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Scientific/Research and Development

THE WORK UNIT INFORMATION SYSTEM

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This instruction implements Air Force Policy Directive (AFPD) 61-2, *Management of Scientific and Technical Information*, Department of Defense Directive (DoDD) 3200.12, *DoD Scientific and Technical Information Program*, 15 February 1983, and DoD 3200.12-R-1, *Research and Technology Work Unit Information System Regulation*, 5 August 1983. It establishes procedures for compiling and submitting information to, and searching, the Work Unit Information System (WUIS), and specifies the frequency and timeliness of preparation and input. The report control symbol (RCS) for WUIS is DD-A&T (AR)-636.

SUMMARY OF REVISIONS

This instruction updates, clarifies, and streamlines previous guidelines relating to the WUIS.

1. Background. The Defense Technical Information Center (DTIC) maintains WUIS, a work-in-progress database that stores separate records (Work Unit Information Summaries) on distinct, individual in-house and extramural efforts (i.e., contracts, grants, Cooperative Research and Development Agreements). A Work Unit Information Summary is a set of data elements that describes, for distinct Research, Development, Test, and Evaluation (RDT&E) efforts, what is being accomplished, the performer, location, sponsor, cost, and progress-to-date. Government and industry investigators search the WUIS to identify others working in similar areas, to exchange information rapidly, to coordinate efforts with colleagues, and to keep up to date on research in their fields.

2. Responsibilities.

2.1. SAF/AQT is the Air Force office of primary responsibility (OPR) for WUIS. It determines reporting requirements and exceptions and, together with DTIC, approves submission methods.

2.2. The local Scientific and Technical Information (STINFO) officers (or WUIS focal points) develop internal controls for preparing and submitting Work Unit Information Summaries and for conducting literature searches.

2.3. Air Force personnel (primarily principal investigators, program managers, and contracting officer's technical representatives):

2.3.1. Prepare Work Unit Information Summaries of their separate and distinct works-in-progress.

2.3.2. Forward their summaries to the local office identified by the commander as responsible for sending them to DTIC or entering the data electronically. *Note: Activities can extract the required information from local management information systems, eliminating the need to compile the information separately.*

2.3.3. Conduct literature searches and maintain copies of literature search statistical pages and keyword strategies in the project file or R&D case file for documentation and future reference. Include the search control numbers and dates, and the rationale for searching additional sources.

3. Literature Search Requirements. Local STINFO officers make sure that Air Force personnel in their organizations search the DoD RDT&E On-Line System (DROLS, which comprises WUIS, technical reports, and Independent Research and Development), commercial databases, and the open literature prior to (but within one year of):

- Initiating any in-house effort.
- Arranging for work to be performed by other Government agencies.
- Requesting contractual services.

EXCEPTION: In the case of a Broad Agency Announcement (BAA), you only need to search the literature to support the decision to award a contract resulting from proposals that you receive in response to the BAA.

- Making significant changes to on-going efforts.
- Confirming the uniqueness of subject matter and innovations of unsolicited proposals.

4. Reporting Requirements.

4.1. Air Force RDT&E activities (laboratories, product centers, logistics centers, and test centers) prepare Work Unit Information Summaries of each technically distinct in-house and extramural RDT&E, engineering, and logistics effort regardless of program, program category, or appropriation. These efforts include:

- Contracts (including Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) contracts).
- Grants awarded for R&D.
- Cooperative Research and Development Agreements (CRDAs).
- Studies and analysis efforts and Contracted Advisory and Assistance Services (CAAS).
- Technically distinct tasks under task-order contracts.
- Cooperative agreements and other transactions.

4.2. Responsibilities When Transferring Funds To, and Receiving Funds From, Other Government Agencies.

4.2.1. When an Air Force activity transfers funds to a non-DoD Government agency, or otherwise sponsors non-DoD Government-agency work, the Air Force activity prepares the summa.

4.2.2. When an Air Force activity transfers funds to a DoD agency (for example through a procurement directive, purchase order, or Military Interdepartmental Purchase Request), or otherwise sponsors DoD agency work, the performing DoD agency prepares the summary when the sponsoring Air Force activity requests. Otherwise the sponsoring Air Force activity prepares the summary.

4.2.3. When an Air Force activity receives funds from, or does work for, another DoD agency, the Air Force activity prepares the summary when the sponsoring DoD agency requests.

4.3. Maximizing Access To, and Use By, the Dod Contractor Community. Because planned expenditures or levels of planned obligations cannot be released outside DoD, keep summaries releasable by leaving this information out whenever possible. Also, describe classified efforts in unclassified terms whenever possible to maximize dissemination of the information.

4.4. Updating Work Unit Information Summaries. Air Force personnel update summaries annually, when a significant change occurs, or when completing or terminating an effort. They document technical progress and major milestones in the updated summary.

4.5. Closing Out. Air Force personnel prepare a final summary and a final technical report after completing an effort. Include the abstract from the final report and the technical report number. If there is no technical report, explain why.

5. Exceptions to Reporting and Literature Searches. Air Force personnel do not need to submit summaries nor perform literature searches for:

- Procurement of supplies or equipment, except when provided to an academic institution. (This satisfies the requirement for DoD to submit information to the Committee on Academic Science and Engineering (CASE) reporting system.)
- Ongoing, repetitive data collection and analyses.
- Equipment installations. *Note: Other guidance may require literature searches for computer equipment in connection with a Computer System Requirements Document.*
- Programming or computational support.
- Maintenance and support services.
- Routine engineering (including engineering, mathematical, or design calculations, or routine, repetitive (non-original or non-innovative) or supporting analyses).
- Efforts involving strategic intelligence data analysis, where the sharing of such information could compromise the national security.
- Conducting conferences and symposia.
- Training.

6. Procedures.

6.1. When to Submit Work Unit Information Summaries.

6.1.1. Submit a summary within 30 working days of:

- Getting approval to initiate, change, complete, or terminate an in-house effort.
- Awarding a contract or grant, or changing or supplementing an existing contract or grant that affects the description of work, level of funding, identity of a principal investigator, or duration of the effort.
- Transferring funds to a Government agency.
- Making changes to, completing, or terminating an effort.

NOTE:

Review, revise, or update the information in each summary at least once a year to report progress.

6.2. How to submit Work Unit Information Summaries.

6.2.1. Unclassified summaries: Enter these summaries in the system by using any method acceptable to DTIC and SAF/AQT.

6.2.2. Classified summaries: Enter classified summaries via a dedicated classified terminal in accordance with DTIC guidance. ***Note: Personnel who do not have access to dedicated classified terminals mail hard copies of classified summaries to: The Defense Technical Information Center, ATTN: DTIC-HDR, Cameron Station, Alexandria, VA 22314-6145.***

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the Air Force for Acquisition

Attachment 1

GLOSSARY OF REFERENCES, ABBREVIATIONS, ACRONYMS, AND TERMS

References

AFPD 61-2, *Management of Scientific and Technical Information*

DoDD 3200.12, *DoD Scientific and Technical Information Program*

DoD 3200.12-R-1, *Research and Technology Work Unit Information System Regulation*

Abbreviations and Acronyms

BAA—Broad Agency Announcement

CAAS—Contracted Advisory and Assistance Services

CASE—Committee on Academic Science and Engineering

CRDA—Cooperative Research and Development Agreement

DROLS—DoD RDT&E On-Line System

DTIC—Defense Technical Information System

RDT&E—Research, Development, Test, and Evaluation

SBIR—Small Business Innovation Research

STINFO—Scientific and Technical Information

STTR—Small Business Technology Transfer

WUIS—Work Unit Information System

Terms

DROLS—A master database maintained by the Defense Technical Information Center that comprises the Work Unit Information System and the technical report and Independent Research and Development databases.

Work Unit—The smallest segment into which RDT&E efforts are divided for local administration or control. Each work unit has a specific objective, definite duration, and results in an end product. It is technically distinct in scope, objective, and duration from other RDT&E efforts with which it may be aggregated for either financial, administrative, or contracting purposes.