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DEPARTMENT OF DEFENSE

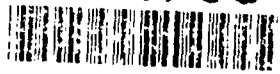
RESEARCH AND TECHNOLOGY WORK UNIT INFORMATION SYSTEM REGULATION

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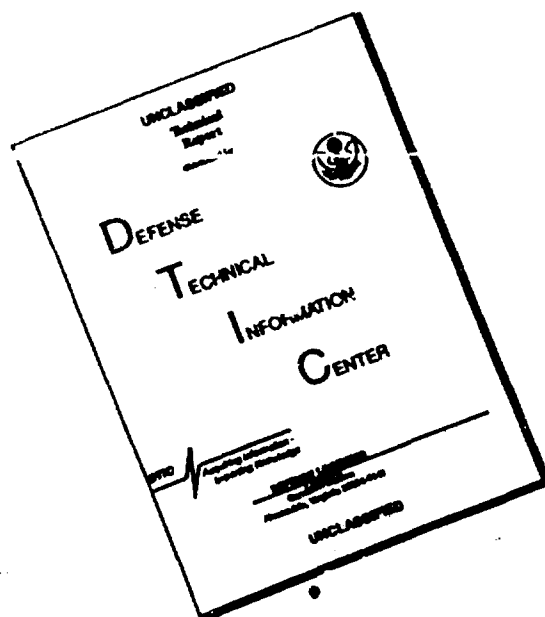
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OFFICE OF THE UNDER SECRETARY OF DEFENSE
FOR RESEARCH AND ENGINEERING

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RESEARCH AND
ENGINEERING

THE UNDER SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

August 5, 1983

FOREWORD

This Regulation is issued under the authority of DoD Directive 3200.12, "DoD Scientific and Technical Information Program," February 15, 1983. Its purpose is to prescribe uniform procedures relevant to the control and reporting of technical and management data to a central DoD-wide data base. The data base consists of summary information of ongoing research and technology efforts at the work unit level being accomplished within the Research, Development, Test, and Evaluation Program. This Regulation defines the policy, scope, and responsibilities for providing complete and timely input to the Research and Technology Work Unit Information System (R&TWUIS).

The R&TWUIS data base includes as a subset the Studies and Analyses Data Base as required by DoD Directive 5010.22 that contains specific provisions applicable to the subject.

The provisions of this Regulation apply to the Office of the Secretary of Defense, the Military Departments, and the Defense Agencies (hereafter referred to as "DoD Components").

This Regulation is effective immediately and is mandatory for use by all DoD Components except as stated below. Heads of DoD Components may issue supplementary instructions only when necessary to provide for administration of this Regulation within their respective Components.

Excluded from the reporting requirements of this Regulation are DoD Components of the National Foreign Intelligence Program involved in intelligence collection, processing, analysis, production, and dissemination functions.

Send recommended changes to the Regulation through channels to:

Director, Office of Research and Laboratory Management
Office of the Deputy Under Secretary of Defense (Research & Advanced
Technology)
Office of the Under Secretary of Defense for Research and Engineering
The Pentagon
Washington, DC 20301

DoD Components may obtain copies of this Regulation through their own publication channels. Other federal agencies and the public may obtain copies from the Director, U.S. Naval Publications and Forms Center, 5801 Tabor Avenue, Philadelphia, Pennsylvania 19120.

A handwritten signature in cursive script, appearing to read "R. D. DeLauer".

R. D. DeLauer
Under Secretary of Defense
for Research and Engineering

REFERENCES

- (a) DoD Directive 5230.9, "Clearance of DoD Information for Public Release," April 2, 1982
- (b) DoD Directive 5010.22, "DoD Contract Studies Management," March 25, 1982

DEFINITIONS

1. Research, Development, Test, and Evaluation (RDT&E) Activity. A unit, organization, or installation sponsoring or performing a function or mission in direct support to DoD RDT&E programs.
2. Research and Technology Work Unit Information System (R&TWUIS). A reporting system established by the Office of the Under Secretary of Defense for Research and Engineering (OUSDR&E) to provide rapid exchange of technical and management data on DoD research and technology (R&T) efforts at the work unit level.
3. Research. Includes all efforts directed toward increased knowledge of natural phenomena and environment and efforts directed toward the solution of long term defense problems in the physical, engineering, life, behavioral, and social sciences.
4. Technology. Includes scientific or engineering efforts directed toward eliminating technical barriers and providing solutions to technical problems (excluding routine engineering) encountered in RDT&E programs.
5. Work Unit. 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.
6. 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 effort being reported.

CHAPTER 1

POLICY

A. CONCEPT

1. The R&TWUIS is a reporting system established by the OUSDR&E to provide rapid exchange of technical and management data describing ongoing DoD R&T efforts at the work unit level.

2. The operation of and support for the R&TWUIS are required and integral parts of the management and conduct of DoD RDT&E programs.

3. Data on all DoD-performed or -sponsored work that contribute to research and technology shall be summarized and reported to the R&TWUIS data base.

4. The automated data base containing all DoD R&T work unit summary data is operated and maintained by the Defense Technical Information Center (DTIC) of the Defense Logistics Agency (DLA).

5. Consistent with security requirements and release limitations, R&TWUIS data shall be made available to all DoD Components and their contractors, other government agencies and their contractors, and other qualified organizations.

6. The R&TWUIS data base system and facilities may be used to support or effect the establishment of similar data bases containing summary descriptions of RDT&E or studies programs, as approved by the OUSDR&E.

B. PURPOSE

1. The purpose of the R&TWUIS is to provide a comprehensive scientific and technical information (STI) data base that comprises summary descriptions of the technical content, performers, monitors, and funding sources of DoD research or technological efforts.

2. The goal of the R&TWUIS is to increase the effectiveness of the DoD RDT&E program by making available brief descriptions of R&T efforts to all DoD scientists, engineers, and managers, as well as to the DoD contractor base in industry and academia.

3. The objectives of the R&TWUIS are to:

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

b. Permit managers easily to coordinate programs with other DoD Components and with other agencies and branches of the federal government to eliminate overlap of effort.

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

d. Enable scientists, engineers, and managers to identify individuals working in technical areas of interest who can be contacted for further technical information.

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

f. Enhance the efficiency and cost effectiveness of 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.

C. DoD COMPONENT DATA BASE ENHANCEMENT

1. Individual DoD Components may, using the basic structure of the R&TWUIS, expand the reporting and input of technical and management information about their particular RDT&E or studies programs for their own use. These DoD Components shall provide at least the information contained in Appendix A to the R&TWUIS data base as shall be specified in DoD 3200.12-M-1, "Research and Technology Work Unit Information System Data Input Manual."

2. Individual DoD Components may, in coordination with the DTIC and with approval from the Defense Logistics Agency, extend the R&TWUIS data base maintained at the DTIC with Component-unique data elements as needed to enhance the management or exchange of information about their R&T programs.

D. ACCESS AND RELEASE

1. Work unit summaries submitted in accordance with this Regulation are not publicly releasable from the R&TWUIS data base. However, members of the general public may submit requests for individual, unclassified work unit summaries directly to the originating DoD Component. Access may be provided only after specific review and approval in accordance with DoD Directive 5230.9 (reference (a)).

2. Subject to security restrictions and release limitations, the complete description, as listed in Appendix A, of all work unit summaries is releasable to DoD Components and their contractors that are registered with the DTIC.

3. In addition, work unit summaries are releasable to other U.S. Government agencies and their contractors that are registered with the DTIC, consistent with security restrictions and release limitations.

CHAPTER 2
RESPONSIBILITIES

A. DoD COMPONENTS

1. DoD Components shall:

a. Establish R&TWUIS information requirements as an integral part of their RDT&E function.

b. Designate a single authoritative focal point for the R&TWUIS.

c. Devise and provide management procedures to ensure enforcement of R&TWUIS information requirements and the quality, accuracy, and timeliness of work unit data.

d. Ensure that program managers and project officers perform a comprehensive search of the R&TWUIS data base during the planning stages of any new R&T or study effort.

2. Heads of RDT&E activities that actually award contracts or grants, effect transfers of funds for R&T efforts performed by non-DoD agencies, or perform the work in-house (regardless of the actual source of funds) shall report complete, accurate, and timely work unit data to the system.

B. THE DEFENSE LOGISTICS AGENCY

1. The DLA shall oversee the operation of the R&TWUIS data base and accept and respond to direction and guidance from the OUSDR&E.

2. The DTIC shall:

a. Establish, maintain, and operate the R&TWUIS data base.

b. Prepare and provide manuals and supplementary guidance to establish uniform procedures, codes, data elements, and formats for submitting work unit summaries.

c. Provide R&TWUIS data base output and retrieval services to eligible users and assure adherence to specified rules for the releasability of data.

d. Provide and operate an interactive, online system for data base access and input.

e. Communicate directly with DoD Components for the resolution of problems and establishment of procedures for input to and retrieval from the R&TWUIS data base.

CHAPTER 3
INFORMATION REQUIREMENTS

A. WHAT TO REPORT

1. A work unit summary shall be reported to the R&TWUIS for each work unit that meets the definitions of research or technology stated herein regardless of program category. This includes all work units whether they contribute positive or negative results to the technology base. Reporting of studies shall follow the guidance of DoD Directive 5010.22 (reference (b)) and the related implementing document.

2. Each 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 agency shall be described by at least one work unit summary. Work unit summaries to be reported are, therefore, of three types:

a. DoD In-House Work Unit Summary. The description of each technically distinguishable effort performed by or in a DoD RDT&E activity. The size of the work unit shall be determined by technical considerations, not on funding level or personnel requirements. Normally, a work unit may not exceed approximately two professional workyears per year.

b. Contractual Work Unit Summary. The description of each uniquely-numbered contract or grant awarded for the performance of research or technology effort. To identify technically distinguishable efforts, some large contracts or grants may need to be subdivided into several work units.

c. Non-DoD In-House Work Unit Summary. A description of each research or technology effort performed by a non-DoD government agency through an inter-agency transfer of funds.

3. Reports are mandatory for:

a. All work units, regardless of program or program category or appropriation under which funded, that meet the definitions of research or technology contained in this Regulation.

b. All work units performed by DoD Components, DoD contractors or grantees, and non-DoD agencies funded wholly or in part from Program Categories 6.1 (Research), 6.2 (Exploratory Development), and 6.3A (Advanced Technological Development).

c. All other work unit efforts under the program control of the Deputy Under Secretary of Defense (Research and Advanced Technology), OUSDR&E.

d. All work unit summaries for contracts or grants from all RDT&E program categories (6.1 through 6.7), including those for services, supplies, or equipment, with U.S. academic institutions in order to satisfy the requirement for the Department of Defense to input to the Committee on Academic Science and Engineering (CASE) reporting system.

e. All DoD contract studies in accordance with reference (b).

B. WHEN TO REPORT

1. The appropriate data elements on a work unit shall be reported to the DTIC within 30 working days after the local action it reflects has occurred within the reporting organization.

2. Such local actions include:

a. The acceptance or approval to initiate a new effort within a DoD RDT&E activity or a change to, completion of, or termination of such an in-house effort.

b. The award of a contract or grant or a change or supplement to a contract or grant that affects the description of work, level of funding, identity of a principal investigator, or duration of the effort.

c. The transfer of funds to a non-DoD government agency, and changes to, completion of, or termination of any effort so funded.

3. The data describing each work unit shall be reviewed, revised, and changes or corrections submitted at least once a year to report progress, current fiscal year funding, or professional personnel utilization. Updating of studies summaries is subject to DoD Directive 5010.22 (reference (b)) and the related implementing document.

C. HOW TO REPORT

1. Input to the R&TWUIS data base at the DTIC shall be provided either electronically (direct online transmission) or in a machine-readable format (such as punched cards or magnetic tape). The method shall be determined by the DoD Component focal point.

2. Detailed instructions for data and transmission formats and descriptions of data elements shall be contained in DoD 3200.12-M-1, "Research and Technology Work Unit Information System Data Input Manual."

3. The Research and Technology Work Unit Summary, DD Form 1498 (Appendix B), may be used for the collection of data in hard copy form at the direction of the DoD Component focal point.

4. The material shall be sent to the Defense Technical Information Center, ATTN: DTIC-T (WUIS), Cameron Station, Alexandria, Virginia 22314, except for those work unit summaries that are TOP SECRET, or that deal with RDT&E in electronic intelligence (ELINT), communications intelligence (COMINT), and communications security (COMSEC), which must be sent to the National Security Agency, ATTN: T5112, Fort George G. Meade, Maryland 20755.

5. Report Control Symbol DD-DR&E(AR)636 has been assigned to the R&TWUIS.

APPENDIX A

Data Elements Included in a Research and Technology
Work Unit Summary

<u>Field Number</u>	<u>Data Element*</u>
1	Agency Accession
2	Date of Summary
3	Date of Previous Summary
4	Kind of Summary
5	Summary Security
6	Work Security
7	Regrading
8	Distribution Instructions (Release Limitations)
9	Level of Summary
10	Number/Codes
11	Title
12	Subject Areas
13	Start Date
14	Estimated Completion Date
15	Funding Organization
16	Performance Method
17A1	Contract/Grant Effective Date
17A2	Contract/Grant Expiration Date
17B	Contract/Grant Number
17C	Contract Type
17D	Contract/Grant Amount
17E	Kind of Award
17F	Contract/Grant Cumulative Dollar Total
18	Resources Estimate
19A	Responsible DoD Organization Name
19B	Responsible DoD Organization Address
19C	Responsible Individual
19D	Responsible Individual's Telephone Number
20A	Performing Organization Name
20B	Performing Organization Address
20C	Principal Investigator
20D	Principal Investigator's Telephone Number
20F/G	Associate Investigators
21E	Military/Civilian Application
22	Keywords
23	Technical Objective
24	Approach
25	Progress

*Detailed descriptions of data elements shall be contained in DoD 3200.12-M-1,
"Research and Technology Work Unit Information System Data Input Manual."

RESEARCH AND TECHNOLOGY WORK UNIT SUMMARY				1 AGENCY ACCESSION	2 DATE OF SUMMARY	REPORT CONTROL SYMBOL	
3 DATE PREV SUMRY	4 KIND OF SUMMARY	5 SUMMARY SCTY	6 WORK SECURITY	7 REGRADING	8 DISB'N INSTR N		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 TERMS							
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)							