



DoD Public Access: Status of the DoD Plan plus Status of Controlled Unclassified Information

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Public Access Falls Within DTIC's Mission

To provide essential technical RDT&E information rapidly, accurately and reliably to support our DoD customers' needs.

Offer DoD and industry partners, separated by geographic, organization, and historical barriers, access to information and data

- **Collect DoD technical information and provide to all DoD and affiliated industry/academia**
- **Develop DoD scientific and technical information (STI) policy**
- **Provide collaboration tools, bringing together experts from diverse perspectives, to create better results**
- **Perform analysis and engineering work for DoD customers through Information Analysis Centers (IACs) subject matter experts**



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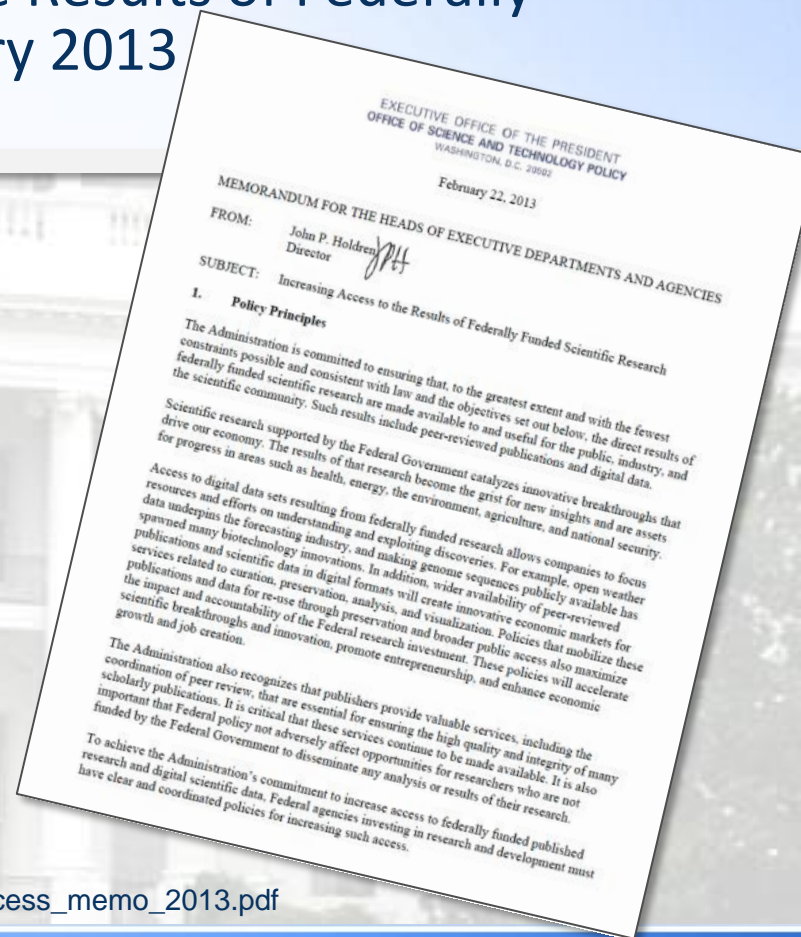
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Public Access Mandate

White House direction: Office of Science and Technology Policy (OSTP) Memo: "Increasing Access to the Results of Federally Funded Scientific Research," 22 February 2013

Overarching goal is to accelerate scientific breakthroughs and innovation, promote entrepreneurship, and enhance economic growth and job creation



https://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf

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Public Access Mandate

Requires all federal agencies with over \$100M in annual R&D expenditures, regardless of funding appropriation, to support increased public access to research results funded by the federal government

Applies to:

- Results published in peer-reviewed scholarly publications
- Digitally formatted scientific data arising from **unclassified unlimited research necessary to validate the results and conclusions** of the effort
 - Definition of “necessary” and qualification for exclusion to be determined by subject matter experts within each discipline
 - Exclusion: any information that requires safeguarding or dissemination controls (acceptable reasons: national security, economic security, export control, proprietary information, personally identifiable information, economic cost/benefit)
 - Exclusion: laboratory notebooks, preliminary analyses, drafts of scientific papers, plans for future research, peer review reports, or physical objects, such as laboratory specimens
- Each new project start needs a Data Management Plan (DMP)



DoD Public Access Engagement

DoD (DTIC) participated in White House led working groups coordinating the planning process and participating in a public comment meeting with publishers and researchers at the National Academy of Sciences:

- Department of Homeland Security
- Director National Intelligence
- Department of Energy*
- Department of Transportation
- Department of Education
- Environmental Protection Agency
- Department of Health and Human Services, Center for Disease Control*
- Department of Health and Human Services, Healthcare Research & Quality*
- Department of Health and Human Services Food and Drug Administration*
- Department of Health and Human Services National Institutes of Health*
- Institute for Museum and Library Services
- National Aeronautics and Space Administration*
- National Endowment for the Humanities
- National Institute for Standards and Technology*
- National Oceanographic and Atmospheric Administration*
- National Science Foundation*
- National Technical Information Service
- Smithsonian Institution
- Department of State
- Department of Agriculture*
- US Geological Survey*
- US Agency for International Development*
- Department of Veteran's Affairs*

* Means OSTP has accepted that Agency's plan



DoD Approach

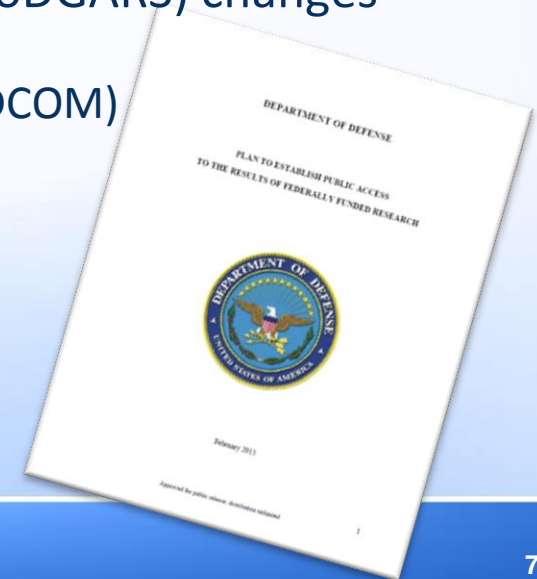
- Mr. Frank Kendall, Under Secretary of Defense AT&L, signed a memo dated 9 July 2014
 - Supported the White House mandate
 - Directed DoD compliance
 - Provided guidance on applicability and scope
- Assistant Secretary of Defense R&E assigned DTIC and ASD(R&E) Basic Research (BR) as implementation co-leads
- DoD two phased approach (coordinated by (S&T) ExCom):
 - Basic Research (6.1): research publications and digital data that underlies scholarly publication in a peer reviewed journal (intramural then extramural)
 - 6.2 and above: determine best approach by applying lessons learned from basic research
- Principles:
 - Protect national security, DoD and industry intellectual property
 - Simplify/standardize DoD guidance parallel to other federal agencies reducing complexity and burden on submitters
 - Share information through multiple channels to foster usage



DoD's Public Access Plan released March 2015:

- Office of Science and Technology Policy (OSTP) and Office of Management and Budget (OMB) accepted the DoD Public Access Plan
- S&T Executives from the Services and DARPA approved the approach
- Defense Basic Research Advisory Group (DBRAG) Public Access Working Group (PAWG) is the lead in developing a Directive Type Memorandum (DTM) for intramural basic research
- Code of Federal Regulations (CFR) for extramural basic research, with DFARS and DoD Grant and Agreement Regulations (DoDGARS) changes
- DBRAG PAWG includes:
 - Army (Dr. James Harvey, ARO; Dr. Frank Lebeda, MEDCOM)
 - Navy (Joan Cleveland)
 - Air Force (Col. Robert Kraus)
 - DPAP (Sheila Harris)
 - DTRA (Joan Pierre)
 - DTIC (Roberta Schoen, Vakare Valaitis)

http://dtic.mil/dtic/pdf/DoD_PublicAccessPlan_Feb2015.pdf



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Public Access to Basic Research

Policy from top of DoD (Gates, Carter) and the White House Executive Order:
basic research should be public

DoDI 3200.20 “Scientific and Engineering Integrity,” July 26, 2012

“It is DoD policy to support a culture of scientific and engineering integrity.... To this end, the DoD shall (unless restricted by applicable Federal statutes or Executive orders)...

4.b. Maximize the free flow to the public of scientific and engineering information developed or used by DoD, consistent with applicable law and regulation”

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Benefits of Public Access

- Increased access to government-wide scholarly publications and scientific data, cost savings to DoD organizations
 - No need to buy back DoD funded content
 - Avoid duplication of effort
 - Build on research already performed and taxpayer paid for
- For researcher, helps spread their reputation farther
- Industry will have increased visibility of DoD research priorities
- Opportunity for industry to invest in DoD areas of interest
 - Technology transition to industry help the economy



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- DTIC funded Department of Energy/OSTI to create a version of their PAGES software for DOD (Publishers' CrossRef/CHORUS feed of DoD funded journal articles)
- Informational web page made available in Sep 2015 with links to search journal articles in technical reports database
- Author input for journal articles is available for DoD authors
- Dataset metadata fields and updated publication fields added to URED
- Data Management Plans can be uploaded to URED
- Working to bring the DOE GOTS software and site in-house to DTIC
- Hired a Public Access Librarian



Implementation Issues

- Publications:
 - DBRAG PAWG estimates roughly 40,000 DoD-funded journal articles per year and would more than double the number of documents DTIC currently handles per year
 - DTIC received a nominal POM increase to address Public Access; unfortunately cuts negate any real increase
 - DTIC is streamlining our input/processing system, working to develop and implement semantic technologies, and looking for authors to provide essential metadata
- Data Management Plans
 - Guidance delegated to the Service level



Implementation Issues

- Data Sets: DoD does not have experience in hosting research data sets and providing data sets to the public
- Issues:
 - Number and size (size could potentially mean digital data transmitted on physical media)
 - How to handle large data sets (over 2G); Exploring storing 2G and below at DTIC
 - Storage location
 - Funding (who funds? and how much?)
 - Ensuring sensitive information (national security, PII) is not released



DTIC Public Access Home Page

In This Section



Programs

Research

Corporate Source Search

DoD Public Access

DTIC Thesaurus Search

Resources

Training



DoD Public Access

Search terms entered below will yield a subset list of journal articles from the DTIC Technical Reports database.

Enter a term to search the DTIC TR collection:

Search

Clear Query

DoD's Implementation of Public Access

As DoD prepares to implement Public Access, the search above is provided to aid the public in the discovery of journal articles that are already part of the DTIC collection search. DoD's approach to Public Access will start with access to DoD-funded journal articles and associated datasets in intramural basic research (research that is performed by DoD personnel), then move on to implement public access for contractor and grantee-performed work. Metadata from datasets will be forwarded to data.gov.


In collaboration with the Department of Energy's Office of Scientific and Technical Information (OSTI), DoD has set up a prototype "DoD Public Access Search." This search includes an initial collection of published journal articles that refer to DoD funding. When DoD begins to receive manuscripts from authors of DoD-funded research, the manuscripts will be matched against the publishers' versions and combined citations will be shown.

[Access DoD Public Access Search](#)



CrossRef/CHORUS site of Publishers' DoD-funded Journal Articles

DTIC Home DoD Public Access Home DoD Home »



DoD Public Access Search

Search DoD funded public access journal articles from selected publishers

[+ Advanced Search](#)

This DoD Public Access Search provides access to journal articles that are the result of DoD funded research. This site is being developed for the Department of Defense in cooperation with the Department of Energy and is in an early beta stage.

- The database contains an initial collection of published journal articles and accepted manuscripts as a demonstration of its functionality and eventual expanded content.
- Additional metadata and links to published articles and accepted manuscripts will be added as they are submitted to the Defense Technical Information Center.
- When the DoD Public Access Search webpage moves beyond this proof of concept, it will offer distributed full-text access to all DoD-affiliated accepted manuscripts or articles after a 12 month embargo.

DoD is implementing a plan to provide the public with access to these journal articles in accordance with the Office of Science and Technology Policy (OSTP) memorandum, *Increasing Access to the Results of Federally Funded Scientific Research*, dated 22 February 2013.

Establishment of DoD policies and full implementation of the [public access](#) plan will be accomplished in incremental steps. We welcome your comments on this initial DoD Public Access Search.

Please send us your [feedback](#).

In addition, we welcome your [input](#) on additional articles to add to the DoD collection.



CrossRef/CHORUS site of Publishers' DoD-funded Journal Articles

DoD Public Access / Search Results / Page 1 of 21

Switch to Detail View for this search

Search for: water

Sort by Relevance ▼

« Prev ▼

Next »

Total Results 209

Publicly Available Full Text 185

Citation Only 24

Filtered Results

FILTER RESULTS

Filter by Author

SAVE RESULTS

Excel

CSV

XML

Have feedback or suggestions for a way to improve these results?
Let us know!

1. Nanoporous Superhydrophobic Coatings that Promote the Extended Release of **Water**-Labile Quorum Sensing Inhibitors and Enable Long-Term Modulation of Quorum Sensing in *Staphylococcus aureus*

Kratochvil, Michael J.; Tal-Gan, Yftah; Yang, Tian; Blackwell, Helen E.; Lynn, David M. (Oct. 2015, ACS Biomaterials Science & Engineering)

Full Text Available

2. Surface Properties of Nanocrystalline PbS Films Deposited at the **Water**-Oil Interface: A Study of Atmospheric Aging

Cant, David J. H.; Syres, Karen L.; Lunt, Patrick J. B.; Radtke, Hanna; Treacy, Jon; Thomas, P. John; Lewis, Edward A.; Haigh, Sarah J.; O'Brien, Paul; Schulte, Karina; et al (Feb. 2015, Langmuir)

Full Text Available

3. Irreversible Catalyst Activation Enables Hyperpolarization and **Water** Solubility for NMR Signal Amplification by Reversible Exchange

Truong, Milton L.; Shi, Fan; He, Ping; Yuan, Bingxin; Plunkett, Kyle N.; Coffey, Aaron M.; Shchepin, Roman V.; Barskiy, Danila A.; Kovtunov, Kirill V.; Koptiyug, Igor V.; et al (Dec. 2014, The Journal of Physical Chemistry B)

Full Text Available

4. Detection and Spatial Mapping of Mercury Contamination in **Water** Samples Using a Smart-Phone

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Public Access Interface for Journal Articles

ELECTRONIC CONTENT MANAGEMENT SYSTEM (ECMS)

DTIC's NEW Document Submission Process

CAC LOGIN IS REQUIRED: <https://www.DTIC.mil>

ECMS Offers:

- ✓ New Secure Simplified Document Input
- ✓ Improved Tracking and Management
- ✓ Immediate Modification to Existing Reports
- ✓ Instant Document Accession Number

**Accelerate
Research & Development
By Contributing Your
Reports Today!**



Electronic Document Submission Form



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Submitter, Author & Personnel

Document & Funding

Distribution & Controlling

Last

First

MI

Suffix

*Email Address

Are you the author? ☐ Yes ☐ No

+ Add Author

*Gov OR Mil Author

+ Add Author Affiliation

Next

WHAT?

- Technical Reports
- Journal Articles
- Security Classification Guides
- DoD Conference Proceedings

WHY?

- Required by DoD Instruction - DoDI 3200.12
- Increase laboratory and project visibility
- Avoid redundant research
- Raise your professional visibility

WHERE?

<http://www.dtic.mil/dtic/submit/submit.html>



Additional ways to submit can be found at:

http://www.dtic.mil/dtic/submit/types_of_submissions_to_dtic.html

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Public Access Fields in URED for Journal Articles and Data Set Metadata

Journal Articles (Optional)

Journal articles are optional. Articles published to journals related to the research project can be identified in the fields below. * Required Field
Multiple journal articles can be provided.

Add Journal Article

*Journal Title: *Date: (YYYY/MM/DD)
*Article Title: Volume:
Issue: *Page Numbers:
*Authors:
*Publisher: *DOI:

Add Journal Article

Datasets (Optional)

Dataset entry is optional. Datasets associated with the project are generally noted in the data management plan. If public, this information about the dataset will be added to the data.gov dataset catalog.

Add Dataset

*Title:

*Local Identifier:

*Description:

*Keywords/Subject Terms:

*Last Modified: (YYYY/MM/DD)

*Publisher:

*Point of Contact First Name: Organization POC for dataset POC Middle Name: Middle Name

*POC Last Name: Last Name POC Suffix: Jr., Sr., III, etc.

*POC Business Telephone: Ex. (111) 222-3333 *POC Business E-mail: Email

*Distribution Code:

*Distribution Reason:

*Access Level:

License:

*Rights:

Update Frequency: No updates

Access URL:

Download URL:

*Download File Type: Media type of download URL (e.g. application/pdf)

Dataset Size: Size of the data at the download URL Bytes

Add Dataset

Assign Existing Dataset

You may assign a dataset that was created in another Research Project.

Assign Existing Dataset

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Summary

- Public Access Goals:
 - Accelerate scientific breakthroughs and innovation
 - Promote entrepreneurship
 - Enhance economic growth and job creation
- DoD benefits from increased and no cost access to scholarly research publications and scientific data from government-wide R&D efforts
- Compliance is mandatory for all federal agencies with over \$100M in annual R&D expenditures
- DoD's approved Public Access Plan is available at:
http://dtic.mil/dtic/pdf/DoD_PublicAccessPlan_Feb2015.pdf
- Date for DTM with guidance not yet certain for Intramural Basic Research (6.1) efforts plus journal articles/publications and data to reproduce results
- Goal: Complete in 2019; apply to all DoD-funded research in peer reviewed journals and digital data validating research findings in all funding categories



Controlled Unclassified Information (CUI)

- Executive level mandate with NARA/ISOO as Executive Agent, to encourage sharing of information on the same basis across the federal government
- Covers all federal unclassified information protected in any way (PII, Proprietary, FOUO, etc.) and all types of materials (documents, email, web, video)
- 2 types of CUI:
 - CUI Basic: Like FOUO now, where it can be given to someone with a business need
 - Will need to mark each page with Banner “CONTROLLED” or “CUI”
 - CUI Specified: Needs specific protection under statute, regulation, or government-wide policy
 - Will need to mark each page with banner “CONTROLLED/SP-PROPRIETARY” or “CUI/SP-PROP”



Controlled Unclassified Information (CUI)

- Not required for legacy documents until “reused”
- NARA and DoD have agreed that the S&T distribution statements will still be used on the covers of S&T documents
- Decontrol does NOT mean Public Release (review for public release before any change)

Distribution/Classification

Distribution Code: A - UNLIMITED DISTRIBUTION
Secondary Distribution: Distribution Statement A: Approved for public release; distribution is unlimited.
Export Control: No
For Pay: No
Copyrighted - No Govt Rights: No
Classification: UNCLASSIFIED
Citation Classification: Unclassified

Distribution authorized to U.S. Government agencies only

Distribution Code: 02 - U.S. GOVT. AND THEIR CONTRACTORS
Distribution Statement: Distribution authorized to U.S. Gov't. agencies and their contractors; Administrative/Operational Use; DEC 2010. Other requests shall be referred to Office

Distribution Statement B

Distribution authorized to U.S. Government agencies only: critical technology / proprietary data; 24 Oct 2008. Other requests

12. DISTRIBUTION/AVAILABILITY STATEMENT

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13. SUPPLEMENTARY NOTES

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Controlled Unclassified Information (CUI)

Issues:

- NARA is allowing agencies to decide on whether to require portion-marking of CUI (“CUI” or “CUI/SP- ” marking on every paragraph), and **currently, DoD is going to require it**
- Controlled Basic materials need a person in the loop, so hard to disseminate in an automated system
- There are many CUI categories, some are CUI Basic but many Specified too

Status:

- Announced in Federal Register summer 2015. NARA hopes to have final guidance by March 2016.
- Then DoD needs to rewrite DoDM 5200.1 Vol. IV on CUI (work already in progress to rewrite it)

A B C D E F G H I J K L M N O **P** Q R S T U V W X Y Z

Portion - Ordinarily a paragraph, but including subjects, titles, graphics, tables, charts, bullet statements, sub-paragraphs, bullets and other portions within slide presentations, etc.

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Takeaways on CUI

- Existing practices for sensitive unclassified/limited information remain in effect until the CUI marking implementation in DoDM 5200.1 Vol IV
- All CUI categories and protection measures will be in the CUI Registry at <http://www.archives.gov/cui>
- S&T Distribution Statements from DoDI 5230.24 will still be used



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Controlled Unclassified Information (CUI)

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Questions



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BACK-UP SLIDES

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Original DoD Plan

January 2016

January 2017

January 2018

January 2019

Intramural DoD Research

Extramural DoD Research

Intramural DoD Research

Extramural DoD Research

- Applies to basic research (6.1 only) and defense health research program
- Access to peer-reviewed scholarly publications
- Access to digital data that underlies scholarly publication in a peer reviewed journal

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- Applies to all funding categories
- Access to peer-reviewed scholarly publications
- Expand access to all digital data validating research findings

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