2. The Security Review Process

Security review begins with the material being submitted to the cognizant Public Affairs Office (as per AFR 190-1.) The material is logged in, given a quick check by the reviewer, and (in most cases) is sent on to one or more appropriate staff agencies for comment.

After receiving any comments on the material, the reviewer either clears the material as is, clears the material with recommended changes, forwards the material for higher headquarters review (the PAO tries for clearance at the lowest possible level), or denies the clearance of the material. If denied, the reviewer is required to return the material to the originator with an explanation of why the clearance was not granted.

It is important to note that this process also applies to contractor materials (symposium papers, news releases, articles, advertising, films, scripts, and photos) generated under DoD or Air Force classified contracts. This requirement is placed on them through DD Form 254, Contract Security Classification Specification, and accepted by them at the time the contract is signed.

10.7.3. Relationship of the STINFO Program Manager to the PAO

All statement A STINFO materials must be submitted to the Public Affairs office for security review prior to these materials being distributed. Therefore, this loop must be included in the local STINFO materials handling procedures. Also, in order to make your document processing system run as smoothly and quickly as possible, you should become familiar with Public Affairs processing requirements for these materials (forms necessary, number of copies, etc.). Although the PAO tries for clearance at the lowest possible level, certain classes of information automatically require SAF/PAS and OASD/PA review, and will therefore take longer to process.

10.8. The Freedom of Information Act (FOIA)

10.8.1. Key Points

- The FOIA is the legal channel for public access to government records.
- AFR 12-30, "Air Force Freedom of Information Act Program" is the governing regulation.
- FOIA requests are processed by the FOIA monitor, the office of primary responsibility for the materials, and the Staff Judge Advocate.
- There are many exempt materials from FOIA release, including materials available from National Technical Information Service (NTIS) and the Government Printing Office (GPO).
- In the case of unclassified technical documents with military or space application and export controls which would have been denied FOIA release, qualified U.S. contractors may get access through certification, but this channel is not a FOIA request.
- The STINFO office has no direct responsibility in the FOIA process, but should assist the FOIA monitor as necessary in the processing of FOIA requests. There will be situations in which the STINFO office is the designated Office of Primary Responsibility for specific documents.

10.8.2. What the FOIA Is

Public access to information has long been an issue in the U.S. In 1966 Congress passed legislation, called the Freedom of Information Act to broaden public access to government records. This Act was amended in 1974 to remove obstacles that the bureaucracy erected since 1966, and amended again in 1984 to limit access to certain CIA records.

The 1966 act requires executive agencies to make records, reports, policy statements, and staff manuals available to citizens who request them, unless the materials fall into an exempt category. The exempt categories are:

1. Secret national security or foreign policy information.
2. Internal personnel practices.
3. Information exempted by law such as income tax returns.
4. Trade secrets, other confidential commercial or financial information.

5. Inter-agency or intra-agency memos.

6. Personal information, personnel, or medical files.

7. Law enforcement investigatory information.

8. Information related to reports on financial institutions.

9. Geological and geophysical information.

In 1974 Congress passed a large number of amendments to the FOIA, mainly to remove some of the common obstacles that citizens encountered in trying to get information through the original FOIA. Some of these amendments were:

1. Required federal agencies to publish indexes of final opinions on FOIA-requested materials, and to supply annual FOIA summary reports to Congress.

2. Required release in cases where the request contained only a description of the materials, as opposed to the exact title.

3. Required agencies to establish uniform fees and to publish them. (Most agencies waive fees under a certain dollar amount, usually around $30.)

4. Set up time limits for responding to requests.

5. Amended the wording of the security exemption to make it clear that it applies only to *properly* classified information.

10.8.3. Covered and Exempt Items Under FOIA

The only material covered by the FOIA are documents, not information. If the record does not exist as a document or file, it does not come under FOIA.

There are a number of exemptions from release under the FOIA.

1. If the publication is available from either NTIS or GPO, it is exempt from the FOIA. Note that this covers all Statement A technical documents, and a number of Air Force Manuals, etc.

2. If the publication contains contractor proprietary information. This covers documents containing trade secrets and commercial or financial information submitted by a person outside the Air Force, and submitted with the understanding that it will be kept on a privileged or confidential basis. Included in this category are contractor cost and technical proposals.

3. Information from personnel and medical files.

4. All classified information.

5. Certain unclassified technical data which would be subject to export control, and with military or space application. However, "qualified U.S. contractors" may have access to this data once they have been certified. Requests made following this channel are not FOIA requests.

6. Pre-decisional information which contain advice, evaluations or recommendations, the disclosure of which would reveal the deliberative process of the Air Force.

7. Requests received from foreign governments. (These are forwarded to the Foreign Disclosure Policy Office for processing.)

10.8.4. Who is Responsible for FOIA Requests

The individuals and offices involved in the processing of FOIA requests are:

1. FOIA Managers, who serve as focal points for FOIA requests received by the organization and manage the FOIA program.

2. FOIA Monitors, who actually process the requests.

3. Office of Primary Responsibility, who have and control the information requested.

10.8.5. How FOIA Requests are Processed

The FOIA Manager receives and logs all FOIA requests, and passes the request on to the appropriate FOIA Monitor. If the request involved foreign disclosure, it is passed on to the Foreign Disclosure Policy Office.

The FOIA Monitor determines the Office of Primary Responsibility for the requested materials, and forwards the materials to that office.

The OPR locates the record (if not destroyed) and, working with the Staff Judge Advocate, determines whether or not the record should be released. The FOIA package (paperwork and materials), are completed by the OPR with the assistance of the FOIA Monitor, and forwarded back to the FOIA Manager.

The FOIA Manager sends the materials to the requester, collects fees, and prepares various reports.

10.8.6. Relationship of STINFO to FOIA

The STINFO office has no direct responsibility in the FOIA process, but should assist the FOIA monitor as necessary in the processing of FOIA

requests. There will be situations in which the STINFO office is the designated Office of Primary Responsibility for specific documents requests.

10.8.7. Documentation

The major documents concerning FOIA to be aware of are:

1. AFR 80-34, "Withholding Unclassified Technical Data From Public Disclosure"
2. AFR 12-30, "Air Force Freedom of Information Act Program"
3. DoD Directive 5230.25, "Withholding of Unclassified Technical Data from Public Disclosure"

10.9. Staff Judge Advocate and Patent Office

There is no direct connection between the STINFO program and the Staff Judge Advocate's function. However, because the Staff Judge Advocate's office is responsible for the activity's legal needs in various situations, you will on occasion have interactions with this office.

Some of the STINFO-related situations in which interaction with the Staff Judge Advocate's office will occur will concern Government rights such as copyright, contractual interpretations, and QCAL disqualification. Also, it is the responsibility of this office to give advice and guidance on the release or denial of FOIA requests, and because the STINFO office will be called upon to help in processing FOIA requests, some interaction will occur in this context.

In addition, the Patent Office, which is usually part of the Staff Judge Advocate's office, handles all patent-related issues (such as licensing) at an activity as well as any Cooperative R&D Agreements that are negotiated. Because these two functions relate directly to the technology transfer activity, some interaction will also occur in this context. (Copies of both patent applications and issued patents should be given a SF 298 and submitted to DTIC.)

10.10. National Technical Information Service (NTIS)

National Technical Information Service
5285 Port Royal Road
Springfield, VA 22151
703-487-4600

10.10.1. What NTIS Is

While NTIS is a large and diverse organization, its primary function is to be the central source for the public sale of Government-sponsored research, development , and engineering reports, as well as foreign technical reports and other analyses prepared by national and local government agencies, their contractors, or by Special Technology Groups (another name for Information Analysis Centers). NTIS acts as (1) a repository for these materials, (2) an organizer of these materials, and (3) as a secondary distribution source for these materials.

The NTIS collection exceeds 1.5 million titles, about 300,000 of which contain foreign technology or marketing information. (While very large, the NTIS collection is less than half the size of the Library of Congress reports collection which contains about 3.5 million titles.)

WHEN YOU THINK OF NTIS

THINK OF
"UNCLASSIFIED, UNLIMITED,
SALES TO THE PUBLIC"

All titles are permanently on sale (there is no such thing as an out-of-print NTIS title), either directly from the 80,000 titles in shelf stock or from the microfiche masters of titles less in demand. About 70,000 new titles are added to the collection each year, and each year NTIS ships about 6 million items.

NTIS sells its products and services under the provisions of Title 15 of the U.S. Code, which not only established such a clearinghouse, it directed

it to be self-supporting. Therefore, the costs of doing business are paid for from sales income, not from congressional appropriations.

The main organizing tool for the NTIS collection is its Bibliographic Data File, which is available online from all of the major database vendors and is one of the most used S&T databases. By using this database, technical materials can be located by author, title, subject, and many other search points.

In addition to its role as a repository/distributor of technical reports, NTIS has a number of other programs that the STINFO Program Manager should be aware of. These include (1) an International Technology Acquisition Program whereby NTIS tries to "exchange" access to the NTIS collection for materials from another country; (2) a Center for the Utilization of Federal Technology (CUFT) which provide various services to improve industrial access to federal technology, (3) a Federal Research in Progress database (not generally contributed to by DoD). (4) the Communist media translations made by the Joint Publications Research Service, and (5) a Federal Software Exchange Center to exchange software between Federal agencies.

Because the purpose of CUFT is to link U.S. business with federal technology, its services and products are important. The major products and services of CUFT are (1) annual catalogs of Government patents and licensing arrangements, (2) the monthly *Tech Notes* publication and the corresponding annual index, and the annual *Directory of Federal Laboratory & Technology Resources*.

10.10.2. Relationship of the STINFO Program Manager to NTIS

There is no direct relationship between the AF STINFO program and NTIS. The STINFO Program Manager should be aware of what NTIS is, its services, and the fact that the STINFO Program Manager might be named as the contact point in the CUFT directory. In addition, in situations where the STINFO Program Manager is called upon to advise on access to a Statement A publication (such as in response to a FIOA request), you should be aware that NTIS is the public access point for these materials, not DTIC.

10.10.3. Discussion

All of the information stored by NTIS is unclassified/unlimited (Statement A - Approved for Public Release) and is accessible by anyone, including foreign nationals. All Statement A reports submitted to DTIC will be passed on to NTIS automatically for public sale. This fact should be kept in mind when assigning a distribution statement to a document.

The ***Directory of Federal Laboratory & Technology Resources*** is of high interest to the STINFO Program Manager because (1) it contains a listing for any laboratories within your organization, and (2) it contains a

listing for the Federal IACs. The laboratory listing will contain a summary of the "expertise" for that laboratory, as well as a contact point who can be contacted directly by outside industry. This contact person is (I think) usually the same contact point for the Federal Laboratory Consortium.

The Federal IAC listing is an important resource because it lists all the Federally-funded IACs (including the DoD-sponsored IACs). (Identifying IACs has become more difficult because the National Referral Center of the Library of Congress has been the victim of a budget cut.)

You should keep in mind that there is a tremendous amount of overlap of the materials in NTIS and the collections of DoD, DOE, and NASA. In fact, if access to the publication is currently unlimited, NTIS should have a copy of it in its collection.

10.11. Small Business Innovation Research (SBIR) Program

The DoD SBIR Program is coordinated through:

Deputy Director
Office of Small and Disadvantaged Business Utilization
Room 2A 340, The Pentagon
Washington, DC 20301
(202) 697-9383

10.11.1. What the SBIR Is

In 1982 the Small Business Innovation Development Act was passed by Congress to stimulate U.S. productivity and economy through increased technological innovation. The Act provides for the federal government to use small businesses to meet its needs for technology. Originally the Act was to last for five years, ending in 1988. The Act has been extended for an additional period of five years and is now scheduled to end in 1993.

Beginning in FY 83, federal agencies with R&D budgets in excess of $100M per year began to allocate set percentages of these funds for SBIR programs. The opportunity to compete for these funds is in the form of a single, annual SBIR solicitation from the DoD. This solicitation and the solicitations from other agencies are coordinated by the Office of Innovation, Research and Technology, Small Business Administration, Washington, DC 20435, (202) 653-6458. This office also issues quarterly release schedules for all agency solicitations under this program.

10.11.2. How the SBIR Program Operates

Under the law, the SBIR program operates as a three-phase process.

PHASE I is based on proposals solicited by participating agencies. The DoD issues one Small Business Innovation Research solicitation each year. This solicitation is the vehicle through which the SBIR program thrusts of the DoD are announced. These solicitations contain topics on which small firms are invited to submit proposals. PHASE I winners are awarded average contracts of $50,000 to complete a six month effort.

PHASE II is the principal R&D effort with a duration of less than two years. Most Phase II awards are between $200,000 and $500,000. Awards for Phase II work are based on the results of Phase I efforts and the scientific and technical merit of Phase II proposals.

PHASE III is conducted by the small business to pursue commercial application of the results of Phase II efforts. This Phase allows the business to pursue commercial applications of the work started in Phase I and II, and to seek non-Federal funding.

In FY 84 the DoD evaluated 3,007 proposals submitted under this program, of which 397 were actually funded for an average amount of $54,000. The total amount of Phase I contracts was slightly over $20 million dollars, an amount approximately equal to the total Phase II awards. The DoD contracts represents slightly under half the total U.S. program.

10.11.3. Relationship between the SBIR and DTIC

There is a special relationship between the SBIR program and DTIC because of the need of potential bidders to access DoD technical information. Basically, DTIC prepares a technical solicitation package for each topic in DoD's solicitation, and then provides these packages to small businesses which respond to these solicitations.

These technical support packages contain bibliographies of DoD-funded reports and summaries of R&D projects in progress. Referrals to IACs and other sources of technical information are also included in the package. Also, the small business may request any technical report mentioned in these bibliographies. (Prior to the actual receipt of a contract, these bidders are in a special DTIC category similar to if they were a potential contractor under the Potential Contractor Program.)

10.11.4. Relationship between the SBIR and STINFO

These is no direct connection between the SBIR and the STINFO office. You should be aware, however, that in support of the SBIR, your organization contributes to the SBIR program solicitation. Bidders (or potential bidders) on SBIR solicitations can get access to unclassified, unlimited DTIC materials in a special potential user category, and this category is upgraded as the contracts are awarded.

Also, one of the outputs from an awarded SBIR effort will be STINFO materials, and these would be handled in the same way as other contractor-generated STINFO.

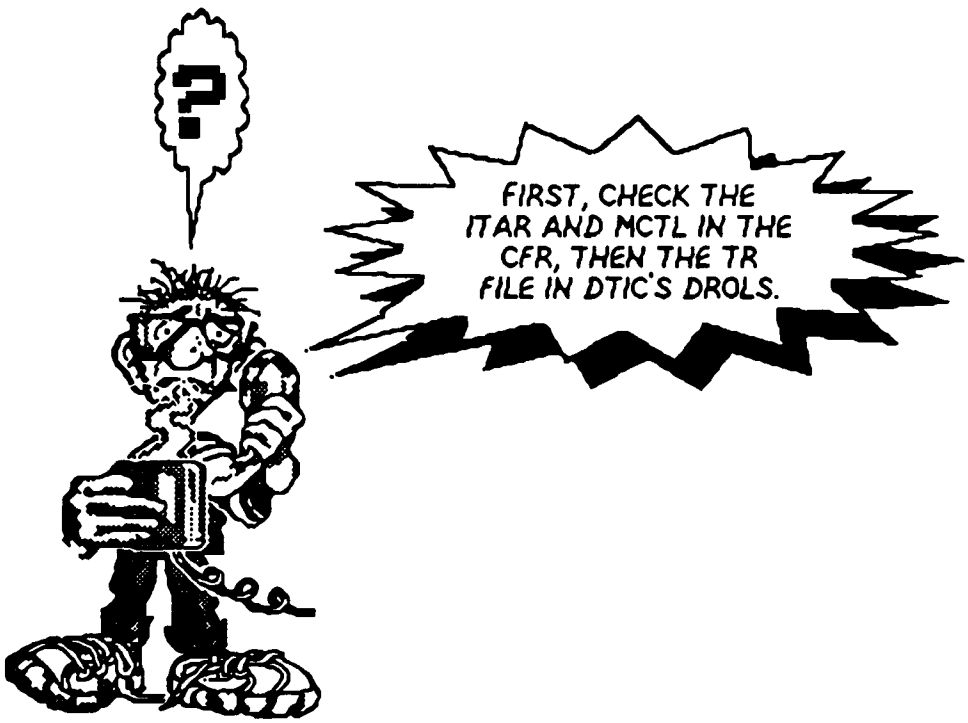
11. STINFO Terminology: Definitions and Abbreviations

THE POINT OF THIS SECTION IS:

Understanding the vocabulary and acronyns used in the STINFO world goes a long way towards understanding the STINFO function.

11.1. Introduction

Part of any job is learning the vocabulary of that position. Fortunately, in the world of STINFO, there is a fairly small specialized vocabulary and set of acronyms to learn. The list given below was drawn from the set of source materials that were used in the writing of this set of notes. In addition, almost every regulation, directive, or presentation that you will come in contact with will use (or add to) this list.



11.2. STINFO Vocabulary

Abstract - A brief factual summary of the most significant information contained in a document.

AD Number - The number assigned to documents by DTIC. This is the number used when ordering documents from DTIC or NTIS. (The letters AD originally meant "ASTIA Document", for the post-WW II committee set up to advise and organize scientific and technical information.)

AECA - see **Arms Export-Control Act**

AFIFIO - see **Air Force Information for Industry Office**

AFMAG - see **Air Force Management Analysis Group**

AFPCP - see **Air Force Potential Contractor Program**

ANSI-STD - American National Standards Institute Standard

Air Force Information for Industry Office (AFIFIO) - Offices providing access to USAF R&D planning materials and other related documents to registered contractors.

Air Force Management Analysis Group (AFMAG) - An Air Force study group formed to examine specific problem areas. One such AFMAG was formed in January, 1986, to examine the problem of the exploitation of unclassified Western databases. A number of recommendations, many of which directly affect the STINFO program, were included in their report.

Air Force Potential Contractor Program (PCP, AFPCP) - A program, administered by the AFIFIOs, that registers and sponsors access to DTIC and other planning information to individuals and companies with the potential to become defense contractors.

Arms Export-Control Act (AECA) - The law set out in 22 U.S.C. 2751-2794. This requires obtaining a license from the Department of State for exporting defense articles and services, including technical data related to weapons. It is implemented by the ITAR.

CCAL - see **Certified Contractor Access List**

CCL - see **Commodity Control List**

CDRL - see **Contract Data Requirements List**

Center for the Utilization of Federal Technology (CUFT) - A part of the NTIS organization involved with domestic technology transfer.

Central Information and Control System (CIRC II) - The national system for the processing, storing, retrieval, and dissemination of foreign scientific and technical written word intelligence information. In addition to supporting the service intelligence agencies, it supports all Government-sponsored R&D agencies.

Certified Contractor Access List - A list of those contractors eligible to receive export-controlled information.

CFR - see ***Code of Federal Regulations***

CIRC II - see **Central Information Reference and Control System**

COCOM - see **Coordinating Committee**

Code of Federal Regulations **(CFR)** - The annual codification of the general and permanent rules published in the *Federal Register*. The *Code* is divided into 50 titles that represent broad areas subject to Federal regulation. The *Code* is kept up to date by the individual issues of the *Federal Register*. Basically, the CFR contains the complete set of regulations of each government agency.

Commodity Control List (CCL) - A detailed listing prepared by the Department of Commerce to control the export of goods and technologies to specific countries.

Contract Data Requirements List (CDRL) - A list of the documentation requirements of a contract. It is attached to the Statement of Work in purchase request packages for proposed contracts. The CDRL is DD Form 1423.

Controlled Information - Information that is restricted in its dissemination: by security regulations; for proprietary, ethical, privileged, or certain administrative reasons; against unauthorized disclosure of certain official information; or for reasons requiring special access controls prescribed by other existing Air Force regulations and DoD directives or instructions.

Controlling DoD Office - DoD activity responsible for distribution of *document* whether work was done in-house, under contract, or under a grant.

Coordinating Committee (COCOM) - An international organization that cooperates in controlling the export of strategic goods and technologies.

Country Group - A grouping of the world's countries into seven groups for convenience in applying the export control laws.

Coupling - The process of actively communicating the results of research and development efforts directly or indirectly to appropriate users.

Critical Technology - Technologies that consist of (a) arrays of design and manufacturing know-how (including technical data); (b) keystone manufacturing, inspection, and test equipment; (c) keystone materials; (d) goods accompanied by sophisticated operation, application, or maintenance know-how that would make a significant contribution to the military potential of any country or combination of countries and that may prove detrimental to the security of the U.S. Also called militarily critical technology.

CUFT - see Center for the Utilization of Federal Technology

Data Item Description (DID) - The collection of DD Form 1664s that are included in a contract to specific the form of the deliverables.

Data Management Officer (DMO) - Person responsible for the contents and format of the CDRL.

Data Management Program - the Air Force program for managing data acquired from industry under the terms of Air Force contracts.

Defense RDT&E Online System (DROLS) - The basic collection of online databases (including the technical reports, IR&D, and work unit summary databases) and search language vended by DTIC.

Defense Technical Information Center (DTIC) - Clearinghouse for the DoD collection of research and development in virtually all fields of science and technology.

DID - see **Data Item Description**

Distribution Statement - A statement used in marking a technical document to denote the conditions of its availability for distribution, release, or disclosure.

DMO - see **Data Management Officer**

Document - Any recorded information regardless of its medium, physical form or characteristics. A document can be written or printed material, magnetic tapes or disks, laser disks, maps, charts, photographs, negatives, films, videotapes, or any other media used for recording information.

DoD - Department of Defense

DRIT - see ***DTIC Retrieval and Indexing Terminology***

DROLS - see **Defense RDT&E Online System**

DTIC - see **Defense Technical Information Center**

DTIC Retrieval and Indexing Terminology (DRIT) - Publication listing DTIC's controlled Posting Term vocabulary. This publication should be consulted whenever subject terms are being assigned to a technical publication in field 18 of DD Form 1473.

EAA - see **Export Administration Act**

EAR - see **Export Administration Regulations**

Export Administration Act (EAA) - Any of the laws which have been codified at 50 U.S.C. Appendix 2401-2420. These laws are the basis for the Export Administration Regulations.

Export Administration Regulations (EAR) - The set of regulations controlling the export of various materials and data to other countries. These regulations are administered by the Department of Commerce and contain the Commodity Control List (CCL).

Export Control Laws - Any law which bars exports from the U.S., or requires obtaining a license to make such exports.

FAS - Functional Address Symbol

FDPO - see **Foreign Disclosure Policy Office**

Federal Register - Issued each Federal working day, the *Federal Register* provides a uniform system for publishing Presidential documents, regulatory documents, proposed rules, and required notices.

FOIA - see **Freedom of Information Act**

Foreign Disclosure - Sharing classified military information with a foreign national or foreign government.

Foreign Disclosure Policy Office (FDPO) - The organization within the Air Force responsible for implementing foreign disclosure policies and arranging for the release of classified materials to foreign nationals and foreign governments.

Freedom of Information Act (FOIA) - The legal authority under which the general public is allowed to review, inspect, and receive copies of Air Force records (with some exceptions.) The FOIA is codified at 5 U.S.C. 522, and regulated by AFR 12-30.

GIDEP - see **Government-Industry Data Exchange Program**

Government Printing Office (GPO) - The printing and document distribution arm of the federal government. The GPO sells to the public many of the materials it prints, including a number of Air Force Manuals and other documents (other than technical reports.)

Government-Industry Data Exchange Program (GIDEP) - A government-wide information program concerning with engineering type data such as testing reports and safety alerts.

GPO - see **Government Printing Office**

IAC - see **Information Analysis Center**

Independent Research & Development (IR&D) - Research and development that is primarily sponsored by the contractor but partially funded by the DoD because it has the potential for DoD use.

Information Analysis Center (IAC)- A specially approved organization which provides information services in selected, highly specialized subject areas. A large number of IACs exist, but only about 20 are sponsored by the DoD.

International Traffic In Arms Regulations (ITAR) - A Federal regulation prohibiting the export of technical data relating to defense items without the approval of the Department of State.

IR&D - see **Independent Research & Development**

ITAR - see **International Traffic In Arms Regulations**

KWIC - Key word in Context - a

Material Inspection and Receiving Report (DD Form 250) - Document used to certify that all contract requirements have been completed.

MCTL - see **Militarily Critical Technology List**

Militarily Critical Technology List (MCTL)- The list issued by DoD under authority of the EAA of 1979. The MCTL lists technologies not possessed by countries to which exports are controlled, and which, if exported, would permit a significant advance in a military system of any such country.

National Technical Information Service (NTIS) - Central source for the public sale of U.S. government-sponsored research, development, and engineering reports, as well as for foreign technical reports and other analyses prepared by national and local government agencies and their contractors.

NTIS - see **National Technical Information Service**

Office of Primary Responsibility - The office responsible for carrying out a specific function.

OPR - see **Office of Primary Responsibility**

PA - see **Public Affairs Office**

PCP - see **Air Force Potential Contractor Program**

PEDS - see **Program Element Descriptive Summary**

Primary Distribution List - List of addressees who receive reports on initial distribution.

Program Element Descriptive Summary (PEDS) - An overview document that is part of the annual budget submission. Each PEDS contains descriptive and budgetary information concerning an individual Program Element. The PEDS will be the basis for a new DTIC database.

Public Affairs Office (PA, PAO) - Office primarily responsible for security and policy review of all information, including scientific and technical information, that is to be released to the public.

RDT&E - see **Research, Development, Test, and Evaluation**

Report Documentation Page (DD Form 1473) - Form containing all the abstracting and indexing information required for documents deposited into DTIC.

Research - All efforts directed toward increased knowledge of natural phenomena and environment, and efforts directed toward the solution of long term defense problems in physical, engineering, life, behavioral, and social sciences.

Research, Development, Test, and Evaluation (RDT&E) Activity - Any activity sponsoring or performing a function or mission in direct support of DoD RDT&E programs.

SBIR - see **Small Business Innovation Research Program**

Scientific and Technical Information (STINFO) - Information which relates to research, development, engineering, test, evaluation, production, use, and maintenance of military equipment, supplies, and munitions.

Scientific and Technical Information Activities - All management, administrative, and operational efforts directed to the planning, support, control, performance, and improvement of the processing, handling, and communication of S&T information.

Scientific and Technical Information Program (STIP) - The DoD coordinated structure for the handling of scientific and technical information. The concepts and responsibilities of this program are detailed in DoD Directive 3200.12.

Secondary Distribution - Any distribution of a scientific or technical document subsequent to the initial distribution, usually occurring as the result of a request, and usually handled by DTIC or NTIS.

Security and Policy Review - Review of information for public release carried out by a Public Affairs Office prior to release.

Small Business Innovation Research Program (SBIR) - A government-wide program that sets aside a small percentage of all R&D monies for small businesses providing technological services. Needs are specified in specific solicitations, and contracts are awarded from these solicitations.

Special Technology Groups - see Information Analysis Centers. This term is used by NTIS in their publications.

Sponsoring DoD Activity - The DoD activity or office directly responsible for initiating or supervising a program established by a contract, grant, or study agreement.

STINFO - see **Scientific and Technical Information**

STIP - see **Scientific and Technical Information Program**

Technical Document or Publication - Any document that contains technical information.

Technical Information - Information, including scientific information relating to RDT&E, engineering, production, operation, use/maintenance of munitions and other military supplies and equipment.

Technology - All scientific or engineering efforts directed toward eliminating technical barriers and providing solutions to technical problems encountered in RDT&E programs.

Technology Transfer - The application of technology to a new use or user.

U.S.C. - see **United States Code**

U^2 (Unclassified, Unlimited) - A common term for documents using distribution statement A.

United States Code (U.S.C.) - The listing of all United States Statutes of a permanent and general nature. Basically, the "laws of the land."

US Munitions List - An enumeration of the arms, ammunition, and other defense materials covered by the ITAR. This list is part of the ITAR and is found in 22 CFR Part 121.

Work Unit - The smallest segment into which research or technology efforts are divided for local administration or control.

Work Unit Information System (WUIS) - A system for the reporting, storage, and retrieval of technical and management data on DoD research and technology efforts at the work unit level; the information in the system is developed at the working level.

Work Unit Summary - The set of data elements that describes for each work unit what, where, for whom, by whom, for how long, for how much, and the progress of the R&T being reported. The information contained on DD Form 1498.

WUIS - see **Work Unit Information System**

12. Summary

1. 

You produce and use STINFO. The STINFO office manages all STINFO materials coming into and leaving an organization. Therefore, it is in your interest to find out what these folks do!

2. 

There is a DoD-wide Scientific and Technical Information Program and the AF STINFO program is part of it.

3.

AF Reg 83-1 governs the STINFO program and assigns responsibilities to (1) a STINFO Program Manager, (2) each Implementing Organization, and (3) the STINFO Program Managers.

4.

STINFO PM duties are wide-ranging and consist of managing the S&T information leaving an organization, potentially withholding information, information support, education, liaison, and management duties.

5.

The STINFO office tracks and processes all STINFO materials coming into an organization and leaving an organization.

6.

The Work Unit Summary (WUIS) program is a very important part of the DoD STIP. The STINFO office is responsible for ensuring that it is searched during the planning phase of new projects.

7.

Under the new AF Reg 83-1, the STINFO PM is responsible for assisting the Office of Technology Application (ORTA) function, one of the major components of the technology transfer program.

8.

The distribution limitation statements placed on information by the generator are very important. The STINFO PM provides guidance and reviews the selected limitation.

9.

The STINFO office provides access to a number of important information services including access to the all-important Defense Technical Information Center.

10.

The STINFO PM, because of their role in managing the organization's information, must interface with many organizations for a number of different reasons.

11.

Understanding the vocabulary and acronyns used in the STINFO world goes a long way towards understanding the STINFO function.

12.

The STINFO office is a service that helps you do your job. Its function is the management of the STINFO you create and use.

Appendices

A. DOD Directive 3200.12

B. AFR 83-1 (USAF Scientific and Technical Information Program)

C. AFR 83-2 (AF Technical Publications Program)

D. Sample DD Form 1540 (Registration for Scientific and Technical Information Services)

E. Sample Standard Form 298 (Report Documentation Page)

F. Sample DTIC Form 55 (Request for Limited Document)

G. Sample DD Form 1423 (Contract Data Requirements List)

H. Sample DI-MISC-80711 (Data Item Description)

I. Sample DD Form 1498 (Work Unit Summary)

February 15, 1983
NUMBER 3200.12

Department of Defense Directive

USDR&E

SUBJECT: DoD Scientific and Technical Information Program

References:
(a) DoD Directive 5100.36, "Defense Scientific and Technical Information Program," October 2, 1981 (hereby canceled)
(b) DoD 5025.1-M, "DoD Directives System Procedures," April 1981, authorized by DoD Directive 5025.1, "Department of Defense Directives System," October 16, 1980
(c) DoD Instruction 5010.12, "Management of Technical Data," December 5, 1968
(d) through (y), see enclosure 1

A. PURPOSE

This Directive:

1. Replaces reference (a).

2. Defines concepts and assigns responsibilities for the operation and management of the DoD Scientific and Technical Information Program (STIP) (enclosure 2).

3. Outlines the mission, responsibilities, and functions of the Defense Technical Information Center (DTIC) (enclosure 3).

4. Authorizes, consistent with reference (b), the publication of DoD 3200.12-R-1, "Research and Technology Work Unit Information System"; DoD 3200.12-R-2, "Centers for Analysis of Scientific and Technical Information"; DoD 3200.12-R-3, "Dissemination of DoD Technical Information"; and DoD 3200.12-M-1, "Research and Technology Work Unit Information System Data Input Manual."

B. APPLICABILITY AND SCOPE

1. This Directive applies to the Office of the Secretary of Defense (OSD), the Organization of the Joint Chiefs of Staff, the Military Departments, and the Defense Agencies (hereafter called "DoD Components").

2. This Directive does not cover DoD programs for the handling of communications and display of information relating to the command and control of operations and operational forces; the DoD scientific and technical intelligence production community, products generated

under the DoD scientific and technical intelligence production program, and technical documents containing classified scientific and technical intelligence; the DoD technical data management program (DoD Instruction 5010.12, reference (c)); and signals intelligence and communications security information as defined in DoD Directives S-3115.7 and C-5200.5 (references (d) and (e)).

C. DEFINITIONS

The terms used in this Directive are defined in enclosure 4.

D. POLICY

1. The Department of Defense shall pursue a coordinated, comprehensive STIP to ensure that scientific and technical information (STI) provides maximum contribution to the advancement of science and technology; permits timely, effective, and efficient conduct and management of DoD research, engineering (RE), and studies programs; and eliminates unnecessary duplication of effort and resources by encouraging and expediting the interchange and use of STI. The STIP shall provide for interchange of STI within and among DoD Components and their contractors, federal agencies and their contractors, and the national and international scientific and technical community, in accordance with references (f) through (l), enclosure 1.

2. The STIP is a basic and integral part of the Office of the Under Secretary of Defense for Research and Engineering (OUSDR&E) function (DoD Directive 5129.1, reference (m)) and is affected by the DoD studies program. As such, it is incumbent upon the managers and performers of R&E to use and support the STI services and functions that comprise this program. STI processes are used to facilitate the communication and enrich the development and use of technical information during the planning and conduct of RE and studies efforts. Conversely, the performance of these program efforts is not considered complete until the STI, including related program management information required under this program, has been documented satisfactorily and provided to the appropriate STI distribution activities.

3. The DTIC is designated to provide a source of STIP services to assist in carrying out STIP policy and administration; to perform technical information support services for the OUSDR&E and OSD Principal Staff Assistants; to operate DoD-wide STI systems; to act as a central coordinating point for DoD STI data bases and systems; and to explore and demonstrate new supporting technology.

E. RESPONSIBILITIES

1. The Under Secretary of Defense for Research and Engineering shall:

a. Manage the STIP (enclosure 2).

b. Develop, publish, and maintain DoD 3200.12-R-1, DoD 3200.12-R-2, DoD 3200.12-R-3, and DoD 3200.12-M-1, consistent with DoD 5025.1-M (reference (b)).

2. OSD Principal Staff Assistants shall have oversight and guidance responsibility for their respective areas.

3. The Director, Defense Logistics Agency (DLA), shall have operational control of the DTIC (enclosure 3).

4. Heads of DoD Components shall perform the functions outlined in enclosure 2.

F. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward one copy of implementing documents to the Under Secretary of Defense for Research and Engineering within 120 days.

Paul Thayer
PAUL THAYER
Deputy Secretary of Defense

Enclosures - 4
1. References
2. DoD Scientific and Technical Information Program
3. Defense Technical Information Center
4. Definitions

REFERENCES, continued

(d) DoD Directive S-3115.7, "Signals Intelligence (SIGINT) (U)," January 25, 1973
(e) DoD Directive C-5200.5, "Communications Security (COMSEC) (U)," October 6, 1981
(f) DoD Directive 5200.20, "Distribution Statements on Technical Documents," September 24, 1970
(g) DoD 5200.1-R, "Information Security Program Regulation," August 1982, authorized by DoD Directive 5200.1, June 7, 1982
(h) DoD Directive 5400.7, "DoD Freedom of Information Act Program," March 24, 1980
(i) DoD 5400.7-R, "DoD Freedom of Information Act Program," December 1980, authorized by DoD Directive 5400.7, March 24, 1980
(j) DoD Directive 5400.11, "Department of Defense Privacy Program," June 9, 1982
(k) DoD Directive 5122.5, "Assistant Secretary of Defense (Public Affairs)," June 15, 1982
(l) DoD Directive 5230.9, "Clearance of DoD Information for Public Release," April 2, 1982
(m) DoD Directive 5129.1, "Under Secretary of Defense for Research and Engineering," November 29, 1978
(n) DoD Directive 5000.11, "Data Elements and Data Codes Standardization Program," December 7, 1964
(o) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976
(p) DoD 5000.12-M, "DoD Manual for Standard Data Elements," December 1981, authorized by DoD Instruction 5000.12, "Data Elements and Data Codes Standardization Procedures," April 27, 1965
(q) DoD Directive 5230.11, "Disclosure of Classified Military Information to Foreign Governments and International Organizations," March 2, 1979
(r) DoD Instruction 5230.17, "Procedures and Standards for Disclosure of Military Information to Foreign Activities," August 17, 1979
(s) DoD Directive 5200.12, "Security Sponsorship and Procedures for Scientific and Technical Meetings Involving Disclosure of Classified Military Information," June 15, 1979
(t) DoD Instruction 7720.13, "Research and Technology Work Unit Information System," April 16, 1968
(u) DoD Instruction 5100.66, "Establishment of Policy for, and Administration of, Independent Research and Development Programs (IR&D)," January 7, 1975
(v) DoD Directive 5010.22, "DoD Contract Studies Management," March 25, 1982
(w) DoD Directive 5100.62, "Clearance of Research and Studies with Foreign Affairs Implications," August 19, 1969
(x) DoD Instruction 5200.21, "Dissemination of DoD Technical Information," September 27, 1979
(y) DoD Instruction 5100.45, "Centers for Analysis of Scientific and Technical Information," July 28, 1964

DoD SCIENTIFIC AND TECHNICAL INFORMATION PROGRAM

A. SCOPE

This enclosure addresses concepts and functional responsibilities for the operation and management of the STIP, including the reproduction and dissemination of and access to technical documents; the conduct of technical meetings and symposia; the management of technical libraries, technical information centers, and data systems of technical information; the applicati n of information and decision-support systems to managing RE and studies programs; and the conduct of programs to explore and apply advanced techniques and technologies to STI processes.

B. CONCEPT

1. The STIP is operated as a coordinated structure of generally decentralized activities with overall policy direction vested within the OUSDR&E in coordination with or participation of the OSD Principal Staff Assistants, or designees.

2. The DTIC shall provide centralized operation of specific STIP functions, such as technical document access and dissemination and data base and reference services; serve as a focus for actions required to provide and enhance DoD-wide STI services; and provide direct information system and data base support to the OUSDR&E and OSD Principal Staff Assistants in coordinating the overall STIP.

3. Maximum use shall be made of existing organizations presently engaged in collecting, processing, and disseminating STI. The activities of each STIP function such as Information Analysis Centers (IACs), the DTIC, or other specialized STI centers designated by the OSD shall be coordinated to produce a coherent program providing maximum data and resource sharing and effective service to all bona fide users of DoD STI services.

4. A principal objective of the STIP is to improve both the scope and effectiveness of collecting, processing, disseminating, and applying STI. The program shall apply the latest available technologies and provide for maximum participation and compatibility among the information programs of disparate DoD Components, other federal agencies, and the private sector. In the collection of STI, standard data elements should be used in accordance with DoD Directive 5000.11 (reference (n)), whenever applicable.

5. Effective coordination and liaison are necessary among the STIP and those information programs involving technical intelligence, information security management, foreign disclosure activities, technical data management, manpower, logistic, and acquisitions systems to ensure maximum compatibility, interchange of information, and avoidance of unnecessary duplication of effort.

6. The overriding priority of the STIP is to ensure timely and effective exchange among DoD RE and studies performers and managers of all STI generated by or relevant to the pursuit of DoD R&E programs. Because of the nature of defense programs, the publication and reporting of such information frequently requires security safeguards or specific limitations on access or distribution. Requests for records under the Freedom of Information Act shall be processed in accordance with DoD Directive 5400.7 (reference (h)). For example, transfer of

classified or proprietary information (with the consent of the source) would not be effective without safeguards to inhibit improper disclosure. Such protection is an acceptable cost for being able to transfer or share the information freely among certified federal and civilian research and development (R&D) communities. In addition, STIP processes shall support and incorporate DoD policy to prevent the unrestricted export of militarily critical technology.

7. Every effort shall be made, within the limits of national security requirements, to prepare technical documents and other types of defense STI in an unclassified form and, in accordance with established clearance procedures, to provide such information for public use through appropriate federal agencies. Such use of unclassified STI or of unclassified versions of defense STI shall expedite information transfer both within the Department of Defense and to the national scientific and technical community.

8. All policies and procedures governing the dissemination to the public of information within this program shall be subject to the approval of the Assistant Secretary of Defense (Public Affairs) (ASD(PA)) under authority of DoD Directives 5122.5 and 5230.9 (references (k) and (l)).

C. FUNCTIONAL RESPONSIBILITIES

1. The Under Secretary of Defense for Research and Engineering, in coordination with or participation of the OSD Principal Staff Assistants, shall be responsible for overall policy direction and coordination, and shall:

a. Exercise overall supervision, coordination, and review of the STIP.

b. Maintain, through the operation of the DTIC, a central activity to perform and enhance DoD STI services. In discharging this responsibility, the USDR&E shall provide policy direction and guidance through the DLA for DTIC programs and ensure that the DTIC's management and services are responsive to the needs of the defense R&E community.

c. Maintain a continuing program analysis of the STIP and identify the character of work and the amount of resources required and programed. In discharging this responsibility, the USDR&E shall prepare annually a Five-Year Program Plan and review the budget program, including that portion administered and reported by the separate DoD Components.

d. Maintain a systematic survey of the problems and needs of STIP users and assess the effectiveness of the STIP and its component functions in meeting these needs. In discharging this responsibility, the USDR&E shall establish objectives, priorities, and policy for the STIP and its principal components.

e. Ensure effective assignment and management of the DoD-sponsored IACs to provide specialized STI for DoD and other users. In discharging this responsibility, the USDR&E shall review and coordinate the functions of IACs and their establishment, consolidation, or disestablishment to ensure effective and nonduplicative coverage of technical areas essential to the mission of the Department of Defense.

f. Provide guidance to the operations and programs of DoD-related technical libraries or information centers to ensure their ability to have access to acquire, share, and provide STI and documents needed in support of the programs.

g. Direct development of DoD-wide STI data bases (such as manpower and training research information systems), as needed, to support R&E programs, and as requested by OSD Principal Staff Assistants, or designees. Data bases shall be developed in accordance with DoD Directive 5000.19 (reference (o)), using existing data elements from DoD 5000.12-M (reference (p)), where applicable New data elements shall be registered with the Office of the Assistant Secretary of Defense (Comptroller) (OASD(C)) in accordance with DoD Directive 5000.11 (reference (n)).

h. Encourage use of and announce technical symposia and meetings related to RE and studies matters and provide for periodic announcement to the DoD Components of such scheduled events.

i. Provide policy and guidance for the operation and management of defense industry information and DoD technology transfer programs.

j. Ensure continued liaison and coordination among the Department of Defense and federal, national, and international organizations concerning the interchange of STI and the establishment of standards as needed for all forms of STI.

k. Ensure the conduct and coordination of efforts within the STIP is directed toward the development of processes, techniques, and equipment leading to improved STI services, systems, and programs.

l. Provide analyses to identify categories of STI that must be withheld from public release consistent with DoD Directive 5400.7 and DoD 5400.7-R (references (h) and (i)), to protect national interests and yet ensure their availability and transfer within the Department of Defense. These analyses shall provide the basis for recommendations to the ASD(PA) concerning public release procedures peculiar to each category. Such analysis also shall identify areas of defense-related technology in which the export of military-critical technical information must be restricted.

m. Provide coordination and liaison with the Defense Intelligence Agency (DIA) and other federal intelligence activities to effect transmittal of relevant information and translations derived from technical intelligence activities to the DTIC and appropriate IACs, in accordance with current dissemination and release procedures.

n. Provide coordination and liaison with the Deputy Under Secretary of Defense for Policy (DUSD(P)) for security classification management of STI (DoD 5200.1-R, reference (g)).

o. Provide coordination and liaison with the DUSD(P) for national disclosure policy matters and for disclosure of STI to friendly foreign nations under cooperative exchange agreements (DoD Directive 5230.11 and DoD Instruction 5230.17, references (q) and (r)).

2. The Heads of DoD Components shall:

a. Designate a senior-level STI director or manager at the Military Department or Defense Agency staff level who shall represent and manage their STI programs and serve as a single, authoritative point of contact for STI matters.

b. Continually review their needs for STI and make proposals to the OUSDR&E for the initiation of new or major revisions to STI efforts or activities.

c. Establish, operate, and administer those STI functions and activities required for the conduct of their missions and such other information activities required to serve the Department of Defense, national R&D needs, or as may be assigned by the OUSDR&E.

d. Provide programing, budgeting, funding, accounting, reporting, and other support for their STI activities, in accordance with established procedures, including DoD Directive 5000.19 (reference (o)).

e. Maintain a current review and inventory of STI functions and activities under their administrative control. In discharging this responsibility, they shall maintain planning on a 5-year program basis for these activities.

f. Encourage the use and sponsorship of technical symposia and meetings and of participation in the symposia and meetings by DoD scientists, engineers, and managers as an effective mechanism for STI transfer and exchange. In discharging this responsibility, they shall report regularly to the OUSDR&E pertinent data about each planned technical symposium or meeting. Security procedures are defined in DoD Directive 5200.12 (reference (s)).

g. Execute technology transfer programs and projects within OUSDR&E guidelines and assign single points of contact to coordinate their technology transfer programs.

h. Ensure that all significant scientific or technological observations, findings, recommendations, and results derived from DoD endeavors, including those generated under contracts or grants that are pertinent to the DoD mission, contribute to the DoD, or national scientific or technological base, are recorded as technical documents. Internal and contractual procedures shall ensure that copies of such documents are made available to the DoD R&E community, including supporting technical libraries, the DTIC, and appropriate IACs, and, within established security and other limitation control, and consistent with DoD Directive 5400.7 (reference (h)), to the civilian scientific and technical community. Such documentation shall be prepared and distributed without undue delay and according to established standards for document format, distribution, security marking, and reproducibility, as specified in appropriate DoD issuances or STIP procedural guidance. Alternatively, if physical control and secondary distribution of a technical document by an STI function, such as the DTIC or an IAC external to the authoring or sponsoring activity, is not appropriate, a bibliographic description is required to report the nature and existence of the document.

i. Operate and support activities for the input of data to centralized DoD data bases of bibliographic and R&E program-related information, and be responsible for the accuracy and currency of data base content and reporting, in accordance with data element standards, authorities, and input procedures established by the DoD Component responsible for operation of the data base, and input procedures established by the ASD(C).

j. Within security and distribution limitations, as prescribed in DoD Directive 5200.20 and DoD 5200.1-R (references (f) and (g)), necessary to ensure adequate intra-DoD STI exchange, pursue a policy to ensure that STI, created within activities under their control, is provided for public use through appropriate federal agencies, according to approved DoD clearance procedures (DoD Directives 5122.5, 5230.9, 5230.11, DoD Instruction 5230.17, and DoD Directive 5400.7, references (k), (l), (q), (r), and (h)). To facilitate this exchange, each DoD Component shall provide technical documents and other information relevant to R&E programs in an unclassified manner to the maximum extent possible within the above policies and guidelines.

DEFENSE TECHNICAL INFORMATION CENTER

A. MISSION

Under the operational control of the Director, DLA, and in accordance with OUSDR&E policy guidance, the DTIC shall:

1. Provide centralized operation of DoD services for the acquisition, storage, retrieval, and dissemination of STI to support DoD research, development, and engineering and studies programs.

2. Serve as a focus for specific actions required by the OUSDR&E to meet technical information needs of the STIP.

3. Develop and provide specialized information system support approved or directed by the OUSDR&E.

4. Work directly with the OUSDR&E to formulate objectives and programs concerning STI transfer among the Military Departments, Defense Agencies, and other U.S. Government agencies.

5. Participate with the OSD and federal agencies in formulating DoD and federal policies relating to STI transfer.

6. Function as a central activity within the Department of Defense 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.

7. Represent the Department of Defense at STI meetings, conferences, or symposia to support mission objectives.

8. Provide liaison with other DoD and government STI organizations (such as the Defense Logistics and Studies Information Exchange (DLSIE) and the National Aeronautics and Space Administration.)

B. FUNCTIONS

The Administrator, DTIC, is responsible for providing or executing the following functions in support of the STIP:

1. Centralized DoD Document Services. These include all services related to maintaining a repository of technical documents resulting from or pertinent to DoD RE and studies efforts, providing for their dissemination, and the following functions:

a. Acquiring technical documents including documents from outside the Department of Defense, domestic or foreign, that are considered pertinent to RE and studies efforts and not readily available to these efforts through other sources.

b. Providing prompt and effective document awareness services and publications reflecting new acquisitions in the document collection.

c. Storing in reproducible form copies of acquired DoD-relevant technical documents.

d. Maintaining a system of document acquisition, storage, announcement, reproduction, and distribution methods in accordance with DoD security policies, standards, criteria, and procedures for classified, limited distribution, and company proprietary information entrusted to the Department of Defense by agreement.

e. Providing timely response to requests from authorized users for technical reports and other document services. Release of documents in response to requests under the Freedom of Information Act shall be governed by DoD Directive 5400.7 (reference (h)).

f. Ensuring the adequacy of and preparing necessary instructions, standards, regulations, and guidelines for preparing, distributing, storing, and gaining access to technical documents describing R&E efforts and the entry of bibliographic descriptions into DoD STI data bases.

2. Centralized DoD Data Base Services

a. These involve the application of information, computer, and telecommunications technology to provide seekers of defense STI convenient access to stored files of STI, relevant to managing and conducting R&E programs. For such data bases, the DTIC shall provide:

(1) Data base input systems and procedures to acquire and enter data into the data base store and provide technical support for remote input to the data base store (either on-line or in machine-readable form). Data base input systems shall use existing standard data elements from DoD 5000.12-M (reference (p)), when applicable.

(2) Data base output systems and procedures to support the processes involved in formulating and executing on-line search and retrieval and control of data base output products.

(3) Response to demand requests received by mail and telephone for data base products and processing of subscription or recurring requests for data base products.

b. The DTIC shall establish and operate a centralized data base of bibliographic citations of technical documents resulting from or relevant to the defense R&E program. This includes support to DTIC document services functions, such as:

(1) Document announcement, current awareness, selective dissemination of information products, or bibliographic searches.

(2) Bibliographic data base support, such as shared cataloging and related services to technical libraries, IAC, and other information processors operated by or in support of defense R&E programs.

c. The DTIC shall maintain and operate centralized data bases of summary technical and management-related information describing the content and scope

of R&E programs, in accordance with DoD Instructions 7720.13 (to be replaced by DoD 3200.12-R-1) and 5100.66, DoD Directives 5000.19, 5010.22, and 5100.62 (references (t), (u), (o), (v), and (w), respectively), DoD 3200.12-M-1, and other data specified or approved by the OUSDR&E, when needed for R&E program management.

d. The DTIC shall provide for maintenance of a central referral data base of DoD and relevant federal STI activities and shall cooperate with other federal agencies in maintaining such referral services.

e. The DTIC shall provide the capability and capacity as approved by the OUSDR&E to accommodate new or expanded STI data bases and extended levels of data base access, system interconnection, and the establishment of networks.

f. The DTIC shall ensure the adequacy of and prepare instructions, regulations, and guidelines describing responsibilities and procedures for input to, maintenance of, access to, and retrieval from DoD STI data bases.

g. The DTIC shall provide OSD functional managers with data and document services needed to support their programs in RE and studies areas.

3. DoD Information Analysis Center (IAC) Support. The DTIC shall:

a. Provide necessary support and services related to improved coordination, planning, and integration of DoD-funded IACs. The DTIC shall effect and support a comprehensive program within the IAC function of the STIP to improve the visibility, effectiveness, and use of the IACs in support of DoD and federal scientific and technical programs.

b. Provide oversight through the contracting officer for designated contractor-operated DoD IACs.

c. Develop and provide systems and services to assist or supplement IAC operations or programs to effect and promote resource sharing, joint approaches to common objectives and problems, and information exchange among the IACs, DTIC, and other components of the STIP.

4. DoD Technical Library Support. The DTIC shall provide a focus for developing and coordinating programs among, and providing centralized technical support to, DoD technical libraries. To help improve their effectiveness and capabilities, the DTIC shall provide assistance in the following areas:

a. Analyze and explore applications of automation to library operations and other services.

b. Cooperative efforts among libraries including the establishment of networks and resource sharing.

c. Integration of technical libraries, IACs, the DTIC, and other components of the STIP in a coordinated STI network.

5. Investigation, Experimentation, and Application of Advanced Information Science and Technology. The DTIC shall identify, develop, and carry out programs to perform and monitor experimentation and study for increasing its internal effectiveness and productivity and for ensuring that the overall STIP is served

by innovative and effective information systems that take advantage of new advances in information science and technology. It shall perform studies and experimentation to improve the processes involved in acquiring, using, storing, retrieving, disseminating, and generating STI. In doing so, it shall seek effective ways to employ modern information storage, retrieval, and transmission technology and devices by acquiring and testing the application of existing and promising computer, telecommunications, storage, and transmission devices and concepts.

6. Related STI Support Services. The DTIC shall:

a. Develop and apply techniques to assess STI needs, usage, and trends to propose new STI services or programs. The DTIC shall develop and propose programs to coordinate the STI needs, problems, and activities of all STIP participants.

b. Develop and operate promotional and training programs to increase the awareness and use of STI services among R&D managers, scientists, and engineers throughout the current and potential DTIC user community to increase their efficiency and that of the information practitioners in the use of STI tools and resources and to increase the number and activity of DTIC users.

c. Provide a central DoD authority and establish a central directory for the data elements and processes used to record, gain access to, and exchange STI or documents and prepare instructions containing specific criteria and guidance for the content and format of data elements required by these STI data bases, and register data elements with the ASD(C) through the Defense Materiel and Standards Specification Office. The DTIC shall exercise this authority in cooperation and coordination with the DoD Components and shall ensure compatibility with the STI practices of other federal agencies.

d. Explore and acquire techniques and arrangements to facilitate access to STI data bases, on-line services, or networks relevant to the conduct or management of R&E programs. These may include data, data bases, or systems from other federal, commercial, or foreign sources that may not otherwise be readily accessible to DTIC users, provided the DTIC does not unnecessarily or unfairly compete with or detract from services available from the private sector.

e. Represent the Department of Defense in efforts of federal and professional STI activities involving the compatibility or standardization of STI data and processes pertinent to improved information transfer.

f. As directed by the OUSDR&E, provide such centralized services as acquisition, evaluation, or implementation of common STI resources, systems, or devices and act as focal point in such endeavors as arranging or instituting new STI programs, procedures, or exchange agreements.

g. Operate and maintain procedures whereby U.S. Government departments and agencies and their contractors, subcontractors, grantees, and DoD potential contractors may become certified and registered for access to controlled STI available from DoD information dissemination activities (DoD Instruction 5200.21, reference (x) (to be replaced by DoD 3200.12-R-3)).

DEPARTMENT OF THE AIR FORCE
Headquarters US Air Force
Washington DC 20330-5000

AF REGULATION 83-1

1 December 1988

Scientific and Technical Information

USAF SCIENTIFIC AND TECHNICAL INFORMATION PROGRAM

This regulation describes the Air Force Scientific and Technical Information (STINFO) program, explains it's organization and operations, and how to manage STINFO resources to effectively reach STINFO goals. It implements DOD Directive 3200.12, 15 February 1983 (attachment 2). It particularly guides STINFO program managers in helping their commanders with the everyday problems of producing, protecting, and controlling dissemination of technical data, and supporting the information needs of individuals within the organization. The regulation includes policies, procedures, administrative practices, and management guidance concerning the Air Force STINFO program functions. This regulation does not apply to those activities identified in AFR 800-44, Contracted Advisory and Assistance Services (CAAS), and AFR 11-28, Management of Air Force Studies. Also, it does not apply to the US Air Force Reserve and Air National Guard units and members.

1. Introduction. A strong science and technology base is a national necessity in a competitive world, and adequate communication is a prerequisite. An individual resorts to an information system if it will save time to do so rather than undertake a repetitious experiment or investigation. The three components to an effective information service are the sources, the users, and the professional information specialists who bind the whole system together. Cooperation by all concerned with research, engineering, and production efforts is vital to a successful program.

a. The Weinberg Report, published in 1963, is the basis of the established Air Force STINFO Program. This report dictates that transfer of information is an inseparable part of research and development. All those concerned with research and engineering efforts -- individual scientists and engineers, industrial and academic research establishments, technical societies, and Government agencies--must accept responsibility for the transfer of information in the same degree and spirit that they accept responsibility for research and engineering itself.

b. The Air Force recognizes the necessity of information exchange and will interchange technology and information with the public and private sectors, including academia. This interchange is essential to the readiness of the Air Force, recognizing that technologies developed for civilian applications have potential for application in the military and vice versa. The sharing of scientific technical data has improved the efficiency of management activities at all levels, from policy and staff elements to scientists and engineers in field activities and industries, and has helped to eliminate undesired duplication.

2. Concept of the USAF STINFO Program. The USAF STINFO program provides for the interchange of scientific and technical information within and among Air Force organizations, DOD components, federal agencies, government contractors, and the national and international scientific and technical community.

a. The Air Force STINFO program is established to provide information support to:

(1) Improve mission effectiveness.

(2) Improve the scope and effectiveness of collecting, producing disseminating, and applying scientific and technical information. The overriding priority of the STINFO program is to ensure that all scientific and technical data concerning Air Force research, engineering, and

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Supersedes AFR 80-40, 6 October 1982. (See signature page for summary of changes).
No. of Printed Pages: 5
OPR: SAF/AQT (Mr Walter Blados)
Approved by: SAF/AQX (Brig Gen Thomas W. Honeywill)
Distribution: F

production efforts are reviewed for controlled dissemination, and is rapidly and effectively exchanged within the research development and engineering communities throughout the DoD and industry.

(3) Support the information needs of managers, scientists, engineers, and technicians.

(4) Increase productivity and effectiveness of research and engineering programs.

(5) Improve our military capabilities through research and application of new technologies.

(6) Maximize use of R&D resources.

(7) Facilitate domestic technology transfer.

b. The Defense Technical Information Center (DTIC) assists in carrying out the Air Force and DOD STINFO program policy and performs technical information support services for the Air Force.

3. Participation in the USAF STINFO Program. Each organization listed below must establish a STINFO program and assign a STINFO Program Manager.

a. Air Force Systems Command.
b. Air Force Space Command.
c. Air Force Logistics Command.
d. Electronic Security Command.
e. Air Training Command.
f. Air University Command.
g. Air Force Academy.
h. Military Airlift Command.
i. Strategic Air Command.
j. Tactical Air Command.
k. Air Force Communication Command.
l. Air Force Operational Test and Evaluation Center.
m. Air Force Technical Applications Center.

Besides a primary STINFO office that reports to the headquarters organization, the commander should establish other STINFO offices at subordinate activities, as necessary.

4. STINFO Program Responsibilities:

a. **Program Management and Responsibilities.** SAF/AQT is the office of primary responsibility (OPR) for the Air Force STINFO program and is the single focal point required by DOD Directive 3200.12. SAF/AQT responsibilities are to:

(1) Issue and maintain Air Force STINFO regulations.

(2) Coordinate the Air Force STINFO program with the Contractor Data Management program, the Foreign Disclosure Office, the Freedom of Information Office, the Public Affairs program, the Technical Intelligence program, Air Force Library program, Studies Management and Contracted Advisory and Assistance Services Office, and pertinent portions of command and control programs.

(3) Make planning and technical requirements information available through Air Force Information for Industry Offices, so that industry can plan and apply its resources effectively.

(4) Make technical information on selected technologies available through Information Analysis Centers (IACs) to support the DOD mission.

(5) Review STINFO needs continually, and, as proper, make revisions to existing programs.

(6) Establish an active technology transfer program consistent with the Air Force mission.

(7) Set up procedures for the release of production and engineering information to potential contractors.

(8) Provide guidance on the management of the STINFO portion of the Work Unit Information System.

b. Implementing Organizations and Activities Responsibilities. In establishing the STINFO program, each commander must:

(1) Assign a STINFO Program Manager as a primary duty assignment. Organizations requiring only a part-time STINFO office may combine this function with related activities; however, the STINFO function must be the incumbent's primary responsibility.

(2) Notify SAF/AQT through command reporting channels, the name of the STINFO program manager and any changes as they occur.

(3) Be sure all production, engineering, logistics, scientific, and technical data is properly reviewed and marked to provide dissemination controls.

(4) Be sure that all significant scientific or technological observations, findings, recommendations, and results derived from Air Force endeavors, including those generated under contract or grants that are pertinent to the Air Force mission, contribute to the DOD, or national scientific or technological base, are recorded as technical documents and distributed as appropriate. Such documentation shall be prepared and distributed without undue delay and according to established standards for docu-

ment format, distribution, security marking, and reproducibility, as specified in appropriate Air Force and DOD issuances or procedural guidance. Alternatively, if physical control and secondary distribution of a technical document by an established secondary distribution activity (such as the DTIC or an IAC) is not appropriate, the authoring or sponsoring activity should submit a biblio- graphic description to DTIC to report the nature and existence of the document.

(5) Operate and support activities for the input of data to centralized DOD data bases of bibliographic and R&D program-related information, and ensure the accuracy and currency of data base content and reporting, in accordance with established data element standards, authorities, and input procedures.

(6) Provide applicable technical information documents on primary distribution to major technical libraries, DTIC, and IACs.

(7) Sponsor or support technical meetings to disseminate STINFO when the need exists to release the information more rapidly than publishing procedures permit.

(8) Establish an Office of Research and Technology Applications (ORTA) to handle a domestic technology transfer program for the organization or activity, so that Air Force developed technology is available to state and local governments and private industry.

(9) Encourage scientists and engineers to take part in technical meetings, to exchange technical information by the interchange of personal visits, and to contribute technical journal articles.

(10) Establish and maintain technical libraries, as required, in support of an organization s mission.

(11) Review the STINFO program policy and provide operational support including programming, funding, accounting, and reporting for those services maintained by the STINFO office.

c. STINFO Program Manager Duties.

(1) Set up procedures to provide or obtain scientific and technical information services to meet the needs of the organization.

(2) Provide support to the organizational commander for a domestic technology transfer program. The STINFO Program Manager shall be responsible for the Office of Research and Technology Application (ORTA) function.

(3) Be sure that activities of the STINFO program are closely coordinated with efforts in the Data Management program. Be sure that STINFO needs are accurately specified on DD Forms 1423, Contract Data Requirements List, and that contractor-generated data products are entered in the STINFO system.

(4) Establish procedures to ensure all technical data produced within the organization is reviewed and properly marked to control secondary distribution.

(5) Establish a technical publications program to ensure timely publication of technical documents. Ensure the qualitative review of technical publications. The review will cover technical pertinence of the content, adherence to report writing standards, inclusion of meaningful title, abstract and key words, and the initial distribution list (including distribution limitations).

(6) Maintain close liaison with Air Force foreign technology specialists to ensure that foreign research results are available to Air Force scientists, engineers, and managers.

(7) Ensure the timely input of data into prescribed databases, for example, the Work Unit Information System, and Technical Report databases at the Defense Technical Information Center, to keep them current and complete.

(8) Monitor the operation of Information Analysis Centers supported by his or her organization (if applicable).

(9) Plan methods to improve STINFO systems and procedures. Schedule and participate in meetings to discuss problems pertinent to the STINFO Program.

(10) Conduct a continuous indoctrination program to inform scientists, engineers, and managers of their responsibilities to the STINFO program and to inform them of available STINFO products and services.

(11) Help plan technical meetings; become familiar with foreign disclosure procedures when foreign nationals are invited to take part in meetings. Report on planned meetings and insure interested personnel are informed of such meetings.

(12) Submit plans for improvements in STINFO services, to include internal changes, the knowledge of which may benefit other Air Force organizations.

(13) Provide for interest profiles for the selective dissemination of information. DTIC s program of selective dissemination of information to organizations will require a program to further disseminate the information to the individual user. To accomplish this, the STINFO

Offices should develop and maintain profiles of interest to its technical personnel. While the methods for maintaining such profiles and selecting incoming documents will vary with the size and mission of the organization (in some cases a computer program may be required), it is the daily person-to-person contact between the STINFO Office and the technical personnel, with its continuing feedback, that is fundamental to the validity of such a program. Another factor that is vital to the program is the scientist-to-scientist, scientist-to- engineer, or scientist-to-manager contact.

(14) Be aware of RDT&E efforts which may have an impact on STINFO.

(15) Assure that all RDT&E contracts/grants policies include appropriate instructions regarding the generation and reporting requirements of STINFO.

(16) Provide technical library services consistent with user requirements.

(17) Insure currency and effective coverage of primary distribution lists.

(18) Provide for the collection, storage and secondary distribution of those technical documents which have not been provided to the DTIC because of distribution limitations. Be sure bibliographic descriptions of these documents are reported and contained in the DTIC data bases.

(19) Collect data on the effectiveness of the program. Meaningful data are needed to measure the performance of organization regarding the acceptance and discharge of thier STINFO responsibilities.

BY THE ORDER OF THE SECRETARY OF THE AIR FORCE

OFFICIAL

LARRY D. WELCH, General, USAF
Chief of Staff

WILLIAM O. NATIONS, Colonel, USAF
Director of Information Management
and Administration

2 Attachments
1. Terms Explained
2. DOD Directive 3200.12,
15 Feburary 1987

SUMMARY OF CHANGES

This revision changes the office of prime responsibility for the STINFO program from HQ AFSC/DL to SAF/AQT (title page); defines the role of and duties of the STINFO Program Manager more extensively (para 4c); and revises definitions (atch 1).

TERMS EXPLAINED

Abstract. A brief, factual summary of the most significant information contained in a document.

Controlled Information. Any information subject to official restrictions on its dissemination, including information subject to protection:

(a) By security regulations.

(b) For proprietary, ethical, privileged, or certain administrative reasons.

(c) By the militarily critical technologies against unauthorized disclosure.

(d) Of certain official information.

(e) For reasons requiring special access controls prescribed by other Air Force regulations and Department of Defense (DOD) directives or instructions.

Controlling Department of Defense (DOD) Office. The DOD activity under whose immediate program a document is generated, whether the work was done in-house or by contract.

Data Management Program. The Air Force program for managing and controlling data acquired from industry under the terms of Air Force contracts (AFR 310-1). The management of technical publications emanating from the Data Management program is a joint responsibility of the Data Management Program Manager and the STINFO Program Manager.

Defense Technical Information Center. The Defense Technical Information Center (DTIC), under the operational control of the Defense Logistics Agency (DLA), provides for acquisition, storage, announcement, retrieval, and secondary distribution of technical documents. Its four computerized data bases contain information on current research, development, test and evaluation (RDT&E) program elements, projects, and tasks for ongoing as well as completed efforts.

Distribution Statement. A statement used on a technical document that denotes condi tions of availability for distribution, release, or disclosure (AFR 80-45).

Potential Contractor. An individual or organization outside the Department of Defense (DOD) declared eligible for documentation services, based on registration and active participation in a program designed to exchange information on defense support capabilities, namely the Air Force Potential Contractor Program, or certain Army and Navy programs.

Primary Distribution. The initial distribution of scientific or technical documents to a list of recipients determined by the controlling Department of Defense (DOD) office.

Scientific and Technical Information (STINFO). Information relating to research, development, engineering, testing, evaluation, production, operation, use, and maintenance for military products, services, and equipment for military systems. This includes all production, engineering, and logistics information.

Scientific or Technical Library. An authorized library in support of an activity s mission. It acquires, organizes, houses, retrieves, and disseminates information and information materials; performs reference and research services in direct support of the activity s mission; and may provide all or any of the following services: analysis, current awareness, literature searching, translations and referral.

Secondary Distribution. Any distribution or disclosure of a scientific or technical document following primary distribution, usually based on a request.

Technical Document. Any recorded information or data, regardless of its physical form or characteristics, which contains scientific and technical information or technical data including production, engineering, and logistics information.

Technical Information Center. An organization tasked to receive, process, and distribute scientific and technical information as a service to internal and external users; may include, but not necessarily limited to, report preparation, primary production and distribution of documents, technical editing, graphic arts, still and motion photography, and technical library and information analysis functions.

Technical Publication. Any technical document written for the permanent record to document results obtained from, or recommendations made on, scientific and technical activities.

DEPARTMENT OF THE AIR FORCE
Headquarters US Air Force
Washington DC 20330-5000

AF REGULATION 83-2

15 June 1989

Scientific and Technical Information

AIR FORCE TECHNICAL PUBLICATIONS PROGRAM

This regulation provides policy and assigns responsibilities for the Air Force Technical Publications Program. It also gives rules for writing, processing, distributing, and publishing technical publications generated in-house or by contract, subcontract, or grant. It applies to all Air Force organizations generating scientific and technical information. It does not apply to intelligence documents that the Foreign Technology Division produces, which are governed by Defense Intelligence Agency Manual (DIAM) 75-1. This regulation does not apply to the Air National Guard or US Air Force Reserve.

1. Purpose of the Technical Publications Program. The processes of the scientific and technical information (STINFO) program are used to communicate STINFO to plan and conduct Department of Defense (DOD) research, development, test, and evaluation (RDT&E) and other technical engineering and studies efforts. The performance of these program efforts is not considered complete until the STINFO has been documented satisfactorily and provided to appropriate distribution activities.

2. Policy of the Technical Publications Program. All significant scientific or technological observations, findings, recommendations, and results derived from DOD efforts must be recorded as technical publications and contributed to the national scientific or technological information data base:

a. Establish internal and contractual procedures to be sure that copies of such publications are made available to the research and engineering (R&E) community (including supporting technical libraries; the Defense Technical Information Center (DTIC), Cameron Station, Alexandria VA 22304-6145; and appropriate information analysis centers (IAC)) within established security and distribution limitation controls.

b. Prepare and distribute such documentation without undue delay and according to established standards for document format, distribution, security classification of the information, and reproducibility.

c. Make every effort to prepare technical publications for the widest dissemination possible. To provide such information for public use, clear the publication for public release through the public affairs office.

3. Types of Technical Publications. Results of scientific or technical efforts may be published in a variety of ways. The decision on how to publish is normally left to the discretion of the author, in conjunction with the assigned STINFO program manager. Do not base such decisions, however, on an arbitrary performance for a given method, but rather on the nature of the information and its need by the Air Force and other DOD organizations and their contractors. Technical publications include, but are not limited to, the following categories:

a. Technical Report (TR). A document in which the organization takes a formal position. Prepare TRs when an effort is completed, or to report on a major phase of an effort. Consider journal articles as TRs and encourage publication in professional journals.

b. Conference Proceedings (CP). A compilation of presentations, lectures, or papers delivered at a meeting, symposium, conference, convention, etc.

No. of Printed Pages: 5
OPR: SAF/AQT (Mr. Walter Blados)
Approved by: Brig Gen John W. Douglass
Writer-Editor: Helen Miller
Distribution: F

c. Special Report (SR). A document directed toward a specific user.

d. Technical Memorandum (TM), Technical Note (TN), or Technical Paper (TP). Publications that record interim or partial results of an effort to document Air Force needs, operational requirements, and science and technology objectives.

4. Responsibilities for the Technical Publications Program:

a. SAF/AQT manages the Air Force technical publication program as an integral part of the Air Force STINFO program.

b. The responsible Air Force organization appoints a STINFO program manager to manage the technical publications program.

c. The STINFO program manager:

(1) Makes sure reports are written, received, published, and initially distributed by:

(a) Establishing procedures to ensure the results of technical efforts are documented in technical publications as prescribed by this and other applicable regulations, regardless of whether the results are conclusive and the work is done in-house, by grant, or by contract.

(b) Specifying the technical data contractors must deliver according to AFR 310-1. Normally, there will be at least one technical publication for each RDT&E effort.

(c) Ensuring that the DD Form 250, Material Inspection and Receiving Report, is not signed until the camera-ready copy is accepted.

(d) Ensuring procedures are established to edit and process the technical publications.

(e) Establishing a suspense system that will track and record the progress of anticipated technical publications from before the due date of the original draft through printing.

(2) Informs DTIC of any changes that occur in technical publications.

5. Classifying and Restricting Distribution of Technical Publications:

a. Ordinarily, except for information that meets the definition of restricted data, do not classify basic scientific research or its results. However, classification is appropriate if the information concerns an unusually significant scientific breakthrough and there is sound reason to believe that it is not known or within the state-of-the-art of other nations, and, thereby, provides the United States with an advantage directly related to national security. When security classification is warranted based upon the information contained or revealed by the technical publication, follow the security classification provisions of DOD 5200.1-R/AFR 205-1.

b. Assign an unlimited distribution authorization to the publication unless dissemination is restricted because of security classification or other information sensitivities. In the latter instance, place a word-for-word distribution statement from AFR 80-45 on the outside front cover.

c. Include information that would restrict the distribution of a report only when the information is necessary to understand the report.

d. Do not reference classified documents in unclassified reports with an unlimited distribution statement.

6. Copyrighted Material. Include brief excerpts from copyrighted materials according to AFR 110-8.

7. Assigning Numbers to Technical Publications. Assign a number to all technical publications according to American National Standards Institute Standard (ANSI-STD) Z39.18, *Scientific and Technical Reports: Organization, Preparation and Production*. This number is divided into four parts (e.g., AMD-TR-87-01):

a. The organization s short title as listed in AFR 4-16.

b. A two letter publications series identifier.

c. The last two digits of the calendar year in which the number is assigned.

d. A sequential Arabic number that shows the number of reports that have been published in the calendar year. Begin with 1 for the first technical publication of the calendar year within each series.

8. Title Pages. For all publications use SF 298, Report Documentation Page, as the title page. Complete this form according to ANSI-STD Z39.18.

9. Special Notices on Technical Publications. Responsible Air Force organizations, contractors, and grantees will structure reports according to ANSI-STD Z39.18 and AFR 6-1 and use the following rules:

a. For all publications:

(1) Put a review and approval statement, such as the one in figure 1, on the inside front cover.

This report has been reviewed and is approved for publication.

Name and Grade Project Engineer or Scientist	Name and Grade Supervisor

FOR THE COMMANDER

Figure 1. Review and Approval Statement.

(2) Include on the inside or outside front cover, as appropriate, one or more of the following statements:

(a) Publication of this report does not constitute approval or disapproval of the ideas or findings. It is published in the interest of STINFO exchange.

(b) When government drawings, specifications, or other data are used for any purpose other than in connection with a definite government-related procurement, the US Government incurs no responsibility or any obligation. The fact that the government may have formulated or in any way supplied the said drawing, specifications, or other data is not to be regarded by implication, or otherwise in any manner construed, as licensing the holder, or any other person or corporation; or as conveying any rights or permission to manufacture, use, or sell any patented invention that may, in any way, be related thereto.

(c) If you change your address, wish to be removed from the mailing list, or your organization no longer employs the addressee, please notify (insert the appropriate organization and address).

(d) Do not return copies of this report unless contractual obligations or notice on a specific document requires that it be returned.

b. For reports that contain export control data, put on the outside front cover immediately below the distribution statement the following notice:

"WARNING - THIS DOCUMENT CONTAINS TECHNICAL DATA WHOSE EXPORT IS RESTRICTED BY THE ARMS EXPORT CONTROL ACT (TITLE 22, U.S.C., SEC 2751, ET SEQ.) OR THE EXPORT ADMINISTRATION ACT OF 1979, AS AMENDED (TITLE 50, U.S.C., APP. 2401, ET SEQ.). VIOLATIONS OF THESE EXPORT LAWS ARE SUBJECT TO SEVERE CRIMINAL PENALTIES. DISSEMINATE IN ACCORDANCE WITH THE PROVISIONS OF AFR 80-34."

c. For classified publications, mark each paragraph with a security classification (DOD 5200.1-R/AFR 205-1) and include a distribution list in the report. Place the "Classified By," downgrading, and declassification statements on the front cover.

10. Handling Contractor-Imposed Legends That Restrict the Report's Distribution:

a. Show limited rights legends to the contracting officer or designee. That person must decide if the contract authorizes the use of such legends. Even if the legends appear to be totally unauthorized, you should respect them until the contracting officer decides what to do.

b. If, in the future, the publication will be distributed outside the government and if the legends have not been justified according to the DOD Supplement of the Federal Acquisition Regulation (DFARS), ask the contracting officer to require the contractor to justify the legends.

c. *If the publication will not be distributed* outside the government or if the government lacks the resources to investigate the contractor's claim that the legends are justified, the government may honor the legends without an investigation. If such is the case, ask the contracting officer to advise the contractor as follows: "The presence of legends that limit the government's rights to use the (name of the technical publication) is noted. The government will observe these restrictions for the present time, even though an investigation has not been made as to the propriety of the legends. This action is without prejudice to the government's rights to later question the legend."

11. Rules for Distributing Technical Publications to DTIC:

a. Send technical publications to the DTIC, except for the following:

(1) Reports that are classified as TOP SECRET, that are cryptographic or registered, or contain certain designated categories of intelligence or information furnished by a foreign government that forbid the report's dissemination.

(2) Management reports that contain nontechnical information about a project and the

administrative details necessary for managing the project.

(3) Documents that may be technical but are used by the originating activity only, such as working reports.

b. Send two copies of each publication to DTIC along with DTIC Form 50, DTIC Accession Notice, or send one legible copy and request its return after reproduction. DTIC Forms 50 are stocked at DTIC, Cameron Station, Alexandria VA 22304-6145.

c. To announce articles published in scientific or technical journals, submit only the SF 298 to DTIC.

12. Distributing Technical Publications. Distribute technical publications as widely as possible, consistent with security and distribution requirements and the following rules:

a. Make primary distribution to:

(1) Air Force, DOD, other federal organizations, and contractors who need the information to continue with an Air Force project.

(2) AUL/LSE, Maxwell AFB AL 36112-5564, according to AFR 5-14.

(3) SAF/AQ, Wash DC 20330-1000. Send one copy of each publication that documents results of research funded by PE 61101F.

(4) The Director, National Security Agency (P2213), Ft George G. Meade MD 22705-5000, , if the report contains:

(a) Communications Intelligence (COMINT) RDT&E.

(b) Electronic Intelligence (ELINT), SECRET or below.

(c) Communications Security (COMSEC).

(5) Foreign addressees in non-Communist countries if the report has been officially reviewed and approved for open publication.

b. Do not distribute classified STINFO reports to recipients who simply indicate they have an "interest" in the general subject matter without first evaluating their clearance and access authorizations, need-to-know, and ability to properly store classified material. Additionally, the users of standing distribution lists for dissemination of classified documentation must review such lists annually (DOD 5200.1-R/AFR 205-1).

c. Limit the distribution of reports containing export-controlled data only to qualified contractors certified and registered with the Defense Logistics Services Center (DLSC) (AFR 80-34).

d. Review and verify unclassified distribution lists periodically.

e. Refer requests for copies to DTIC or the National Technical Information Service (NTIS), 5285 Port Royal Road, Springfield VA 22161-2103, as appropriate, after primary distribution has been made.

13. Preparing Technical Publications Involving Other Organizations. When technical efforts are performed by more than one organization, the tasking document will specify who is to prepare and publish the technical publication. You may use the collaborating organization's publication identifier, in addition to your own.

14. Reproducing Technical Publications. Reproduce reports according to AFR 6-1.

15. Controlling Distribution Statements. The organization that caused the work to be done will control the distribution statement and will be considered the controlling DOD office of primary responsibility (OPR). Include the responsible Air Force organization's short title and OPR's or STINFO office's functional address symbol (FAS) for distribution statements B, C, D, F, or X. When practical, use the STINFO's FAS rather than the controlling office's FAS.

16. List of Abbreviations:

a. ANSI-STD -- American National Standards Institute Standard

b. DOD -- Department of Defense

c. DTIC -- Defense Technical Information Center

d. FAS--functional address symbol

e. OPR -- office of primary responsibility.

f. RDT&E -- research, development, test, and evaluation

g. STINFO -- scientific and technical information

h. TR -- technical report

17. Forms Prescribed. SF 298, Report Documentation Page, and DTIC Form 50, DTIC Accession Notice, are prescribed by this regulation.

BY ORDER OF THE SECRETARY OF THE AIR FORCE

OFFICIAL

LARRY D. WELCH, General, USAF
Chief of Staff

WILLIAM O. NATIONS, Colonel, USAF
Director of Information Management
and Administration

*U. S. GOVERNMENT PRINTING OFFICE:1989-240-979:82305

REGISTRATION FOR SCIENTIFIC AND TECHNICAL INFORMATION SERVICES

(No carbon paper required)

APPROVING OFFICIAL FORWARD COMPLETED FORM TO: Defense Technical Information Center, Attn: DTIC-FDRB, Cameron Station, Alexandria, VA 22304-6145

Form Approved OMB No. 0704-0284 Expires May 31, 1989

PART I - REQUESTER APPLICATION *(Please TYPE or PRINT all information except signature)*

ORGANIZATION NAME

ADDRESS (Street, City, State and Zip Code)

ATTN LINE OF RECIPIENT (Present DTIC users - retain same recipient on all applications)

2. TELEPHONE NUMBER
a. COMMERCIAL ( )
b. AUTOVON

3. CAGE (FSC) CODE

4. MILITARILY CRITICAL TECHNICAL DATA AGREEMENT CERTIFICATION NO.

5. NEW DTIC USER (X if applicable or enter DTIC User Code)

6. PRIME CONTRACT / GRANT / PROGRAM
a. NUMBER (One only)
b. EXPIRATION DATE

7. REQUESTING OFFICIAL
a. NAME
b. TITLE
c. SIGNATURE
d. DATE SIGNED

9. SECURITY CLASSIFICATION REQUIRED (X as applicable)
a. UNCLASSIFIED
b. CONFIDENTIAL
c. SECRET

10. SPECIAL SECURITY CLASSIFICATION REQUIRED (X as applicable)
a. NATO
b. RESTRICTED DATA
c. CNWDI

12. DEMAND PRODUCTS / SERVICES (X as applicable)
a. UNCLASS / LIMITED
b. CLASS / LIMITED
c. UNCLASS / UNLIMITED

FOR DTIC USE ONLY

DOD USER CODE

CHARGE CATEGORY CODE

CONTRACT SPONSOR

USER CLASSIFICATION

FACILITY SECURITY CLEARANCE

CONTRACT SECURITY CLEARANCE (X as applicable)

TYPE	NO	NATO	CNWDI

PART II - PRIME CONTRACTOR APPROVAL *(If Part I is a Subcontractor)*

13. ORGANIZATION NAME

15. ADDRESS (Street, City, State and Zip Code)

16. TELEPHONE NUMBER
a. COMMERCIAL ( )
b. AUTOVON

16.a SUBCONTRACT NUMBER

b. EXPIRATION DATE

17. REQUESTING OFFICIAL
a. NAME
b. SIGNATURE
c. DATE SIGNED

PART III - SUBJECT FIELDS OF INTEREST *(Required for Unclassified and Classified Services)*

Circle required codes below. First number is the subject field; the second is the more specific group. See Subject Field Names, reverse side.

01-01	05-04	08-05	11-12	15-01	17-05.01	19-03	21-03.02
01-02	05-05	08-07	12-01	15-01.01	17-05.02	19-03.01	21-99
01-03	05-06	08-08	12-02	15-01.02	17-06	19-99	21-99.01
01-03.01	05-07	08-09	12-03	15-01.03	17-07	19-10	21-99.02
01-03.02	05-08	08-10	12-04	15-04	17-07.01	19-11	22-01
01-03.03	05-09	08-11	12-05	15-05	17-07.02	19-12	22-02
01-03.04	05-01	08-12	12-06	15-06	17-07.03	19-13	22-03
01-03.05	05-02	09-01	12-07	15-06.01	17-07.04	20-01	22-04
01-03.06	05-03	09-02	12-08	15-06.02	17-08	20-02	22-05
01-03.07	05-04	09-03	12-09	15-06.03	17-09	20-03	23-01
01-03.08	05-05	09-04	13-01	15-06.04	17-10	20-04	23-02
01-03.09	05-06	09-05	13-02	15-06.05	17-11	20-05	23-03
01-03.10	05-07	09-06	13-03	15-06.06	18-01	20-06	23-04
01-03.11	05-08	09-07	13-04	15-06.07	18-02	20-06.01	23-05
01-03.12	05-09	10-01	13-05	16-01	18-03	20-07	23-06
01-04	05-10	10-02	13-06	16-02	18-04	20-08	24-01
01-05	05-11	10-03	13-06.01	16-02.01	18-05	20-09	24-02
01-06	05-12	10-04	13-07	16-03	18-05.01	20-10	24-03
02-01	05-13	11-01	13-08	16-04	18-05.02	20-11	24-04
02-02	05-14	11-02	13-09	16-04.01	18-06	20-12	24-05
02-03	05-15	11-02.01	13-10	16-04.02	18-07	20-13	24-06
02-04	07-01	11-03	13-10.01	16-04.03	18-08	20-14	24-07
02-05	07-02	11-04	13-11	16-05	18-09	20-15	25-01
02-06	07-03	11-05	13-12	17-01	18-10	21-01	25-02
02-01	07-04	11-06	13-13	17-02	19-01	21-02	25-03
03-02	07-05	11-06.01	14-01	17-03	19-01.01	21-03	25-04
03-03	07-06	11-06.02	14-02	17-04	19-02	21-04	25-05
04-01	08-01	11-07	14-03	17-04.01	19-03	21-05	ALL
04-02	08-02	11-08	14-04	17-04.02	19-04	21-06	
05-01	08-03	11-09	14-05	17-04.03	19-05	21-07	
05-02	08-04	11-10	15-01	17-04.04	19-06	21-08	
05-03	08-05	11-11	15-02	17-05	19-07	21-08.01	

PART IV - CERTIFICATION AND APPROVAL

18. ORGANIZATION NAME

19. ADDRESS (Street, City, State and Zip Code)

20. TELEPHONE NUMBER
a. COMMERCIAL ( )
b. AUTOVON

USAF OFFICIAL

TITLE

c. DATE SIGNED

DTIC-FDRB MUST BE NOTIFIED OF ANY CHANGES IN THE ABOVE INFORMATION.

(DTIC Use Only)

USAF STINFO Overview - 183

DD Form 1540, OCT 86 *Previous editions are obsolete.*

COPY DESIGNATION: White - DTIC; Green - DTIC; Yellow - Approving Official; Pink - Prime Contractor or OUSDR&E; Gold - Originator

SUBJECT FIELD AND GROUP STRUCTURE

0 TION TECHNOLOGY
- Aerodynamics
- Military Aircraft Operations
- Aircraft
- Helicopters
- Bombers
- Attack and Fighter Aircraft
- Patrol and Reconnaissance Aircraft
- Transport Aircraft
- Training Aircraft
- V/STOL
- Gliders and Parachutes
- Civilian Aircraft
- Pilotless Aircraft
- Lighter-than-Air Aircraft
- Research and Experimental Aircraft
- Flight Control and Instrumentation
- Terminal Flight Facilities
- Commercial and General Aviation

0 CULTURE
- Agricultural Chemistry
- 02 Agricultural Economics
- 03 Agricultural Engineering
- 04 Agronomy, Horticulture and Aquaculture
- 05 Animal Husbandry and Veterinary Medicine
- 06 Forestry

01 ASTRONOMY AND ASTROPHYSICS
- 01 Astronomy
- 02 Astrophysics
- 03 Celestial Mechanics

04 ATMOSPHERIC SCIENCES
- 01 Atmospheric Physics
- 02 Meteorology

05 BEHAVIORAL AND SOCIAL SCIENCES
- 01 Administration and Management
- 02 Information Science
- 03 Economics and Cost Analysis
- 04 Government and Political Science
- 05 Sociology and Law
- 06 Humanities and History
- 07 Linguistics
- 08 Psychology
- 09 Personnel Management and Labor Relations

06 BIOLOGICAL AND MEDICAL SCIENCES
- 01 Biochemistry
- 02 Genetic Engineering and Molecular Biology
- 03 Biology
- 04 Anatomy and Physiology
- 05 Medicine and Medical Research
- 06 Ecology
- 07 Radiobiology
- 08 Food, Food Service and Nutrition
- 09 Hygiene and Sanitation
- 10 Stress Physiology
- 11 Toxicology
- 12 Medical Facilities, Equipment and Supplies
- 13 Microbiology
- 14 Weapons Effects (Biological)
- 15 Pharmacology

07 CHEMISTRY
- 01 Industrial Chemistry and Chemical Processing
- 02 Inorganic Chemistry
- 03 Organic Chemistry
- 04 Physical Chemistry
- 05 Radiation and Nuclear Chemistry
- 06 Polymer Chemistry

08 EARTH SCIENCES AND OCEANOGRAPHY
- 01 Biological Oceanography
- 02 Cartography and Aerial Photography
- 03 Physical and Dynamic Oceanography
- 04 Geomagnetism
- 05 Geodesy
- 06 Geography
- 07 Geology, Geochemistry and Mineralogy
- 08 Hydrology, Limnology and Potamology
- 09 Mining Engineering
- 10 Soil Mechanics
- 11 Seismology
- 12 Snow, Ice and Permafrost

09 ELECTROTECHNOLOGY AND FLUIDICS
- 01 Electrical and Electronic Equipment
- 02 Fluidics and Fluerics
- 03 Lasers and Masers
- 04 Line, Surface and Bulk Acoustic Wave Devices
- 05 Electrooptical and Optoelectronic Devices
- 06 Acoustooptic and Optoacoustic Devices
- 07 Electromagnetic Shielding

10 POWER PROPULSION AND ENERGY CONVERSION (Nonpropulsive)
- 01 Non-Electrical Energy Conversion
- 02 Electric Power Production and Distribution
- 03 Electrochemical Energy Storage
- 04 Energy Storage

11 MATERIALS
- 01 Adhesives, Seals and Binders
- 02 Ceramics, Refractories and Glass
- 02 01 Refractory Fibers
- 03 Coatings, Colorants and Finishes
- 04 Laminates and Composite Materials
- 05 Textiles
- 06 Metallurgy and Metallography
- 06 01 Properties of Metals and Alloys
- 06 02 Fabrication Metallurgy
- 07 Miscellaneous Materials
- 08 Lubricants and Hydraulic Fluids
- 09 Plastics
- 10 Elastomers and Rubber
- 11 Solvents, Cleaners and Abrasives
- 12 Wood, Paper and Related Forestry Products

12 MATHEMATICAL AND COMPUTER SCIENCES
- 01 Numerical Mathematics
- 02 Theoretical Mathematics
- 03 Statistics and Probability

12 MATHEMATICAL AND COMPUTER SCIENCES (Continued)
- 04 Operations Research
- 05 Computer Programming and Software
- 06 Computer Hardware
- 07 Computer Systems
- 08 Computer Systems Management and Standards
- 09 Cybernetics

13 MECHANICAL, INDUSTRIAL, CIVIL AND MARINE ENGINEERING
- 01 Air Conditioning, Heating, Lighting and Ventilating
- 02 Civil Engineering
- 03 Construction Equipment, Materials and Supplies
- 04 Containers and Packaging
- 05 Couplers, Fasteners and Joints
- 06 Surface Transportation and Equipment
- 06 01 Surface Effect Vehicles and Amphibious Vehicles
- 07 Hydraulic and Pneumatic Equipment
- 08 Manufacturing and Industrial Engineering and Control of Production Systems
- 09 Machinery and Tools
- 10 Marine Engineering
- 10 01 Submarine Engineering
- 11 Pumps, Filters, Pipes, Tubing, Fittings and Valves
- 12 Safety Engineering
- 13 Structural Engineering and Building Technology

14 TEST EQUIPMENT, RESEARCH FACILITIES AND REPROGRAPHY
- 01 Holography
- 02 Test Facilities, Equipment and Methods
- 03 Recording and Playback Devices
- 04 Photography
- 05 Printing and Graphic Arts

15 MILITARY SCIENCES
- 01 Military Forces and Organizations
- 02 Civil Defense
- 03 Defense Systems
- 03 01 Antimissile Defense Systems
- 03 02 Antiaircraft Defense Systems
- 03 03 Antisatellite Defense Systems
- 04 Military Intelligence
- 05 Logistics, Military Facilities and Supplies
- 06 Military Operations, Strategy and Tactics
- 06 01 Naval Surface Warfare
- 06 02 Undersea and Antisubmarine Warfare
- 06 03 Chemical, Biological and Radiological Warfare
- 06 04 Nuclear Warfare
- 06 05 Space Warfare
- 06 06 Land Mine Warfare
- 06 07 Unconventional Warfare

16 GUIDED MISSILE TECHNOLOGY
- 01 Guided Missile Launching and Basing Support
- 02 Guided Missile Trajectories, Accuracy and Ballistics
- 02 01 Guided Missile Dynamics, Configurations and Control Surfaces
- 03 Guided Missile Warheads and Fuzes

16 GUIDED MISSILE TECHNOLOGY (Continued)
- 04 Guided Missiles
- 04 01 Air- and Space-Launched Guided Missiles
- 04 02 Surface-Launched Guided Missiles
- 04 03 Underwater-Launched Guided Missiles
- 05 Guided Missile Reentry Vehicles

17 NAVIGATION, DETECTION AND COUNTERMEASURES
- 01 Acoustic Detection and Detectors
- 02 Non-Acoustic and Non Magnetic Submarine Detection
- 03 Direction Finding
- 04 Countermeasures
- 04 01 Radio Countermeasures
- 04 02 Acoustic Countermeasures
- 04 03 Radar Countermeasures
- 04 04 Optical Countermeasures
- 05 Optical Detection and Detectors
- 05 01 Infrared Detection and Detectors
- 05 02 Ultraviolet Detection and Detectors
- 06 Magnetic and Electric Field Detection and Detectors
- 07 Navigation and Guidance
- 07 01 Land and Riverine Navigation and Guidance
- 07 02 Underwater and Marine Navigation and Guidance
- 07 03 Air Navigation and Guidance
- 07 04 Space Navigation and Guidance
- 08 Miscellaneous Detection and Detectors
- 09 Active and Passive Radar Detection and Equipment
- 10 Seismic Detection and Detectors
- 11 Target Direction, Range and Position Finding

18 NUCLEAR SCIENCE AND TECHNOLOGY
- 01 Fusion Devices (Thermonuclear)
- 02 Isotopes
- 03 Nuclear Explosions and Devices (Non-Military)
- 04 Nuclear Instrumentation
- 05 Nuclear Power Plants and Fission Reactor Engineering
- 05 01 Nuclear Fission Reactors (Power)
- 05 02 Nuclear Fission Reactors (Non-Power)
- 06 Nuclear Radiation Shielding, Protection and Safety
- 07 Radioactivity, Radioactive Wastes and Fission Products
- 08 SNAP (Systems for Nuclear Auxiliary Power) Technology
- 09 Fission Reactor Physics
- 10 Fission Reactor Materials

19 ORDNANCE
- 01 Ammunition and Explosives
- 01 01 Pyrotechnics
- 02 Aerial Bombs
- 03 Combat Vehicles
- 04 Armor
- 05 Fire Control and Bombing Systems
- 06 Guns
- 07 Rockets
- 08 Underwater Ordnance
- 08 01 Torpedoes
- 09 Explosives
- 10 Ballistics
- 11 Nuclear Weapons
- 12 Directed Energy Weapons
- 13 Guided Munitions

20 PHYSICS
- 01 Acoustics
- 02 Crystallography
- 03 Electricity and Magnetism
- 04 Fluid Mechanics
- 05 Atomic and Molecular Physics and Spectroscopy
- 06 Optics
- 06 01 Fiber Optics and Integrated Optics
- 07 Particle Accelerators
- 08 Nuclear Physics and Elementary Particle Physics
- 09 Plasma Physics and Magnetohydrodynamics
- 10 Quantum Theory and Relativity
- 11 Mechanics
- 12 Solid State Physics
- 13 Thermodynamics
- 14 Radiofrequency Wave Propagation
- 15 Electromagnetic Pulses

21 PROPULSION, ENGINES AND FUELS
- 01 Air Breathing Engines (Unconventional)
- 02 Combustion and Ignition
- 03 Electric and Ion Propulsion
- 04 Fuels
- 05 Jet and Gas Turbine Engines
- 06 Nuclear Propulsion
- 07 Reciprocating and Rotating Engines
- 08 Rocket Engines
- 08 01 Liquid Propellant Rocket Engines
- 08 02 Solid Propellant Rocket Engines
- 09 Rocket Propellants
- 09 01 Liquid Rocket Propellants
- 09 02 Solid Rocket Propellants

22 SPACE TECHNOLOGY
- 01 Astronautics
- 02 Unmanned Spacecraft
- 03 Spacecraft Trajectories and Reentry
- 04 Ground Support Systems and Facilities for Space Vehicles
- 05 Manned Spacecraft

23 BIOTECHNOLOGY
- 01 Biomedical Instrumentation and Bioengineering
- 02 Human Factors Engineering and Man Machine Systems
- 03 Bionics
- 04 Protective Equipment
- 05 Life Support Systems
- 06 Escape, Rescue and Survival

24 ENVIRONMENTAL POLLUTION AND CONTROL
- 01 Air Pollution and Control
- 02 Noise Pollution and Control
- 03 Solid Wastes Pollution and Control
- 04 Water Pollution and Control
- 05 Pesticides Pollution and Control
- 06 Radiation Pollution and Control
- 07 Environmental Health and Safety

25 COMMUNICATIONS
- 01 Telemetry
- 02 Radio Communications
- 03 Non-Radio Communications
- 04 Voice Communications
- 05 Command, Control and Communications Systems

REPORT DOCUMENTATION PAGE

Form Approved
OMB No. 0704-0188

1. AGENCY USE ONLY *(Leave blank)*	2. REPORT DATE	3. REPORT TYPE AND DATES COVERED

4. TITLE AND SUBTITLE	5. FUNDING NUMBERS
6. AUTHOR(S)	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)	8. PERFORMING ORGANIZATION REPORT NUMBER
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)	10. SPONSORING/MONITORING AGENCY REPORT NUMBER
11. SUPPLEMENTARY NOTES	
12a. DISTRIBUTION/AVAILABILITY STATEMENT	12b. DISTRIBUTION CODE
13. ABSTRACT *(Maximum 200 words)*	
14. SUBJECT TERMS	15. NUMBER OF PAGES
	16. PRICE CODE

17. SECURITY CLASSIFICATION OF REPORT	18. SECURITY CLASSIFICATION OF THIS PAGE	19. SECURITY CLASSIFICATION OF ABSTRACT	20. LIMITATION OF ABSTRACT

NSN 7540-01-280-5500

GENERAL INSTRUCTIONS FOR COMPLETING SF 298

The Report Documentation Page (RDP) is used in announcing and cataloging reports. It is important that this information be consistent with the rest of the report, particularly the cover and title page. Instructions for filling in each block of the form follow. It is important to ***stay within the lines*** to meet ***optical scanning requirements***.

Block 1. Agency Use Only *(Leave blank)*.

Block 2. Report Date. Full publication date including day, month, and year, if available (e.g. 1 Jan 88). Must cite at least the year.

Block 3. Type of Report and Dates Covered. State whether report is interim, final, etc. If applicable, enter inclusive report dates (e.g. 10 Jun 87 - 30 Jun 88).

Block 4. Title and Subtitle. A title is taken from the part of the report that provides the most meaningful and complete information. When a report is prepared in more than one volume, repeat the primary title, add volume number, and include subtitle for the specific volume. On classified documents enter the title classification in parentheses.

Block 5. Funding Numbers. To include contract and grant numbers; may include program element number(s), project number(s), task number(s), and work unit number(s). Use the following labels:

C	- Contract	PR	- Project
G	- Grant	TA	- Task
PE	- Program Element	WU	- Work Unit Accession No.

Block 6. Author(s). Name(s) of person(s) responsible for writing the report, performing the research, or credited with the content of the report. If editor or compiler, this should follow the name(s).

Block 7. Performing Organization Name(s) and Address(es). Self-explanatory.

Block 8. Performing Organization Report Number. Enter the unique alphanumeric report number(s) assigned by the organization performing the report.

Block 9. Sponsoring/Monitoring Agency Name(s) and Address(es). Self-explanatory.

Block 10. Sponsoring/Monitoring Agency Report Number. *(If known)*

Block 11. Supplementary Notes. Enter information not included elsewhere such as: Prepared in cooperation with...; Trans. of...; To be published in.... When a report is revised, include a statement whether the new report supersedes

Block 12a. Distribution/Availability Statement. Denotes public availability or limitations. Cite any availability to the public. Enter additional limitations or special markings in all capitals (e.g. NOFORN, REL, ITAR).

- DOD - See DoDD 5230.24, "Distribution Statements on Technical Documents."
- DOE - See authorities.
- NASA - See Handbook NHB 2200.2.
- NTIS - Leave blank.

Block 12b. Distribution Code.

- DOD - Leave blank.
- DOE - Enter DOE distribution categories from the Standard Distribution for Unclassified Scientific and Technical Reports.
- NASA - Leave blank.
- NTIS - Leave blank.

Block 13. Abstract. Include a brief *(Maximum 200 words)* factual summary of the most significant information contained in the report.

Block 14. Subject Terms. Keywords or phrases identifying major subjects in the report.

Block 15. Number of Pages. Enter the total number of pages.

Block 16. Price Code. Enter appropriate price code *(NTIS only)*.

Blocks 17. - 19. Security Classifications. Self-explanatory. Enter U.S. Security Classification in accordance with U.S. Security Regulations (i.e., UNCLASSIFIED). If form contains classified information, stamp classification on the top and bottom of the page.

Block 20. Limitation of Abstract. This block must be completed to assign a limitation to the abstract. Enter either UL (unlimited) or SAR (same as report). An entry in this block is necessary if the abstract is to be limited. If blank, the abstract is assumed to be unlimited.

DEFENSE TECHNICAL INFORMATION CENTER
REQUEST FOR RELEASE OF LIMITED DOCUMENT

NOTE: This form may be classified if necessary. See instructions on reverse. No carbon paper required in the completion of this form.

DTIC CONTROL NO.

USER ROUTING

SECTION I. REQUESTING ORGANIZATIO.

REQUESTING ORGANIZATION AND ADDRESS

DTIC USER CODE NO.

DATE OF REQUEST

TYPE COPY AND QUANTITY

☐ Paper Copy _____ Copy(s) ☐ Microform _____ Copy(s)

REGISTERED CONTRACT NUMBER

CONTRACT CLEARANCE

GOVERNMENT SPONSOR AND ADDRESS

METHOD OF PAYMENT (X ONE)

☐ Charge to NTIS Deposit Account No. _____

☐ Bill My Organization to the Attention of:

CONTRACT MONITOR AND TELEPHONE NUMBER

SIGNATURE, TITLE, PHONE NUMBER OF REQUESTING OFFICIAL

SEC' II. REQUESTER J IFICATION

AD NUMBER

NOTE: BIBLIOGRAPHY WILL BE ATTACHED BY DTIC FOR RELEASING AGENCY'S INFORMATION.

REQUIRED FOR (Explain need in detail, include applicable contracts)

SECTION III
RELEASING AGENCY DECISION

RELEASING AGENCY (Use Post Office Address Format)

☐ APPROVED FOR RELEASE TO THE ABOVE REQUESTER

☐ APPROVED FOR RELEASE TO ALL REGISTERED DTIC USERS WITH ADEQUATE SECURITY CLEARANCE AND NEED TO-KNOW

☐ DISAPPROVED. REASON FOR DISAPPROVAL

TYPED NAME AND TITLE OF RELEASING OFFICIAL

SIGNATURE

DATE

DTIC FORM NOV 86 55

COPY DISTRIBUTION. WHITE - DTIC YELLOW RELEASING AGENCY PINK - I PREVIOUS

INSTRUCTIONS

A. DTIC REQUESTER (Complete Sections I and II)

1. Complete User Routing block, if desired, for your internal control purposes.

2. Contractors and Grantees must identify in Section I their government sponsor including an appropriate individual's name and telephone number.

3. Indicate type of copy and quantity requested in Section I. Microfiche will be supplied whenever possible if "Microform" is selected.

4. Indicate method of service charge payment in Section I, either as a charge to your NTIS deposit account or as a bill to your organization from NTIS. DTIC will not accept any form of prepayment with this request. (Service charge will be made only for documents approved for release.)

5. Requesting official must sign.

6. Enter the AD Number you are requesting in Section II. Bibliographic information about the document will be attached to the DTIC Form 55 by DTIC.

7. Explain in detail your requirement for the document. Include appropriate contract information and explain need-to-know.

8. If classified information must be included, CLASSIFY THIS FORM ACCORDINGLY

9. If the document requested is CNWDI, certification that you are currently approved for access to CNWDI information must either be on file at DTIC or furnished with this request.

10. Complete the Releasing Agency block. Please use post office format.

11. Do not include payment or order cards with this request. Retain "Requester's Copy" for your record and forward remaining three copies to:

DEFENSE TECHNICAL INFORMATION CENTER
ATTN DTIC-FDRB
CAMERON STATION
ALEXANDRIA, VIRGINIA 22304-6145

B. RELEASING AGENCY (Complete Section III)

1. Review the request. Contractor or Grantee government sponsor identification and contact point is included in Section I for your use, if necessary.

2. If approved only for specific requester identified in Section I, check that approval block, type name and title, sign and enter date in Section III. Retain "Releasing Agency's Copy" and return remaining copy to DTIC.

3. If approved for all DTIC users, check that approval block, type name and title, sign and enter date in Section III. Retain "Releasing Agency's Copy" and return remaining copy to DTIC. NOTE: When this block is checked the existing distribution limitation assigned to the report is retained, but you are giving DTIC the authority to release your limited document to all registered DTIC users who are cleared for the security level and subject area of the document.

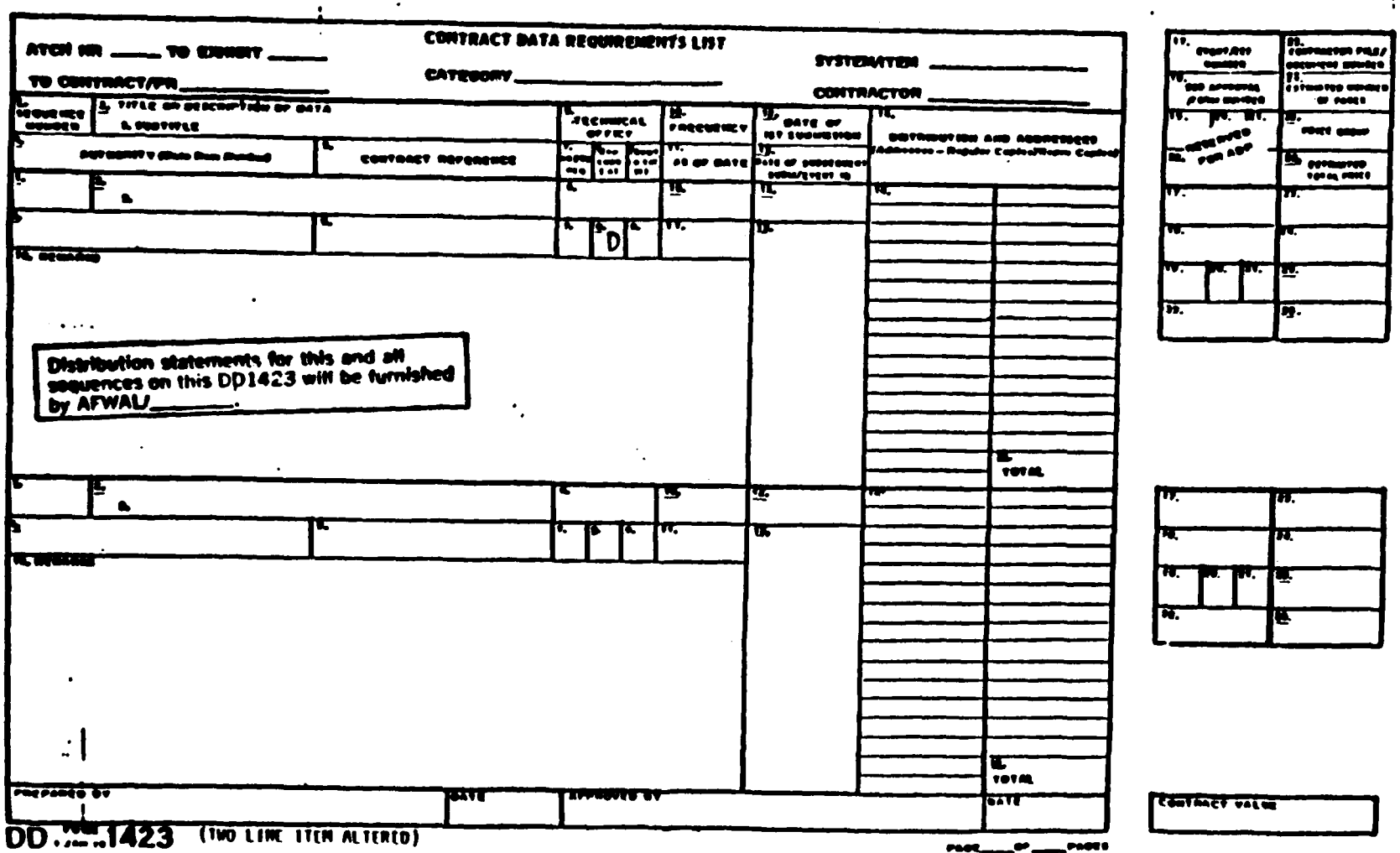
4. If disapproved, check disapproval block, type name and title, sign, enter date and explain reason for disapproval in Section III. Retain "Releasing Agency's Copy" and return remaining copy to DTIC.

5. You may retain the Bibliography for your own files.

6. As directed by OUSDR&E(R&AT), DoD releasing agencies should

   a. Complete this form and return it to DTIC within 15 days.

   b. Reexamine the need for a limited distribution statement on this document and, if possible, authorize its removal. To document this review, a memorandum indicating that the limitation statement can be removed or explaining why it cannot be removed should also be sent to DTIC.


ATCH NR _____ TO EXHIBIT _____
TO CONTRACT/PR _____
CONTRACT DATA REQUIREMENTS LIST
CATEGORY _____
SYSTEM/ITEM _____
CONTRACTOR _____
Distribution statements for this and all sequences on this DD1423 will be furnished by AFWAL/_____.
TOTAL
TOTAL
CONTRACT VALUE
DD FORM 1423 (TWO LINE ITEM ALTERED)

INSTRUCTIONS FOR COMPLETING DD FORM 1423

FOR GOVERNMENT PERSONNEL

This form *(or its equivalent adopted for AIMS)* shall be used whenever data is required to be delivered under a contract. The *form (except Items 23 through 26)* shall be completed in accordance with Departmental procedures, and furnished to the contracting officer by the personnel responsible for determining the data requirements of the contract.

FOR THE CONTRACTOR

1. The estimated prices filled-in in Item 26 will not be separately used in evaluation of offers.

2. Each offeror may complete Items 23 and 24 in accordance with the following instructions:

Item 23. Contractor File/Document Number - Enter bidder's or offeror's internal filing or document number, if applicable.

Item 24. Estimated Number of Pages - Enter the estimated number of pages, drawings, etc., for single preparation.

3. Each offeror shall complete Items 25 and 26 in accordance with the following instructions *(this does not apply to advertised contracts or to negotiated contracts under $100,000)*.

Item 25. Price Group - Contractors shall specify one of the four following groups of effort in developing estimated prices for each item of data listed on the DD Form 1423.

a. Group I. Definition - Data which is not otherwise essential to the contractor's performance of the primary contracted effort *(production, development, testing, and administration)* but which is required by DD Form 1423.

Estimated Price - Costs to be considered under Group I are those applicable to preparing and assembling the data item in conformance with Government requirements, and the administrative and other expenses related to reproducing and delivering such data items to the Government.

Example for Group I - A technical manual prepared for military use only. The estimated price of the manual would be noted on the DD Form 1423 exclusive of cost for any of the manual material that had been generated for other purposes *(e.g., drawings used both for production and as illustrations in the manual)*.

b. Group II. Definition - Data which is essential to the performance of the primary contracted effort but the contractor is required to perform additional work to conform to Government requirements with regard to depth of content, format, frequency of submittal, preparation, control or quality of the data item.

Estimated Price - Costs to be considered under Group II are those incurred over and above the cost of the essential data item without conforming to Government requirements, and the administrative and other expenses related to reproducing and delivering such data item to the Government.

Example for Group II - In the case of MIL-D-1000 Form 1 drawings *(drawings to military standards)*, the estimated price of the data item begins only after the engineering and manufacturing information has been developed and the final form original drawings have been initiated. The estimated price shall not include the cost of configuration control, but shall include any additional quality assurance and control of the drawings but not related to engineering configuration control. Not to be considered is "design effort" expended on layout drawings and *other data which serve principally as a medium for developing design* and are not used in manufacture, production or test of the end item.

c. Group III. Definition - Data which the contractor must develop for his internal use in performance of the primary contracted effort and does not require any substantial change to conform to Government requirements with regard to depth of content, format, frequency or submittal, preparation, control and quality of data.

Estimated Price - Costs to be considered under Group III are the administrative and other expenses related to reproducing and delivering such data item to the Government.

Example for Group III - A drawing prepared to Form 2 or 3 of MIL-D-10 *(drawings to company standards)* which had been used in the manufacturer's own plant activities.

d. Group IV. Definition - Data which is developed by the contractor as par of his normal operating procedures and his effort in supplying these data to the Government is minimal.

Estimated Price - Group IV items should normally be shown on the DD Form 1423 at no cost.

Example for Group IV - A brochure or sheet manual used in a company's normal commercial business, that is acquired by the Government in such small quantities that cost of determining a charge would not be practical.

Item 26. Estimated Total Price.

a. For each item of data listed, the bidder or offeror shall enter an amount equal to that portion of the total price which is estimated to be attributable to the production or development for the Government of that item of data. These estimated data prices shall be developed only from those costs which will be incurred as a direct result of the requirement to supply the data, over and above those costs which would otherwise be incurred in performance of the contract if no data were required.

b. *The estimated data prices shall not include any amount for rights in data.* The Government's right to use the data shall be governed by the pertinent *provisions of the contract.*

DATA ITEM DESCRIPTION

Form Approved
OMB No. 0704-0188

Scientific and Technical Reports	2. IDENTIFICATION NUMBER: DI-MISC -80711

3. DESCRIPTION/PURPOSE

3.1 Scientific and Technical Reports describe and disseminate to the analytical, scientific and technical community the precise nature and results of analytical studies, research, development, test and evaluation (RDT&E) on an assigned task(s). Scientific and Technical Reports may be definitive for the subject presented, exploratory in nature, or an evaluation of critical subsystem or of technical problems.

4. APPROVAL DATE (YYMMDD)	5. OFFICE OF PRIMARY RESPONSIBILITY (OPR)	6a. DTIC APPLICABLE	6b. GIDEP APPLICABLE
881202	S/DD	X	

7. APPLICATION/INTERRELATIONSHIP

7.1 This DID contains the format requirements and preparation instructions for the information product generated by the specific and discrete task requirement as delineated in the contract.

7.2 This DID is applicable to the organization, preparation and production of technical publications.

7.3 This DID supersedes UDI-S-23272C, DI-S-4057 and DI-S-3591A.

7.4 Defense Technical Information Center (DTIC) Cameron Station Alexandria, VA 22304-6145

8. APPROVAL LIMITATION	9a. APPLICABLE FORMS	9b. AMSC NUMBER
	SF 298	S4578

10. PREPARATION INSTRUCTIONS

10.1 Reference document. The applicable issue of the documents cited herein, including their approval dates and dates of any applicable amendments, notices, and revisisions, shall be as specified in the contract.

10.2 Document format shall be in accordance with ANSI Z39.18 Scientific and Technical Reports: Organization, Preparation and Production.

10.3 Document content shall be clearly written, describe accomplishments and other facts adequately and with no technical errors, and be acceptable for release. If Scientific and Technical Reports when sent to DTIC are marked unclassified unlimited they should be accompanied by a letter certifying that they have been cleared for public release and sale; to include foreign nationals.

11. DISTRIBUTION STATEMENT

DISTRIBUTION STATEMENT A. Approved for public release; distribution is unlimited.

RESEARCH AND TECHNOLOGY WORK UNIT SUMMARY				1 AGENCY ACCESSION	2 DATE OF SUMMARY	REPORT CONTROL SYMBOL
3 DATE PREV SUMMARY	4 KIND OF SUMMARY	5 SUMMARY SCTY	6 WORK SECURITY	7 REGRADING	8 DISPOSITION	9 LEVEL OF SUM A WORK UNIT

10 NO./CODES	PROGRAM ELEMENT	PROJECT NUMBER	TASK AREA NUMBER	WORK UNIT NUMBER
a PRIMARY				
b CONTRIBUTING				
c CONTRIBUTING				

11 TITLE *(Precede with Security Classification Code)*

12 SUBJECT AREAS

13 START DATE	14 ESTIMATED COMPLETION DATE	15 FUNDING ORGANIZATION	16 PERFORMANCE METHOD

17 CONTRACT/GRANT		18 RESOURCES ESTIMATE		
a DATE EFFECTIVE	EXPIRATION	FISCAL YEARS	a PROFESSIONAL WORK YEARS	b FUNDS *(In thousands)*
b CONTRACT/GRANT NUMBER				
c TYPE	d AMOUNT			
e KIND OF AWARD	f CUM TOTAL			

19 RESPONSIBLE DOD ORGANIZATION			20 PERFORMING ORGANIZATION		
a NAME			a NAME		
b ADDRESS *(include zip code)*			b ADDRESS		
c NAME OF RESPONSIBLE INDIVIDUAL			c NAME OF PRINCIPAL INVESTIGATOR		
d TELEPHONE NUMBER *(include area code)*			d TELEPHONE NUMBER *(include area code)*		
21 GENERAL USE			f NAME OF ASSOCIATE INVESTIGATOR *(if available)*		
MILITARY/CIVILIAN APPLICATION			g NAME OF ASSOCIATE INVESTIGATOR *(if available)*		

22 KEYWORDS *(Precede EACH with Security Classification Code)*

23 TECHNICAL OBJECTIVE 24 APPROACH 25 PROGRESS *(Precede text of each with Security Classification Code)*

DD FORM 1498 83 MAR

EDITION OF MAR 80 IS OBSOLETE