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## **Department of Defense (DoD) 5G Operations Office Baseline Update**

FA8075-14-D-0016 (DS TAT), DO #18, TAT 15-1172

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Booz | Allen | Hamilton, 8283 Greensboro Drive, McLean, VA 22102

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**Abstract**

The Office of the Undersecretary of Defense (Research and Engineering) (OUSD(R&E)) Director of 5G Operations tasked Defense Systems Technical Area Tasks (DS TAT) to conduct an analysis and support the development, implementation, and documentation of Controlled Unclassified Information (CUI) and DoD Records Management processes for the 5G program. The client requested two additional assessments to support the transition and build-out of OUSD(R&E) 5G as a directorate within the OUSD(R&E) modernization program supporting planning and management of the 5G to Next G initiative, to expand on the original DoD 5G Operations Baseline, 04 November 2020. To accomplish this task an assessment of CUI and DoD Records Management requirements and interviews of OUSD responsible offices and key personnel were conducted. DS TAT's analytic approach required identifying and analyzing policies, compliance requirements, repeatable processes, and current alignment and maturity with respect to planning, direction, execution, management, and oversight requirements of CUI and records management programs within OSD; and identification of gaps in the 5G program compared to long-term DoD program goals and present capabilities. DS TAT facilitated process development and produced documentation and recommendations targeted towards the promotion of 5G efficiency in planning, managing, and providing oversight of 5G implementation of CUI and records management programs. This document would be useful to the DoD community to elucidate how the 5G Directorate organizes and conducts enterprise-level technical information management, including preservation, dissemination, and control of technical information and knowledge created by the 5G program, to enable the near-term delivery of validated 5G technologies by establishing 5G technology program records management and secondary dissemination processes.

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## I. Introduction

The Office of the Undersecretary of Defense (Research and Engineering) (OUSD(R&E)) 5G Directorate, Office of the Secretary of Defense (OSD), Department of Defense (DoD), was formally established in 2020 as part of the alignment and elevation of OSD Research and Engineering functions to the Under Secretary level, as directed in the National Defense Authorization Act for Fiscal Year 2017, codified in October 2018,<sup>1</sup> and stipulated in the National Security and Defense Strategies (2017 and 2018 respectively), to support defense modernization priorities.

This report updates the original DoD 5G Operations Office Baseline of 04 November 2020 with an analysis, documentation, and recommendations for technical information management of 5G information specifically focusing on Controlled Unclassified Information (CUI) and DoD Records Management in the OUSD(R&E) 5G program. An assessment of CUI and DoD Records Management requirements and interviews of OUSD responsible offices and key personnel were conducted to identify policies, compliance requirements, repeatable processes, and oversight requirements of 5G information management. Initial versions of two Standard Operating Procedures (SOPs) were developed using DoD issuances and processes as a framework, and produced in a quick reference guide format to enable ease of reference and use. The SOPs seek to promote R&E 5G office and team efficiency in planning, managing, protecting, disseminating, and preserving 5G program information. The report concludes with way-ahead recommendations for OUSD(R&E) 5G technical information management as part of the broader evolution of OUSD CUI and records management programs and initiatives.

## II. 5G Operations Office Baseline Update

The scope of the DoD 5G Operations Office Baseline Update analysis is to identify and make recommendations for implementing new DoD requirements for managing, labeling, and preserving OUSD(R&E) 5G program information in accordance with evolving federal, DoD, OSD, and OUSD(R&E) CUI and records management policies, procedures, and technologies for DoD Science and Technology information.

### A. 5G Organization, Purpose, and Functions Overview

As of December 2020, the 5G Directorate is comprised of a Director, Deputy Director, Director of 5G Operations, and four Program Leads (Tranche 1, Tranche 2, Operate Through, and Innovate Beyond), organized to achieve the strategic goals set forth in the National Strategy to Secure 5G, the DoD 5G Strategy, and the DoD 5G Strategy Implementation Plan. These strategies built on a substantive body of 5G studies conducted by the Defense Science Board, the Defense Business Board, and the Defense Innovation Board. The DoD 5G strategy was envisioned to build, leverage, and integrate 5G-enabled networks, technologies, and applications for improved command and control, situational awareness, and network and platform operations speed, security, and resiliency as a foundational national and economic security capability.

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<sup>1</sup> Under Secretary of Defense for Research and Engineering (USD(R&E)) (2020, July 15), DoD Directive 5137.02. Available from <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/513702p.pdf?ver=2020-07-15-124712-047>.

OUSD(R&E) 5G organized to execute a 5G experimentation and prototyping plan with three thrust areas: *Accelerate* the DOD's adoption of 5G, *Operate Through* a full range of military operating environments; and *Innovate Beyond* the current generation communications networks. These thrusts integrate 5G applied research efforts across the military 5G ecosystem, and aim to develop and deliver prototypes that can be transitioned to operational programs by Fiscal Year 23.

5G Directorate operations are being documented in Standard Operating Procedures (SOPs) based on the real-world staff experience of key personnel in implementing business processes and DoD standards and guidelines; baseline versions have undergone iterative reviews to ensure the information is accurate and current in depicting how operations are conducted within the R&E 5G team.

## B. DoD Technical Information Management Goals and Policies

DoD sustains a coordinated program to manage scientific and technical information created or acquired under its research and engineering (R&E) activities that is formally articulated in policy as the DoD Scientific and Technical Information Program (STIP).<sup>2</sup> This policy requires scientific and technical information (STI) to be a key outcome and record of the R&E work, and for DoD STI to be identified, disseminated, preserved, and accessible to policy makers, the scientific community, and the public within the boundaries of laws, regulations, Executive Orders, and other requirements.<sup>3</sup> The STIP also implements information control requirements that are specified in 15 DoD policies and other related laws, regulations, and orders, including CUI.

## C. DoD Technical Information Management Roles and Responsibilities

DoD technical information management responsibilities are codified in federal level laws and regulations, and implemented throughout the DoD R&E enterprise at all echelons, and down to the individual level. In March 2020, DoD issued a major policy update for implementation of the CUI program originally directed in Executive Order 13556, November 10, 2010. This report outlines the scope, implications, and processes for CUI program implementation within the 5G program, overlaid with existing STIP requirements, DoD's 100+ additional [policies](#) on information dissemination, management, and control requirements,<sup>4</sup> and DoD Records Management requirements.

### 1. USD(R&E)

The USD(R&E) is the Principal Staff Assistant and advisor to the Secretary and Deputy Secretary of Defense for all matters regarding the DoD Research and Engineering (R&E) Enterprise, defense R&E, technology development, technology transition, developmental prototyping, experimentation, and developmental testing activities and programs; and for unifying

<sup>2</sup> DoDI 3200.12, "DoD Scientific and Technical Information Program (STIP)," August 22, 2013, as amended.

<sup>3</sup> Ibid.

<sup>4</sup> For a comprehensive quick list, search on keywords "information," "tech" and "R&E" at [https://www.esd.whs.mil/Directives/issuances/dodd/,/dodi,/dodm\(20\),ESD Admin Instructions, and Directive Type Memorandums](https://www.esd.whs.mil/Directives/issuances/dodd/,/dodi,/dodm(20),ESDAdminInstructions,andDirectiveTypeMemorandums).

defense R&E efforts across the DoD.<sup>5</sup> USD(R&E) is also specifically responsible for providing research, technology development, and technical advice to the DoD Chief Information Officer and the Commander, U.S. Cyber Command in operationalizing command and control, communications, networking, artificial intelligence, and positioning capabilities.<sup>6</sup>

Specific to 5G, the USD(R&E) leads the Department's strategy to address 5G challenges and opportunities, and has designated a Principal Director for 5G to do that. USD(R&E) is responsible for establishing policies and providing strategic leadership of defense research; engineering; developmental prototyping and experimentation; technology development, exploitation, transition, and transfer; developmental test and evaluation; and manufacturing technology activities in 10 specified technology areas, including 5G and next generation wireless network ("5G to next generation") technologies.<sup>7</sup>

Across the scope of those responsibilities within DoD, the USD(R&E) carries a primary functional responsibility for implementing DoD technical information management policies for the DoD R&E Enterprise across all DoD R&E programs, including 5G. The USD(R&E)'s specified technical information management functions include:

- Coordinating with the USD for Intelligence and Security(I&S) and the USD for Acquisition and Sustainment (A&S) on information sharing policy and implementation of the CUI program in the DoD R&E Enterprise and with the public;
- Leading DoD in recommending actions and investments to prevent and combat exploitation of critical information;
- Performing cyber incident damage assessments of technical information losses;
- Supporting technical information and data protection for major defense acquisition programs;
- Exercising foreign disclosure authority over classified military information originated by USD(R&E)-funded programs and activities;
- Exercising authority and direction over the Defense Technical Information Center (DTIC);
- Coordinating and exchanging information with the other OSD officials, DoD Component heads, and federal, State, or local officials having collateral or related functions.

## 2. Key Records Management Organizations

The National Archives and Records Administration (NARA), Washington Headquarters Service (WHS), and Defense Technical Information Center (DTIC) each have key roles in the lifecycle management of the technical information created and acquired by R&E 5G.

- NARA serves as the federal records archive, helps agencies conduct lifecycle management of their Federal records per U.S. laws, statues and regulations, and provides public access to Federal government records in NARA custody and control, once transferred.

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<sup>5</sup> DoD Directive 5137.02, "Under Secretary of Defense for Research and Engineering (USD(R&E)),” July 15, 2020, at <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/513702p.pdf?ver=2020-07-15-124712-047>.

<sup>6</sup> Ibid

<sup>7</sup> Ibid

- WHS directs and administers the records and information management program for WHS-services components, including OSD(R&E) and its 5G directorate. OSD Components execute these functions by designating a “Component Records Management Officer” (CRMO) and Records Liaison Officer (RL) to implement OSD’s Administrative Instruction 15, “OSD Records and Information Management Program.”<sup>8</sup> Specifically, WHS:
  - Manages the transfer of WHS-serviced Component records to and retrieval from the Federal Records Centers;
  - Provides WHS-serviced Components advice and management assistance in records management; and
  - Cooperates with NARA in developing and applying standards, procedures, and techniques to improve the management of records and information.
  
- DTIC is the repository of record for DoD scientific and technical information; its mission is “to aggregate and fuse science and technology data to rapidly, accurately and reliably deliver the knowledge needed to develop the next generation of technologies to support our Warfighters and help assure national security.”<sup>9</sup> DTIC provides centralized services, databases, and systems for the acquisition, storage, retrieval, and distribution of DoD scientific, research, and engineering information in support of DoD RDT&E and studies programs, including 5G as a specified OSD modernization program. DTIC is the principle mechanism for secondary dissemination of official 5G technical information and reports, classified and unclassified, controlled and publicly disseminated, for ongoing use in DoD RDT&E activities.

#### D. 5G Procedures for Technical Information Management

R&E 5G aims to implement repeatable processes that enable efficient operations and enhance organizational agility, stability, and continuity. The foundation for 5G SOPs 1 through 6 is presented in the DoD 5G Operations Baseline report; the requirements for 5G implementation of Controlled Unclassified Information (CUI) and Records Management programs are described in this report; associated implementing procedures are outlined below and sketched in appendices A and B as SOPs 7 and 8, respectively. As of December 31, 2020, the R&E 5G SOPs include:

1. Secretary of Defense’s Weekly Priorities Review (SWPR)
2. Front Office Weekly Activity Report (WAR)
3. 5G Program Lead Weekly Activity Report (WAR)
4. 5G Event Approval for Public Release
5. 5G Public Affairs Office Information Clearance Request
6. 5G Program Lead Leave
7. 5G CUI Primer (Draft)
8. 5G Records Management Primer (Draft)

<sup>8</sup> <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/ai/a15p.pdf?ver=2019-02-25-104556-297>

<sup>9</sup> See <https://discover.dtic.mil/about/>.

## 1. 5G Controlled Unclassified Information (CUI) Implementation Mechanics

The 5G CUI procedures implement the requirements of DoD Instruction 5200.48, Controlled Unclassified Information (CUI) within the foundational requirements for technical information management specified in DoD Instruction 3200.12, “DoD Scientific and Technical Information Program (STIP),” DoD Instruction 5230.24, “Distribution Statements on Technical Documents,” DoD Directive 5230.23, “Withholding of Unclassified, Data from Public Disclosure,”<sup>10</sup> and classified national security information management directives and instructions, as applicable. The CUI program is mandated, and provides a standard way to identify and manage controlled, non-public information.<sup>11</sup> To that end, and as discussed in Appendix A:

- All 5G technical information is marked and handled as CUI (i.e., Controlled Technical Information, CTI) unless it has been officially reviewed and authorized for public release in accordance with existing OSD pre-publication security review procedures;
- All 5G program information and documentation, whether unclassified, CUI, or classified, must include an appropriate distribution statement, including CUI export-controlled information; other scientific, technical, and engineering information, and Controlled Technical information (CTI);
- The DoD-mandated banner and paragraph marking is “CUI;”
- 5G technical information will include additional CUI controls as required by contractual information management agreements, such as those managed by the National Spectrum Consortium (NSC) and the Information Warfare Requirements Program (IWRP) base agreements for Other Transaction Authorities,<sup>12</sup> and identified in the CUI registry;<sup>13</sup>
- Distribution Statement F (“Further dissemination only as directed by OUSD(R&E), dd mmm yyyy [date of determination], or higher DoD authority”) is used for any 5G program information that has not been officially reviewed and authorized for dissemination outside of 5G program elements and requirements;
- Unclassified documents containing CUI must include a CUI block on the first page, and use the following format:

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<sup>10</sup> Key policies are at <https://www.federalregister.gov/documents/2016/10/31/2016-26236/withholding-of-unclassified-technical-data-and-technology-from-public-disclosure> and <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/523025p.pdf> for withholding regulations and policies; see <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/320012p.pdf?ver=2019-04-30-073122-220> and <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/523024p.pdf> for dissemination policies.

<sup>11</sup> OUSD(I&S), Counterintelligence and Security Directorate (CL&S) promulgated a training guide and working aid for CUI awareness and implementation dated September 3 and September 15 202, respectively.

<sup>12</sup> For example, see [https://www.theiwrp.org/wp-content/uploads/2020/06/IWRP-Base-Agreement\\_June-2020.pdf](https://www.theiwrp.org/wp-content/uploads/2020/06/IWRP-Base-Agreement_June-2020.pdf).

<sup>13</sup> See <http://www.archives.gov/cui> or <https://dodcui.dod.mil/> for authorized markings.

Controlled by: OUSD(R&E)

Controlled by: 5G

CUI Categories: CTI [and any additional trigraphs as appropriate]<sup>14</sup>

Distribution Statement F [or B, C, D, or E, when appropriate]<sup>15</sup>

POC: FirstName LastName, phone number or email

- Classified documents containing CUI will not use CUI banner markings and will include a warning box on the first page, vice a CUI block:

“This content is classified at the [insert highest classification level of the source data] level and may contain elements of controlled unclassified information (CUI), unclassified, or information classified at a lower level than the overall classification displayed. This content shall not be used as a source of derivative classification; refer instead to [cite specific reference, where possible, or state “the applicable classification guide(s)”]. It must be reviewed for both Classified National Security Information (CNSI) and CUI in accordance with DoDI 5230.09 prior to public release. [Add a point of contact when needed.]”

- Use of a CUI cover sheet is optional, but considered as best practice; Figure 1 provides a 5G CUI cover sheet:

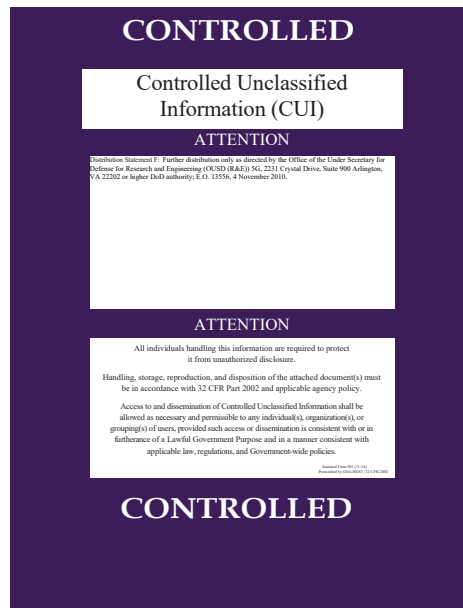


Figure 1 – Controlled Unclassified Information Cover Sheet

## 2. 5G Records Management Implementation

5G records management and disposition requirements are principally directed in the following issuances:

- DoD Directive 5137.02, “Under Secretary of Defense for Research and Engineering (USD(R&E)),” 15 Jul 2020, as amended

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<sup>14</sup> Ibid

<sup>15</sup> Ibid

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- DoD Instruction 5015.02, “DoD Records Management Program,” February 24, 2015, as amended
- Office of the CMO Administrative Instruction (AI) 15, “OSD Records and Information Management Program, May 3, 2015, as amended
- OMB Circular A-130, “Managing Information as a Strategic Resource,” July 2016.

The Records Management program is mandated, and provides a standard way to identify and manage the lifecycle of all 5G program information, from creation and acquisition, through disposition, preservation and archiving, with the goal of managing DoD information and intellectual capital as a national asset. To that end, and as discussed in Appendix B, all DoD records are deliberately managed according to formalized records schedules and file plans. The following responsibilities and mechanics apply, and as further detailed in Appendix B.

### a. Responsibilities

- The OSD Records Administrator (Chief, WHS, Records and Declassification Division) is responsible for oversight and implementation of the Federal Records Act within OSD;
- USD(R&E) is overall authority for classifying and categorizing DoD technical information created and used by DoD R&E programs – classified and unclassified;
- The Principal Director (PD) for 5G is the senior technical advisor for 5G program information, and has delegated authorities related to that role;
- The Operations Director for 5G directs execution and provides oversight of 5G records management on behalf of the PD;
- All personnel (civilian, military, academic, contractor) who create or use R&E 5G program information are responsible for executing records management, and:
  - Maintain 5G records created and received per the 5G file plan and OSR Records Disposition Schedule;
  - Ensure personal files, non-record material, and work-related records and information are maintained separately; and
  - Ensure secondary dissemination of finalized 5G Technical Reports and final documents via the DTIC repository.

### b. Mechanics Concept

5G records are maintained electronically on the OSD drive allocated to the R&E 5G office. 5G records disposition will be conducted annually at the end of each fiscal year, or more frequently when indicated in the 5G File Plan or when directed by the Operations Director for 5G. The 5G File Plan will be prepared and submitted for approval annually, at a minimum, per OSD Records Disposition operating instructions. The final versions of 5G reports will be filed in electronic format to the 5G Permanent Folder for eventual archiving to NARA, per the approved 5G File Plan. Additionally, 5G technical reports will be filed with DTIC for secondary dissemination after formal approval, and made available per the distribution statement authorized and required for each document.

### III. 5G Operations Office Version 2.1 (“V 2.1”)

This document and the procedures outlined herein elucidate how the 5G Directorate organizes to conduct its core technical information management functions as a directorate of OUSD(R&E), an OSD Component. Their implementation enables R&E 5G to execute the core requirement of proactively documenting RDT&E activities to ensure this knowledge can be re-used throughout the DoD research community, while also ensuring appropriate dissemination controls. These mechanics will also enable R&E 5G to perform its traditional OSD-level oversight functions, as well as its enterprise-level program management functions, to enable the near-term delivery of 5G prototypes that are ready for operational transition and integration across a full range of DoD missions and programs. The SOPs in Appendices A and B, along with the report recommendations, are intended to provide an initial sketch of repeatable processes that establish a foundation for the Principal Director, 5G to guide and facilitate rapid research, development, integration testing, and transition 5G and beyond technologies to DoD base programs.

#### A. Concluding Observations

DoD has over 100 policy issuances on information and records management to comprehensively address responsibilities, authorities, and procedures for the creation, use, dissemination, quality, security, storage, and disposition of its information. As noted in the 5G Operations Baseline, these policies apply equally to DoD’s technical information;<sup>16</sup> their scope, volume, and variety<sup>17</sup> is challenging to implement in a synthesized manner in even the most mature DoD organizations. Still, this is required. To reiterate, DoD codified a set of principles to underpin and ensure unity of purpose across all of its information policies. Articulated in various official memoranda when DoD was first established and formally codified in DoD policy in 2000, these principles were most recently reiterated in DoD Directive 5122.05 (August 7, 2017), Section 5, “Principles of Information,” and premised as follows:

“It is the policy of the Department of Defense to make available timely and accurate information so that the public, Congress, and the news media may assess and understand the facts about national security and defense strategy. Requests for information from organizations and private citizens will be answered in a timely manner.”<sup>18</sup>

Together with DoD Directive 3200.12, “DoD Scientific and Technical Information (STI) Program” policies and guidance, the following recommendations are offered to address OUSD(R&E) 5G technical information management needs as it continues to move towards full staffing and implementation of its organizational charter.

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<sup>16</sup> See <https://discover.dtic.mil/policy-memoranda/> for DoD scientific and technical information policy history.

<sup>17</sup> See a basic, but not comprehensive, listing of information policies at <https://dodcio.defense.gov/DoD-Web-Policy/>. A comprehensive DoD information policy listing is available through the DoD Issuance Subject keyword search term “information” at <https://www.esd.whs.mil/Directives/issuances/dodd/>, <https://www.esd.whs.mil/directives/issuances/dodi/>, <https://www.esd.whs.mil/Directives/issuances/dodm/>, and [https://www.esd.whs.mil/Directives/issuances/admin\\_inst/](https://www.esd.whs.mil/Directives/issuances/admin_inst/).

<sup>18</sup> Excerpt from DoDD 5122.05 at [https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/512205\\_dodd\\_2017.pdf](https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/512205_dodd_2017.pdf).

## B. Recommendations

Since inception, DoD has recognized and endeavored to manage information as a strategic resource. This includes scientific and technical information flowing from DoD research and development activities, for which DoD has a long and proactive policy and procedures history that continues to evolve.<sup>19</sup> To promote DoD information policy objectives, 5G Directorate V 2.1 priorities should include detailed work to develop, document, and implement technical information and records management processes that engage the entire R&E 5G enterprise, and instantiate practices to fully leverage DTIC services in Fiscal Year 2021.

This will enable the 5G innovation enterprise to fully leverage and secure for appropriate use the research it sponsors and the knowledge created through its research and development activities. 5G SOPs that document these processes are intended to be living documents that reflect the constant evolution of the 5G innovation program and its organization. In the spirit of lean-agile concepts and frameworks, and informed by DoD Principles of Information and the STIP, recommendations for near-term 5G Directorate “V 2.1” process enhancements follow.

### **Recommendation 1: Provide 5G knowledge base orientation and quarterly updates.**

In coordination with DTIC, support the build-out and maintenance of the 5G program R&E website, and leverage it as a knowledge base for the DoD 5G program and its research findings. Compile and push quarterly updates on the knowledge base across the R&E 5G enterprise. Incorporate this as an all-hands orientation and continuing refresh activity.

### **Recommendation 2: Establish an engagement routine with OSD technical information management protection elements.**

Co-host a quarterly update forum and annual synchronization workshop with the Deputy Director, Strategic Technology Exploitation and Protection, and with participation one level above echelon and at OSD R&E counterpart echelon managers, to provide a push on 5G technical information management protection implementation, including withholding and public dissemination decisions. Engage the R&E Strategic Intelligence Analysis Cell for ongoing threat analysis support and iterative feedback. Incorporate findings into periodic updates to the 5G Security Classification Guide.

### **Recommendation 3: Establish engagement routines within the R&E 5G enterprise for technical information management.**

In addition to hosting mini-workshops on DTIC and Controlled Unclassified Information (CUI) management (Recommendation #4 of the 5G Operations Office Baseline), provide orientation and quarterly updates on technical information management for 5G program leads and managers, to include a synopsis of new 5G temporary and permanent records created and their dissemination and disposition instructions. Conduct a review of the 5G file plan and its

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<sup>19</sup> For example, DoD recognized a need to increase public, industry, and scientific community access to DoD-funded scientific and technical research to maximize the value of defense research and engineering work. To address this need, DoD issued a new policy in 2017 requiring all publicly releasable scholarly articles published by DoD military and civilian personnel in peer reviewed journals and produced as a result of basic research be accessible after a 12-month embargo period to increase dissemination of DoD technical information. Source: DTIC Public Affairs, New DoD Policy, 2 February 2017. Accessible at <https://discover.dtic.mil/new-dod-policy/>

implementation for 5G technical information acquired and created under the 5G program twice yearly.

**Recommendation 4: Establish staffing structure to support 5G technical information management in each of the four thrust areas.**

To implement and support execution at the program and project levels where new 5G technical information and knowledge is created and acquired, identify a lead for technical information management as a collateral function in each of the four thrust areas on a rotating basis, with three-month periods of assignment, to provide a quarterly summary of consolidated reports documenting the 5G research knowledge created and acquired for each thrust area during that quarter.

C. Way-ahead Postlude

The authors of this report welcome feedback, suggestions, and implementation initiatives, and can be reached at Science & Technology Associates, Inc. (STA), 4100 Fairfax Drive Suite 910 Arlington, VA 22203 for follow-on coordination and collaboration. The technical points of contact for this report are Lou Anne DeMattei and Aren Hartoni, 703-552-5123.

## References

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2. [DoD Instructions](https://www.esd.whs.mil/Directives/issuances/dodi/) (https://www.esd.whs.mil/Directives/issuances/dodi/)

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DoD Instruction 3200.20, “Scientific and Engineering Integrity,” July 26, 2012, as amended.

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DoD Instruction 5000.83, “Technology and Program Protection to Maintain Technological Advantage,” July 20, 2020.

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DoD Instruction 5200.48, “Controlled Unclassified Information (CUI),” March 6, 2020.

DoD Instruction 5230.24, “Distribution Statements on Technical Documents,” August 23, 2012.

DoD Instruction 5230.27, “Presentation of DoD-Related Scientific and Technical Papers At Meetings,” August 23, 2012, as amended.

DoD Instruction 5230.29, “Security and Policy Review of DoD Information for Public Release,” August 13, 2014, as amended.

DoD Instruction 5240.19, “Counterintelligence Support to the Defense Critical Infrastructure Program (DCIP),” January 31, 2014.

DoD Instruction 5400.04, “Provision of Information to Congress,” March 17, 2009.

DoD Instruction 5535.108, “DoD Technology Transfer (T2) Program,” May 14, 1999, as amended.

DoD Instruction 5535.11, “Availability of Samples, Drawings, Information, Equipment, Materials, and Certain Services to Non-DoD Personnel and Entities,” March 19, 2012.

3. [DoD Manuals](https://www.esd.whs.mil/Directives/issuances/dodm/) (<https://www.esd.whs.mil/Directives/issuances/dodm/>)

DoD Manual 3200.14 Series, “Principles and Operational Parameters of the DoD Scientific and Technical Information Program,” May 14, 2014, and as amended.

DoD Manual 4140.01, “DoD Supply Chain Material Management Procedures,” February 10, 2014, and as amended.

DoD Manual 5010.12-M, “Procedures for the Acquisition and Management of Technical Data,” August 31, 2018.

DoD Manual 5200.01Series, “DoD Information Security Program,” February 24, 2012, and as amended.

#### 4. Other Sources

National Academy of Sciences (US). The National Academy of Sciences: The First Hundred Years 1863–1963. Washington (DC): National Academies Press (US), 1978.  
<https://www.ncbi.nlm.nih.gov/books/NBK217886/>

National Defense Authorization Act for Fiscal Year 2017 (Public Law No. 114-328), December 23, 2016. <https://www.govinfo.gov/content/pkg/PLAW-114publ328/pdf/PLAW-114publ328.pdf>.

National Defense Authorization Act for Fiscal Year 2020 (Public Law No. 116-92), December 20, 2019. <https://www.congress.gov/116/plaws/publ92/PLAW-116publ92.pdf>.

Office of the Deputy Chief Management Officer Administrative Instruction Number 15, OSD Records and Information Management Program, May 3, 2013 Incorporating Change 1, April 19, 2017.

OSD(I&S). Controlled Unclassified Markings (Training Guide). September 3, 2020.

Secretary of Defense. DoD 5G Strategy. May 2, 2020. [https://www.cto.mil/wp-content/uploads/2020/05/DoD\\_5G\\_Strategy\\_May\\_2020.pdf](https://www.cto.mil/wp-content/uploads/2020/05/DoD_5G_Strategy_May_2020.pdf).

Secretary of Defense. DoD 5G Strategy Implementation Plan. December 15, 2020. DTIC acquisition number AD1118833, DTIC R&E Gateway.

The White House. National Strategy to Secure 5G of the Unites States of America. March 2020. <https://www.whitehouse.gov/wp-content/uploads/2020/03/National-Strategy-5G-Final.pdf>.

# Appendix A

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## SOP 7 5G Controlled Unclassified Information (CUI) Primer

FirsName LastName  
Director of 5G Operations  
[first\\_name.LastName.civ@mail.mil](mailto:first_name.LastName.civ@mail.mil)  
Current as of 31 Dec 2020

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## Purpose and Scope

- Provide guidance to R&E 5G personnel for implementing DoD Controlled Unclassified Information (CUI) requirements (DoDI 5200.48)
- Apply federal and DoD policy and procedures for 5G CUI
  - Executive Order (E.O.) [13556](#) (4 Nov 2010); Part 2002 Title 32, Code of Federal Regulations
  - Defense Federal Acquisition Regulation Supplement (DFARS) Sec 252.204-7008 & 252.204-7012
  - OUSD(I&S) guidance as the designated DoD Senior Agency Official for Security and the Director for Defense Intelligence (Counterintelligence, Law Enforcement, and Security (DDI(CL&S)) guidance as the DoD CUI program manager
  - USD(R&E) guidance on CUI management for Controlled Technical Information (CTI)
- CUI is UNCLASSIFIED information that allows for or requires safeguarding and dissemination controls IAW laws, regulations, or Government-wide policies
  - DoD Components are required to use at least minimum safeguards for CUI
  - DoD Components are not required to use the terms “Basic” or “Specified” to characterize CUI at this time
  - Organizations and individuals must have a “lawful government purpose” for access to CUI (not “need to know” criteria; not swap for FOUO)

2



## Highlights for 5G Implementation



- **The CUI program is mandated, and provides a standard way to identify and manage controlled, non-public information**
  - DoD issued initial guidance for CUI marking of classified and unclassified docs (2020)
  - DoD established a DoD CUI Registry (<https://dodcui.dod.mil/>), derived from the NARA CUI registry (<http://www.archives.gov/cui>)
  - Completion of DoD CUI training (CBT) is mandated NLT Feb 2021 for all personnel (iCompass, [CDSE](#))
- **DoD policies for withholding, dissemination, and sharing of DoD technical information remain in force**
  - DoD “Controlled Technical Information” (CTI) is a special case of CUI: Distribution Statements are still required and used for U and CUI technical information
  - DoD has 100+ additional [policies](#) on information dissemination, management, and control requirements; R&E is OPR for a subset (15) on S&T and CTI
- **FOUO is no longer authorized for use**
  - Remarketing and redacting of existing FOUO documents is not required

3



## Highlights for 5G Implementation (cont'd)



- **All 5G program information will continue to include dissemination statements, and CUI markings as appropriate, IAW:**
  - DoDD 5230.25 (“Withholding of Unclass Technical Data from Public Disclosure”)
  - DoDI 5230.24 (“Distribution Statements on Technical Documents”)
- **All unclassified 5G technical information will:**
  - Be marked and handled as CUI, Controlled Technical Information (CTI) and use Distribution Statement F,
  - **Unless** it has been officially reviewed and authorized for public release IAW existing OSD procedures, explicitly reviewed by the 5G Principal Director or higher authority for wider dissemination, or has been determined by the originator to be Unclassified IAW the 5G Security Classification Guide
- **All unclassified 5G program information (temporary and permanent 5G records) will be marked and managed using 5G shared folders on the OSD “O drive” (O:\10\_MOD\5G) IAW:**
  - OSD Records Disposition Schedules, Record Group 330, August 2020
  - 5G SOP 8 (5G Records Management Implementation)
  - Per NSC and IWRP base agreements and their implementation
- **All unclassified and classified 5G technical documents will use DTIC as the primary repository and vehicle for secondary dissemination**



## Responsibilities



- USD(R&E) is OCR and overall authority for DoD technical information created by and used by DoD R&E programs – classified and unclassified
- The Principal Director for 5G is the senior technical advisor for 5G program information, and is delegated authorities related to that role
- All personnel (civilian, military, academic, contractor) that create or use DoD technical information must comply with DoD policies for technical information management, use, marking, control, dissemination, and disposition

3



## CUI Marking + Distribution Mechanics for 5G



- Mark the top and bottom banner “CUI” on first page and any other pages of documents that contain CUI (for unclassified documents)
- Include a CUI block on the front cover of unclassified CUI documents
  - Controlled by: OUSD(R&E)
  - Controlled by: 5G
  - CUI Categories: CTI [and others as appropriate]
  - Distribution Statement F [or B, C, D, E, as appropriate]
  - POC: Dr. Joseph Evans, 703-695-1463
- Unclassified transmittal documents with CUI attachments do not require a CUI block/designation indicator
- Use a CUI warning box on the first page of classified documents, and CUI markings for any paragraphs containing CUI (CUI banner markings are not used on classified documents containing CUI)
  - “This content is classified at the [insert highest classification level of the source data] level and may contain elements of controlled unclassified information (CUI), unclassified, or information classified at a lower level than the overall classification displayed. This content shall not be used as a source of derivative classification; refer instead to [cite specific reference, where possible, or state “the applicable classification guide(s)”]. It must be reviewed for both Classified National Security Information (CNSI) and CUI in accordance with DoDI 5230.09 prior to public release. [Add a point of contact when needed.]”
- Use a CUI cover sheet for hard copy documents (use is optional, but considered a best practice)

3



## CUI Marking + Distribution Mechanics for 5G (cont'd)



- DoD does not currently authorize use of specific CUI categories (from the NARA and/or DoD CUI registry) for banner and paragraph marking on CUI documents
- Other dissemination markings and controls may apply to 5G information, and should also be used in the CUI block on the front cover as appropriate, such as: procurement sensitive, contract sensitive, privacy act, vulnerability information, etc. – refer to the CUI Registry at: <http://www.archives.gov/cui> or <https://dodcui.dod.mil/>

3



## Distribution Statement Mechanics



- All documents containing 5G technical information will use one of the following distribution statements on the front page (at a minimum), and individual pages/slides. If appropriate
  - DISTRIBUTION STATEMENT A: Approved for public release.
  - 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).
  - 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).
  - DISTRIBUTION STATEMENT D: Distribution authorized to the Department of Defense and U.S. DoD contractors only (fill in reason) (date of determination). Other requests shall be referred to (insert controlling DoD office).
  - DISTRIBUTION STATEMENT E: Distribution authorized to DoD Components only (fill in reason) (date of determination). Other requests shall be referred to (insert controlling DoD office).
  - DISTRIBUTION STATEMENT F: Further dissemination only as directed by OUSD(R&E), dd mmm yyyy [date of determination], or higher DoD authority.

4



## Distribution Statement Mechanics (cont'd)



- **DODD 5230.24** authorized reasons to assign Distributions B-E (Table 1-Table 4):

- Administrative or Operational Use
- Contractor Performance Evaluation
- Critical Technology
- Export Controlled
- Foreign Government Information
- Operations Security
- Premature Dissemination
- Proprietary Information
- Test and Evaluation
- Software Documentation
- Specific Authority (EO 13556, 4 November 2010)
- Vulnerability Information

4



## Distribution Statement Mechanics (cont'd)



- **5G information that has not been formally reviewed or authorized for further dissemination outside of the 5G program by an appropriate authority or through 5G SCG derivation will use Distribution Statement F:**

**“DISTRIBUTION STATEMENT F: Further dissemination only as directed by OUSD(R&E), dd mmm yyyy [date of determination], or higher DoD authority.”**

- Distribution Statement F is normally used only on classified technical documents, but may be used on unclassified technical documents when specific authority exists (for example, Specific Authority EO 13556, 4 November 2010).

4



## Training Resources



- OSD(I&S). Controlled Unclassified Markings (Training Guide and Working Aid). September 3, 2020 and September 15, 2020. Copy available in the 5G SOP sub-folder of folder # 101-01.1, 5G Administration.
- DoD CUI Program – <https://www.dodcui.mil/Home/Training>
- OSD Records and Information Management Program - <https://www.esd.whs.mil/RIM/>

2



## Key References



- DoD Directive 5137.02, "Under Secretary of Defense for Research and Engineering (USD(R&E))," July 15, 2020
- DoD Instruction 5200.48, "Controlled Unclassified Information (CUI)," March 6, 2020
- DOD Instruction 5230.24, "Distribution Statements on Technical Documents," August 23, 2012, as amended

4





# Front Page – Unclassified CUI Document



Controlled by: OUSD(R&E)  
Controlled by: 5G  
CUI Categories: CFI  
Distribution Statement C  
POC: Dr. Joseph Evans, 703-695-1463

September 2020

Preparation of this report cost the Department of Defense a total of approximately \$61,000 during Fiscal Years 2020-2021. Of this total cost to DoD, \$58,000 was contracted with **Mitre Corporation**.  
Generated on 2020Dec02 RefID: A-E65AD26

DISTRIBUTION STATEMENT C. Distribution authorized to U.S. Government agencies and their contractors (administrative or operational use), December 9, 2020. Other requests for this document shall be referred to the Office of the Under Secretary of Defense for Research and Engineering (OUSD(R&E)), 3030 Defense Pentagon, Washington, DC 20301-3030.

CUI



# Unclassified Letter with CUI Attachment



CUI  
THE UNDER SECRETARY OF DEFENSE  
3030 DEFENSE PENTAGON  
WASHINGTON, DC 20301-3030

**The Honorable James M. Inhofe**  
Chairman  
Committee on Armed Services  
United States Senate  
Washington, DC 20510

Dear Mr. Chairman:

Please find enclosed the Department of Defense (DoD) report on Allied 5G Network Security. This report is in response to House Report 116-100, page 276, accompanying H.R. 2100, the National Defense Authorization Act for Fiscal Year 2020, which directs the Secretary of Defense to provide a report on the projected and potential impacts to U.S. operations of the adoption of 5G technology products from Huawei and ZTE by U.S. partners and allies.

I am sending identical letters to the other congressional defense committees.

Sincerely,

Michael Kruttschnitt

Enclosure:  
As stated

cc:  
The Honorable Jack Reed  
Ranking Member

CUI  
UNCLASSIFIED when separated from attachment



## DoD Technical Information –Withholding



- **DoDD 5230.25 implements:**

**10 USC § 130.** Authority to withhold from public disclosure certain technical data (a) Notwithstanding any other provision of law, the Secretary of Defense may withhold from public disclosure any technical data with military or space application in the possession of, or under the control of, the Department of Defense, if such data may not be exported lawfully outside the United States without an approval, authorization, or license under the Export Administration Act of 1979 (50 U.S.C. App. 2401–2420) or the Arms Export Control Act (22 U.S.C. 2751 et seq.). However, technical data may not be withheld under this section if regulations promulgated under either such Act authorize the export of such data pursuant to a general, unrestricted license or exemption in such regulations.

- **5 USC § 552 (FOIA), para b, details “exceptions” for disclosing**

## Appendix B

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# SOP 8 5G Records Management Primer



First M Last  
Director of 5G Operations  
[Firstname.lastname.civ@mail.mil](mailto:Firstname.lastname.civ@mail.mil)  
Current as of 31 Dec 2020



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## Purpose

- **Provide procedures for the use and management of 5G program information IAW:**
  - DoDI 5015.02, DoD Records Management Program
  - OSD Administrative Instruction 15 (AI-15)
  - OSD Records Disposition Schedule (current year version)
  - OUSD(R&E) requirements
  - Contractual agreements managed by NSC and IWRP
- **Provide V1.0 of the 5G file plan and 5G information dissemination and protection CONOPs**
- **Describe responsibilities for 5G records management**

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## DoD Policy Highlights



- **Manage information and intellectual capital in DoD records as a “national asset”**
- **Create, maintain, use, dispose, protect, and preserve records to properly document DoD business and mission operations**
- **Manage all DoD records according to records schedules**
  - Manage permanent records electronically for eventual transfer and accessioning to the National Archives and Records Administration (NARA)
- **Limit creation of records to those essential for efficient conduct of official business, and preserve those of continuing value while systematically disposing of all others when they are no longer needed**

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## Responsibilities



- **OSD Records Administrator (Chief, WHS, RDD) is responsible for oversight and implementation of the Federal Records Act within OSD**
- **USD(R&E) is OCR and overall authority for DoD technical information created by and used by DoD R&E programs – classified and unclassified**
- **Principal Director (PD) for 5G is the senior technical advisor for 5G program information, and has delegated authorities related to that role**
- **Operations Director for 5G directs execution and provides oversight of the 5G records management on behalf of the PD, including annual creation/submission for approval of the 5G File Plan**
- **All personnel (civilian, military, academic, contractor) who create or use DoD 5G program information are responsible for conducting 5G records management**

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## Individual Responsibilities



- **Maintain records created and received IAW the 5G file plan and OSR Records Disposition Schedule**
  - Ensure each record set is complete and retained IAW the 5G file plan
  - Maintain e-mail and attachments documenting work related activities IAW the 5G file plan
- **Ensure personal files, non-record material, and work-related records and information are maintained separately**
- **Ensure secondary dissemination of finalized 5G Technical Reports via the DTIC repository**
- **Follow the procedures in Enclosure 5 of AI-15 for the removal of non-record material**

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## 5G File Management Laydown



- **5G records will be maintained electronically on the OSD O drive at O:\10\_MOD\5G IAW the 5G File Plan-FY21 (Draft)**
  - Folder names and numbering will use the OSD Records Disposition categories, numbering schema, and definitions
- **Top-level Temporary File Folders include:**
  - **Series 1000** - General Office Records - 4
    - 5G Administration, Actions & Operations, Chronological Reading, Event Planning and Management
  - **Series 800** – USD(Policy) – 1
    - 5G CFIUS Case File Information
  - **Series 1300** – USD(Research and Engineering) - 3
    - 5G Project Control files, Summary Progress Reports, Export License Files
- **Top-level Permanent File Folders include:**
  - Series 800 – Policy – 1
    - 5G National Security Council Affairs
  - Series 1300 – 3
    - 5G Technical Reports, Summary Progress Reports (Consolidated), Programming and Financial Activities
- **5G working files (non-record) will be maintained separately in the WF folder**

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## 5G Records Dissemination and Disposition



- **5G records disposition will be conducted annually at the end of each FY, or more frequently when indicated in the 5G File Plan or when directed by the Operations Director for 5G**
- **The final versions of 5G Technical Reports**
  - Will be filed in a 5G Permanent Folder for eventual archiving to NARA, per an approved 5G File Plan
  - Will be filed with DTIC for secondary dissemination after formal approval, and per the DISTRIBUTION STATEMENT annotation
    - The DTIC repository will be used for secondary dissemination of unclassified and secret final documents

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## Key References



- DoD Directive 5137.02, "Under Secretary of Defense for Research and Engineering (USD(R&E))," 15 Jul 2020, as amended**
- DoD Instruction 5015.02, "DoD Records Management Program," February 24, 2015, as amended**
- Office of the CMO Administrative Instruction (AI) 15, "OSD Records and Information Management Program, May 3, 2015, as amended**
- OMB Circular A-130, "Managing Information as a Strategic Resource," July 2016**

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## Backup and Background Information



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## Training and Information Resources



- OSD Records and Information Management Program - <https://www.esd.whs.mil/RIM/>

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## Overview of Key Records Management Organizations



- **NARA**

- Archives Federal records
- Helps agencies conduct lifecycle management of their Federal records
- Provides public access to Federal government records in NARA custody and control

- **Washington Headquarters Service**

- Directs and administers the records and information management program for WHS-services components
- Manages the transfer of WHS-serviced Component records to and retrieval from the Federal Records Centers
- Provides WHS-serviced Components advice and management assistance in records management
- Cooperates with NARA in developing and applying standards, procedures, and techniques to improve the management of records and information

- **DTIC:**

- Provides centralized services, databases, and systems for the acquisition, storage, retrieval, and distribution of DoD scientific, research, and engineering information in support of DoD RDT&E and studies programs

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## Additional References



1. **DoD Directives** (<https://www.esd.whs.mil/Directives/issuances/dodd/>)

DoD Directive 3200.12, "DoD Scientific and Technical Information (STI) Program (STIP)," February 11, 1998.

DoD Directive 5100.01, "Functions of the Department of Defense and Its Major Components," December 21, 2010 Incorporating Change 1, September 17, 2020.

DoD Directive 5105.73, "Defense Technical Information Center (DTIC)," May 2, 2013, as amended.

DoD Directive 5137.02, "Under Secretary of Defense for Research and Engineering (USD(R&E)), July 15, 2020.

DoD Directive 5230.09, "Clearance of DoD Information for Public Release," August 22, 2008.

DoD Directive 5230.25, "Withholding of Unclassified Technical Data from Public Disclosure," November 6, 1984, as amended.

DoD Directive 8000.01, "Management of the Department of Defense Information Enterprise (DoD IE)," March 17, 2-016, as amended.

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## Additional References (cont'd)



2. [DoD Instructions](https://www.esd.whs.mil/Directives/issuances/dodi/) (https://www.esd.whs.mil/Directives/issuances/dodi/)

DoD Instruction 2000.03, "International Interchange of Patent Rights and Technical Information," January 17, 2006.

DoD Instruction 2000.25, "DoD Procedures for Reviewing and Monitoring Transactions Files with the Committee on Foreign Investment in the United States (CFIUS)," August 5, 2010, as amended.

DoD Instruction 2015.4, "Defense RDT&E Information Exchange Program (IEP)," February 7, 2002, as amended.

DoD Instruction 3100.08, "The Technical Cooperation Program (TTCP), August 7, 2012.

DoD Instruction 3210.08, Reporting and Using Information in Government-wide Integrity and Performance Systems, April 13, 2016, as amended.

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## Additional References (cont'd)



DoD Instruction 3200.12, "DoD Scientific and Technical Information Program (STIP)," August 22, 2013, as amended.

DoD Instruction 3200.20, "Scientific and Engineering Integrity," July 26, 2012, as amended.

DoD Instruction O-3600.03, "Technical Assurance Standards (TAS) for Computer Network Attack (CNA) Capabilities, April 22, 2010, as amended.

DoD Instruction 4120.24, "Defense Standardization Program (DSP)," July 13, 2011, as amended.

DoD Instruction 5000.83, "Technology and Program Protection to Maintain Technological Advantage," July 20, 2020.

DoD Instruction 5015.02, "DoD Records Management Program," February 24, 2015, Incorporating Change 1, August 17, 2017.

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## Additional References (cont'd)



DoD Instruction 5200.01, "DoD Information Security Program and Protection of Sensitive Compartmented Information," April 21, 2016, as amended.

DoD Instruction 5200.39, "Critical Program Information Identification and Protections within RDT&E," May 28, 2015, as amended.

DoD Instruction 5200.48, "Controlled Unclassified Information (CUI)," March 6, 2020.

DoD Instruction 5230.24, "Distribution Statements on Technical Documents," August 23, 2012.

DoD Instruction 5230.27, "Presentation of DoD-Related Scientific and Technical Papers At Meetings," August 23, 2012, as amended.

DoD Instruction 5230.29, "Security and Policy Review of DoD Information for Public Release," August 13, 2014, as amended.

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## Additional References (cont'd)



DoD Instruction 5240.19, "Counterintelligence Support to the Defense Critical Infrastructure Program (DCIP)," January 31, 2014.

DoD Instruction 5400.04, "Provision of Information to Congress," March 17, 2009.

DoD Instruction 5535.108, "DoD Technology Transfer (T2) Program," May 14, 1999, as amended.

DoD Instruction 5535.11, "Availability of Samples, Drawings, Information, Equipment, Materials, and Certain Services to Non-DoD Personnel and Entities," March 19, 2012.

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## Additional References (cont'd)



3. [DoD Manuals](https://www.esd.whs.mil/Directives/issuances/dodm/) (https://www.esd.whs.mil/Directives/issuances/dodm/)

DoD Manual 3200.14 Series, "Principles and Operational Parameters of the DoD Scientific and Technical Information Program," May 14, 2014, and as amended.

DoD Manual 4140.01, "DoD Supply Chain Material Management Procedures," February 10, 2014, and as amended.

DoD Manual 5010.12-M, "Procedures for the Acquisition and Management of Technical Data," August 31, 2018.

DoD Manual 5200.01 Series, "DoD Information Security Program," February 24, 2012, and as amended.

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