

Army Regulation 70-21
DLAR 4185.10
NAVMATINST 3900.15
AFR 80-39
MCO 5512.9

**CERTIFICATION
AND
REGISTRATION
FOR ACCESS
TO DoD
SCIENTIFIC
AND
TECHNICAL
INFORMATION**

Headquarters
Departments of the Army, the Defense
Logistics Agency, the Navy, the Air Force,
and the Marine Corps
Washington, DC
5 May 1977

UNCLASSIFIED

SUMMARY of CHANGE

AR 70-21/DLAR 4185.10/NAVMATINST 3900.15/AFR 80-39/MCO 5512.9
CERTIFICATION AND REGISTRATION FOR ACCESS TO DoD SCIENTIFIC AND TECHNICAL
INFORMATION

This regulation --

- o Combines DLAR 4185.10 and DLAM 4185.3 into one regulation.
- o The procedures in DLAM 4185.3 by which users register for access to DoD "STINFO" are included in this regulation. The four appendices in DLAM 4185.3 are included in DLAH 4185.3, Organizations Which Provide, Certify, and Approve Access to Scientific and Technical Information, for ease in updating changes in organizations and their addresses without joint coordination.
- o The definition of "STINFO" was standardized to meet the Joint Chiefs of Staff (JCS) Pub. I definition, but it also includes the broader definitions of the former Committee on Scientific and Technical Information (COSATI). The acronym "S&TI" was replaced by "STINFO."
- o DoDD 5200.15 and DIAR 50-1 and a related policy statement, paragraph III G, were added.

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CERTIFICATION AND REGISTRATION FOR ACCESS TO DoD SCIENTIFIC AND TECHNICAL INFORMATION

BY ORDER OF THE DIRECTOR



J. J. McALEER, JR.
Colonel, USA
Staff Director, Administration

History. This publication includes references to Defense Supply Agency (DSA) publications using the letters DLA, even though the publication itself still bears the DSA identifier, e.g., DLAM 4185.3 for DSAM 4185.3. This publication has been organized to make it compatible with the Army electronic publishing database. No content has been changed.

Summary. This regulation establishes procedures whereby U.S. Government Departments and Agencies and their contractors, subcontractors, grantees, and DoD potential contractors, hereinafter designated as users, may become certified and registered for access to controlled scientific and technical information ("STINFO") available from DoD information dissemination activities.

Applicability. The provisions of this regulation are applicable to, have been coordinated with and concurred in by the Military Services, Defense Agencies, and representatives of non-DoD offices designated to approve and certify applications for access to DoD "STINFO".

Proponent and exception authority. Army management control process.
Not applicable.

Supplementation. Supplementation is permitted at all DLA levels; supplementation by Navy and Marine Corps field activities is prohibited.

Suggested Improvements. Users are invited to send comments and suggested changes on DA Form 2028 (Recommended Changes to Publications and Blank Forms) through command channels to Chief, Troop Support Division, Office of the Deputy Chief of Staff for Logistics, ATTN: DALO-TST, 500 Army Pentagon, Washington DC 20310-0500.

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* This DLAR supersedes DLAR 4185.10, 10 Mar 69; DLAM 4185.3, 1 Nov 71; and AR 70-21, 13 Feb 70.

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I. REFERENCES

- a. DoD Instruction 5200.21, Certification for Access to Scientific and Technical Information.
- b. DoD Directive 5100.36, DoD Technical Information.
- c. DoD Instruction 5100.38, Defense Documentation Center for Scientific and Technical Information.
- d. DoD Instruction 5129.43, Assignment of Functions for the Defense Scientific and Technical Information Program.
- e. DoD Directive C-5200.5, Communications Security.
- f. DoD Directive S-3115.7, Signals Intelligence.
- g. DoD 5200.1-R, Information Security Program Regulation.
- h. DoD Directive 5200.20, Distribution Statements on Technical Documents.
- i. DoD Directive 5400.7, Availability to the Public of DoD Information.
- j. DoD Instruction 5025.9, Control and Protection of "For Official Use Only" Information.
- k. DoD 5220.22-R, Industrial Security Regulation.
- l. DoD Directive 5200.15, Control of Dissemination of Foreign Intelligence.
- m. DIA Regulation 50-1, Release of Classified Intelligence Material to U.S. Contractors.

II. PURPOSE AND SCOPE

a. This regulation establishes procedures whereby U.S. Government Departments and Agencies and their contractors, subcontractors, grantees, and DoD potential contractors, hereinafter designated as users, may become certified and registered for access to controlled scientific and technical information ("STINFO") available from DoD information dissemination activities as defined in paragraph IV B below.

b. The provisions of this regulation are applicable to, have been coordinated with and concurred in by the Military Services, Defense Agencies, and representatives of non-DoD offices designated to approve and certify applications for access to DoD "STINFO" (enclosure 1). These provisions do not apply to primary distribution, interlibrary loans, distribution of unclassified-unlimited technical reports, nor unless specifically authorized, to "STINFO" which is excluded from the scope of DoDI 5100.38. "STINFO" categorized as TOP SECRET, Cryptographic and Communications Security, and Foreign Intelligence Material, unless specifically authorized, is excluded from the scope of DoDI 5100.38.

c. When properly executed, the DoD forms established by this regulation will be used by dissemination activities as their authority to control dissemination of "STINFO" as defined in paragraph IV D. The access afforded through use of these forms does not override special considerations or approvals that affect the flow of controlled information as defined in paragraph IV A.

III. POLICY

a. Access to "STINFO" available from DoD information dissemination activities is granted those organizations, which have registered their official requirements with the Defense Documentation Center (DDC) for such material. Contractors, subcontractors, grantees, and potential contractors must have a current Government contract or have qualified as a potential contractor prior to executing DD Form 1540, Registration for Scientific and Technical Information Services.

b. Certification for access to classified "STINFO" shall be according to subject fields and groups of interest as recorded on the DD Form 1540. Such certification is a warranty that the user's official responsibilities require access to technical information which can be described by one or more of the prescribed fields or groups.

c. Personnel selected to authorize DD Form 1540 shall have the technical competence and familiarity with contractor or grantee programs necessary to judge the subject fields-of-interest of the applicant.

d. U.S. Government contractors, subcontractors, grantees, and DoD potential contractors must execute a DD Form 1540 for each contract, grant or potential contractor program requiring access to STTNFO.

e. When access to classified "STINFO" is required by U.S. Government contractors, subcontractors, grantees, and DoD potential contractors, a DD Form 1541, Facility Clearance Register, also must be executed.

f. When access to classified "STINFO" is required by an activity of Military Service or Defense Agency, the Commanding Officer, Technical Director, or authorized designee whose signature appears in Part III of DD Form 1540, will ensure that the activity requesting the STTNFO has a required need-to-know.

g. The restriction on dissemination of "STINFO"-related foreign information as promulgated in DoDD 5200.15 and the release of intelligence material to U.S. contractors as prescribed in DIAR 50-1 will be adhered to.

IV. DEFINITIONS

a. *Controlled Information.* A generic term which includes all information which is subject to some official restriction on its unlimited dissemination. This includes information subject to protection by security regulations, DoD 5200.1-R; for proprietary, ethical, privileged, or certain administrative reasons, DoDD 5200.20; against unauthorized

disclosure of certain official information, DoDD 5400.7 and DoDI 5025.9; and for reasons requiring special access controls as may be provided by other DoD directives, instructions, and/or the Privacy Act.

b. DoD Information Dissemination Activity. A DoD activity or DoD sponsored activity, such as DDC, an Information Analysis Center (IAC), a major technical library, or any secondary distribution or release activity, which provides technical information to eligible users beyond the local unit.

c. DoD Potential Contractor. An individual or organization outside DoD declared eligible for documentation services by a sponsoring DoD activity on the basis of participation in a Potential Defense Contractor Program. These programs are the Air Force Potential Contractor Program, the Department of Navy/Industry Cooperative R&D Program, the Army Qualitative Requirements Information Program, and the Defense Advanced Research Projects Agency Potential Contractor Program.

d. Scientific and Technical Information (“STINFO”).

(1) Information which relates to research, development, engineering, test, evaluation, production, operation, use, and maintenance of munitions and other military supplies and equipment.

(2) Information concerned with the study of natural phenomena or related to the study, practices, methodology, or procedures involved in any art, science, trade, or profession. The related bibliographies, indexes, announcements, and state-of-the-art studies are also included.

e. Secondary Distribution. Any distribution or disclosure of a technical report subsequent to primary distribution. This usually occurs as a result of a request and includes the loan of a report as well as its outright release.

V. SIGNIFICANT CHANGES

a. This regulation combines DLAR 4185.10 and DLAM 4185.3 into one regulation.

b. The procedures in DLAM 4185.3 by which users register for access to DoD “STINFO” are included in this regulation. The four appendices in DLAM 4185.3 are included in DLAH 4185.3, Organizations Which Provide, Certify, and Approve Access to Scientific and Technical Information, for ease in updating changes in organizations and their addresses without joint coordination.

c. The definition of “STINFO” was standardized to meet the Joint Chiefs of Staff (JCS) Pub. I definition, but it also includes the broader definitions of the former Committee on Scientific and Technical Information (COSATI). The acronym “S&TI” was replaced by “STINFO.”

d. DoDD 5200.15 and DIAR 50-1 and a related policy statement, paragraph III G, were added.

VI. RESPONSIBILITIES

a. The Executive Director, Technical and Logistics Services, DLA (DLA-S) will:

(1) Monitor the registration and certification program.

(2) Provide policy direction on matters of certification for access to “STINFO,” other than security, and refer certification matters to the Director of Defense Research and Engineering (DDR&E) in those instances where required.

b. The Administrator, Defense Documentation Center will:

(1) Maintain the central file of organizations registered for access to “STINFO.”

(2) Notify DoD information dissemination activities of organizations registered for access to “STINFO” and the prescribed fields and groups of information that the registered organizations are eligible to receive.

(3) Notify registered organizations 60 days prior to expiration of eligibility for access to “STINFO” to advise DDC in writing of the requirement for continuation of eligibility.

(4) Maintain currency of DLAH 4185.3 containing names and addresses of:

(a) DoD Information Analysis Centers.

(b) Potential Defense Contractor Programs and Points of Initial Contact.

(c) Defense Contract Administration Services Regions (DCASRs) and operational areas of CAS Security Cognizance Offices.

(d) Non-DoD offices designated to approve DD Form 1540.

c. The Commanders, Defense Contract Administration Services Regions will certify and submit DD Forms 1541, to DDC.

d. The Military Services and Defense Agencies will:

(1) Instruct and assist their sponsored activities in obtaining services from DoD information dissemination activities.

(2) Comply with the provisions of this regulation.

VII. PROCEDURES

a. DD Form 1540 will be prepared by all prospective DDC users and submitted for certification of security classification levels and need-to-know “STINFO” requirements to the nearest appropriate certifying official listed in DLAH 4185.3.

b. U.S. Government contractors, subcontractors, grantees, and DoD potential contractors requiring access to classified “STINFO,” who do not already have a DD Form 1541 on record at DDC for each location at which classified

“STINFO” is required, will submit DD Form 1541 to the DCASR serving as their cognizant security office for certification and submission to DDC.

c. DLA Form 553, Central Index File Card-Facility, will be completed by DCASRs to notify DDC of changes in conditions affecting a registered facility’s clearance of safeguarding ability. A new DD Form 1541 will be completed by DCASRs to notify DDC of changes in name and/or location of a registered facility.

d. General instructions for the use and submission of DD Forms 1540 and 1541, covering certification and registration for unclassified “STINFO” services, are contained in DoD 5220.22-R, paragraph 2-116j. Procedural details for completion of these forms are contained in enclosure 2.

2 Encl

1. Certification of DD Form 1540
2. Procedures for Certification and Registration for Scientific and Technical Information Services of the Department of Defense

Appendix E-1
 Enclosure 1—CERTIFICATION OF DD FORM 1540

CERTIFICATION OF DD FORM 1540

<u>ORGANIZATION</u>	<u>CERTIFYING OFFICIAL</u>
<u>Department of Defense:</u>	
Components and Agencies	Commanding Officer, Technical Director or other designated official
Contractors and Grantees	*Procuring Contracting Officer (PCO) or other designated official
Subcontractors	**Prime contractor approves plus PCO or other designated official certifies
Potential Contractors	Program Sponsor and/or delegated Program Sponsoring Activity
<u>Non-DoD Executive Branch:</u>	
Agencies	Designated Approving Official
Contractors and Grantees	Sponsoring organization's Designated Approving Official
Subcontractors	Prime contractor approves plus Sponsoring organization's Designated Approving Official certifies

* The Administrative Contracting Officer (ACO) may certify DD Form 1540 if the PCO has so authorized. The PCO will notify DDC, in writing, of such authorization.

** The ACO may certify DD Form 1540 provided he/she verifies that the particular field of interest is required in the performance of the subcontract and is within the scope of the field of interest previously approved by the PCO on the prime contract. If no field of interest has been established on the prime contract, the subcontractor's request must be certified by the PCO.

Figure E-1. CERTIFICATION OF DD FORM 1540

ORGANIZATION

CERTIFYING OFFICIAL

Legislative and Judicial Branch:

Agencies	<u>For classified service</u> , submit DD Form 1540 to the Director of Defense Research and Engineering (Research and Advanced Technology). For unclassified service, submit DD Form 1540 to DDC.
Contractors and Grantees	<u>For classified and unclassified services</u> , submit DD Form 1540 to sponsor for certification and forwarding to the Director of Defense Research and Engineering (Research and Advanced Technology).
Subcontractors	<u>For classified and unclassified services</u> , submit DD Form 1540 to prime contractor for approval and forwarding to sponsor who must certify and forward the DD Form 1540 to the Director of Defense Research and Engineering (Research and Advanced Technology).

Figure E-1. Enclosure 1—CERTIFICATION OF DD FORM 1540—Continued

Appendix E-2

PROCEDURES FOR CERTIFICATION AND REGISTRATION FOR SCIENTIFIC AND TECHNICAL INFORMATION SERVICES OF THE DEPARTMENT OF DEFENSE

I. PURPOSE AND SCOPE

a. This enclosure describes procedures by which applicants register for access to DoD “STINFO” through DDC, the National Security Agency Reference Center for Scientific and Technical Information (NSAREF), and DoD IACs (DLAH 4185.3, Part I, Information Analysis Centers). It also provides for certification of need-to-know and access to Restricted Data and/or Critical Nuclear Weapons Design Information (CNWDI) by Certifying Officials listed in DoDD 5210.2, Access to and Dissemination of Restricted Data, enclosure 2.

b. U.S. Government departments and agencies and their contractors, subcontractors, and grantees who register with DDC are generally eligible to receive the services provided by DDC, NSAREF, and the IACs. DoD potential contractors who are approved participants in the various DoD Potential Contractor Programs may be eligible under the same provision (DLAH 4185.3, Part II, DoD Potential Contractor Programs, Points of Initial Contact).

II. GENERAL INFORMATION

a. To become established for “STINFO” services, applicants must register in accordance with procedures outlined in paragraph III, Instructions for Certification and Registration. Each applicant should be the representative of an organization and, if possible, it’s sole representative in dealing with DDC. It is desirable that a central point be established within each organization for communication with DDC, NSAREF, and the IACs.

b. Security procedures for handling classified DoD Information in custody of contractors, subcontractors, grantees,

and potential contractors are specified in DoD 5220.22-M, Industrial Security Manual for Safeguarding Classified Information, which is provided to organizations that are granted a facility clearance, and is also sold by the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

c. The DD Forms 1540 and 1541 serve as the official certification and registration forms for DoD "STINFO" services. The DD Form 1540 is furnished in 5-part sets and the DD Form 1541 in 3-part sets. Both are printed on carbonless paper. Distribution of the completed DD Form 1540 should be made in accordance with the Copy Designation shown on the form. In some instances an applicant may not be required to distribute all copies of the DD Form 1540, in which case the surplus copy (ies) may be discarded. A copy of the certified DD Form 1540 is returned to the originator by DDC to inform him that the contract is in the system. See paragraph III regarding your particular requirements. Requests for supplies of forms as well as questions regarding registration procedures and changes to existing registration data should be directed to:

Defense Documentation Center
ATTN: DDC-TSR
Cameron Station, Bldg. 5
Alexandria, VA 22314

d. DD Form 1540 is submitted to the appropriate certifying official listed in enclosure 1 for certification for access to classified and/or unclassified services.

(1) DD Form 1540, Part IV, Subject Fields of Interest, is to be completed for classified services. The applicant circles the number codes in part IV, which represent the fields of interest pertinent to work being performed and for which the information is being requested. Contractors' fields of interest must correspond to the work being performed under the contract cited in part 1, item 7. The selection of fields of interest is based upon the applicant's need-to-know requirements. Certification according to subject fields is a warranty that the user's official responsibilities require access to technical information which can be described by one or more of the prescribed fields and groups. The COSATI Subject Category List (DoD Extended), AD-624 000, provides descriptions of the subject coverage of the fields and groups shown on the reverse side of DD Form 1540.

(2) In addition to denoting the highest level of classified information required in DD Form 1540, part I, item 9, the Restricted Data, CNWDI, and/or NATO Classified blocks should also be checked if such information is required and authorized. Any item in block 9 not authorized will be lined out by the individual whose signature appears in DD Form 1540, block 18.

e. Information concerning services available from DoD IACs and NSAREF may be obtained by writing to the particular activity (DLAH 4185.3, part I). These centers generally provide services to eligible users listed in the DoD Dissemination Authority List (derived from data submitted to DDC on DD Form 1540 and, where required, DD Form 1541) and normally do not require additional registration data.

f. Prior to registration for DDC services as a potential contractor, contact shall be made with the appropriate DoD component's point of initial contact (DLAH 4185.3, part II) for information regarding the component's specific procedures for registration as a potential contractor.

III. INSTRUCTIONS FOR CERTIFICATION AND REGISTRATION

a. DoD and DoD-Sponsored Organizations

(1) DoD Organizations (Military Services and DoD Agencies and Components)

(a) For classified services complete and distribute the DD Form 1540 as follows:

1. Part I, complete all items except item 7. (In item 8 the Expiration Date is 1 year from Date of Request in item 6.)
2. Part II, leave all items blank.
3. Part III, complete item 15.
4. Part IV, circle the number codes which represent the pertinent subject fields of interest (based upon need-to-know requirements).

5. Retain gold copy of DD Form 1540.

6. Discard pink copy of DD Form 1540.

7. Submit remaining copies of the completed DD Form 1540 to the organization's Commanding Officer, Technical Director, or authorized designee for certification and approval of part III, items 16 through 19. The Commanding Officer, Technical Director, or authorized designee reviews, approves, disapproves, or modifies and approves, forwards two approved copies to DDC, and retains the yellow copy.

(b) For unclassified services, follow procedures for classified services in subparagraph I a above, but omit (4). NOTE: DoD organizations are required to complete part IV on unclassified services registration if they intend to request output products from the Independent Research and Development Data Base.

(c) For continuation of services, comply with DDC's annual recertification notice. If reply is not received, indicating that services are desired for another year, DDC user eligibility will terminate on the Expiration Date. If registration information has changed since certification or recertification, submit a new DD Form 1540 to update registration data.

(2) *DoD Contractors and Grantees*

(a) *For classified services*, complete and distribute the DD Form 1540 as required in subparagraph (1) below. Applicants must submit a separate DD Form 1540 for each contract or grant. If applicant's facility clearance is not on record at DDC, complete DD Form 1541 as listed in subparagraph (2) below. A record of facility clearance and safeguarding ability must be on file at DDC before classified information will be released to an applicant.

1. Completion and distribution of DD Form 1540:

- a. Part I, complete all items.
- b. Part II, leave all items blank.
- c. Part III, complete item 15.
- d. Part IV, circle the number codes which represent the pertinent subject fields of interest (based upon need-to-know requirements).
- e. Retain gold copy of DD Form 1540.
- f. Discard pink copy of the DD Form 1540.
- g. Submit remaining copies of the completed DD Form 1540 to the U.S. Government PCO for certification and approval in part III, items 16 through 19. The PCO reviews, approves, forwards two approved copies to DDC, and retains the yellow copy. The U.S. Government ACO may certify the contractors need-to-know if the PCO has authorized him/her to sign the DD Form 1540 and notified DDC in writing of the delegation of this Foreign-based DoD contractors will transmit requests for classified "STINFO" through appropriate DoD foreign release offices under established release procedures. Release of classified "STINFO" to Internationally Sponsored Research Centers and activities may be made only upon approval and in accordance with terms provided by DDR&E.

2. Completion and distribution of DD Form 1541:

- a. Part I, complete all items. (Information in items 1 and 2 must be identical to information in DD Form 1540, part I, items 1 and 2).
- b. Submit two copies of the completed DD Form 1541 to the cognizant Office of Industrial Security (OIS) in the appropriate DCASR for certification (DLAH 4185.3, Part III, Defense Contract Administration Services Regions and Operational Areas of DCAS Security Cognizance Offices). The OIS completes part II, forwards an approved copy of DD Form 1541 to DDC indicating the category of classified material that the contractor is cleared to receive and store, and retains an information copy.

(b) *For unclassified services*, follow procedures for classified services in paragraph III A 2 a (1) but omit (d). Foreign-based DoD contractors may be registered for *unclassified services only*. To register, foreign-based DoD contractors must complete part I, and item 15, part III of DD Form 1540, retain gold copy, and submit remaining copies to the U.S. Government PCO for certification in part III, items 16 through 19. The PCO retains yellow copy and forwards remaining approved copies to DDC.

(c) *For continuation of services*, comply with DDC's expiration notice. If the Government sponsor does not advise DDC of a new contract or grant expiration date, DDC user eligibility under that particular contract or grant will terminate on the date indicated on the DDC expiration notice. If registration information has changed since certification or recertification, submit a new DD Form 1540 to update registration data.

(3) *DoD Subcontractors*

(a) *For classified services*, complete and distribute the DD Form 1540 as listed in subparagraph (1) below. Applicants must submit a separate DD Form 1540 for each contract. If applicant's facility clearance is not on record at DDC, complete and distribute the DD Form 1541 as listed for DoD contractors in paragraph III A 2 a (2) above. A record of facility clearance and safeguarding ability must be on file at DDC before classified information will be released to an applicant.

1. Completion and distribution of DD Form 1540:

- a. Part I, complete all items. In item 7 (Contract/Grant/or Program No.) cite the prime contract number.
- b. Parts II and III, leave all items blank.
- c. Part IV, circle the number codes which represent the pertinent subject fields of interest (based upon need-to-know requirements).
- d. Retain gold copy of DD Form 1540.
- e. Submit remaining copies to the prime contractor.
- f. Prime contractor completes all items in part II, item 15 of part III, retains pink copy of DD Form 1540 and submits remaining copies to the U.S. Government PCO for completion of items 16 through 19 in part III. The PCO reviews, approves, disapproves, or modifies and approves, forwards two approved copies to DDC, and retains the yellow copy. The U.S. Government ACO may certify the contractor's need-to-know if the PCO has authorized him/her to sign the DD Form 1540 and notified DDC in writing of the delegation of this authority.

(b) *For unclassified services*, follow procedures for classified services in paragraph III A 3 a (1) but omit (c).

(c) *For continuation of services*, comply with DDC's expiration notice. If the Government sponsor does not advise DDC of a new contract or grant expiration date, DDC user eligibility under that particular contract or grant will

terminate on the date indicated on the DDC expiration notice. If registration information has changed since certification or recertification, submit a new DD Form 1540 to update registration data.

(4) DoD Potential Contractors

(NOTICE: Prior to registration for DDC services, potential contractors must be registered with a DoD component. Information on how to register as a DoD potential contractor may be obtained from any of the DoD initial contact points listed in DLAH 4185.3, part II.)

(a) For classified services, follow instructions for registration of DoD contractors in paragraph III A 2 a except submit the required copies of the DD Form 1540 for certification in accordance with procedures applicable, to their appropriate Potential Contractor Program.

(b) For unclassified services, complete part I and item 15 of part III of DD Form 1540. Retain gold copy, discard pink copy, and submit remaining copies for certification in part III, items 16 through 19 in accordance with procedures applicable to the appropriate potential contractor program. The certifying official forwards two approved copies to DDC and retains the yellow copy of the DD Form 1540.

(c) For continuation of services, comply with DDC's expiration notice. If the Government sponsor does not advise DDC of a new policy agreement date, DDC user eligibility under the policy agreement will terminate on the date indicated on the DDC expiration notice. If registration information has changed since certification or recertification, submit a new DD Form 1540 to update registration data.

b. Non-DoD Executive Branch Organizations and Sponsored Organizations

(1) Non-DoD Executive Branch Organizations

(a) For classified services, complete part I, items 1 through 6, 8, and 9, and part IV of DD Form 1540. (In item 8 the Expiration Date is 1 year from the Date of Request in item 6.) (If Restricted Data or CNWDI is required in item 9, non-DoD Government organizations must have the Energy Research and Development Administration (ERDA) provide DDC with the names of personnel who have been cleared to receive Restricted Data and/or CNWDI.) Retain gold copy, discard pink copy and submit remaining copies to the organization's designated approving office (DLAH 4185.3, part IV) for certification in part III. The approving official reviews, approves, disapproves, or modifies and approves, forwards two approved copies of DD Form 1540 to DDC, and retains the yellow copy.

(b) For unclassified services, follow procedures for classified services in paragraph III B 1 a, but omit the marking of subject fields of interest in DD Form 1540, part IV.

(c) For continuation of services, comply with DDC's annual recertification notice. If reply is not received, indicating that services are desired for another year, DDC user eligibility will terminate on the Expiration Date. If registration information has changed since certification or recertification, submit a new DD Form 1540 to update registration data.

(2) Non-DoD Executive Branch Contractors and Grantees

(a) For classified services, complete part I, item 15 of part III, and part IV of DD Form 1540. Applicants must submit a separate DD Form 1540 for each contract or grant. (If Restricted Data or CNWDI is required in item 9, the individual whose name appears on the attention line in item 3 must have been cleared by ERDA to receive Restricted Data and/or CNWDI. The individual's name also must have been supplied to DDC by ERDA as having been authorized to receive Restricted Data and/or CNWDI.) Retain gold copy, discard pink copy and submit remaining copies to the sponsoring organization's designated approving office (DLA11 4135.3, part IV) for certification in part III, items 16 through 19. The Approving Official reviews, approves, disapproves, or modifies and approves, forwards two approved copies to DDC, and retains the yellow copy. If applicant's facility clearance is not on record at DDC, complete and distribute two copies of DD Form 1541 as listed for DoD contractors in paragraph III A 2 a (2). A record of facility clearance and safeguarding ability must be on file at DDC before classified information will be released to an applicant.

(b) For unclassified services, follow procedures for classified services in paragraph III B 2 a, but omit the marking of subject fields of interest in DD Form 1540, part IV, and the completion and distribution of DD Form 1541.

(c) For continuation of services, comply with DDC's expiration notice. If the Government sponsor does not advise DDC of a new contract or grant expiration date, DDC user eligibility under that particular contract or grant will terminate on the date indicated on the DDC expiration notice. If registration information has changed since certification or recertification, submit a new DD Form 1540 to update registration data.

(3) Non-DoD Executive Branch Subcontractors

(a) For classified services, complete DD Form 1540, parts I and IV. In item 7 (Contract/Grant or Program No.) cite the prime contract number. Applicants must submit a separate DD Form 1540 for each contract. (If Restricted Data or CNWDI is required in item 9, the individual whose name appears on the attention line in item 3 must have been cleared by ERDA to receive Restricted Data and/or CNWDI. The individual's name also must have been supplied to DDC by ERDA as having been authorized to receive Restricted Data and/or CNWDI.) Retain gold copy and submit remaining copies of DD Form 1540 to the prime contractor. The prime contractor completes part II, retains pink copy and forwards the remaining copies to the sponsoring organization's designated approving office (DLAH 4185.3, part IV) for certification in part III. The sponsoring organization's approving official reviews, approves, disapproves, or modifies and approves, forwards two approved copies to DDC, and retains the yellow copy. If applicant's facility clearance is not on record at DDC, complete and distribute the DD Form 1541 as listed for DoD contractors in

paragraph III A 2 a (2). A record of facility clearance and safeguarding must be on file at DDC before classified information will be released to an applicant.

(b) *For unclassified services*, follow procedures for classified services in paragraph III B 3 a, but omit the marking of subject fields of interests in DD Form 1540, part IV, and the completion and distribution of DD Form 1541.

(c) *For continuation services*, comply with DDC's expiration notice. If the Government sponsor does not advise DDC of a new contract or grant expiration date, DDC user eligibility under that particular contract or grant will terminate on the date indicated on the DDC expiration notice. If registration information has changed since certification or recertification, submit a new DD Form 1540 to update registration data.

c. Legislative and Judicial Branches and Sponsored Organizations

(1) *Legislative and Judicial Branch Organizations*

(a) *For classified services*, complete part I, items 1 through 6, 8, and 9 and part IV of DD Form 1540. (In item 8 the Expiration Date is 1 year from the Date of Request in item 6.) (If Restricted Data or CNWDI is required in item 9, non-DoD Government organizations must have ERDA provide DDC with the names of personnel who have been cleared to receive Restricted Data and/or CNWDI.) Retain gold copy and submit remaining copies of the completed DD Form 1540 for certification in part III to the Director of Defense Research and Engineering (Research and Advanced Technology), The Pentagon, Washington, D.C. 20301. The DDR&E(R&AT) reviews, approves, disapproves, or modifies and approves, retains pink copy and forwards remaining approved copies to DDC.

(b) *For unclassified services*, complete part I, items 1 through 6, 8, and 9 of the DD Form 1540. (In item 8 the Expiration Date is 1 year from the Date of Request in item 6.) Retain gold copy of the DD Form 1540 and forward the remaining copies to the organizations designated approving office. Approving official completes part III and forwards two approved copies to DDC.

(c) *For continuation of services*, comply with DDC's annual recertification notice. If reply is not received indicating that services are desired for another year, DDC user eligibility will terminate on the Expiration Date. If registration information has changed since certification or recertification, submit a new DD Form 1540 to update registration data.

(2) *Legislative and Judicial Branch Contractors, Grantees, and Subcontractors*

(a) *For classified services*, contractors and grantees complete part 1, item 15 of part III, and part IV of DD Form 1540. Applicants must submit a separate DD Form 1540 for each contract or grant. (If Restricted Data or CNWDI is required, the individual whose name appears on the attention line in item 3 must have been cleared to receive Restricted Data and/or CNWDI by ERDA. The individual's name also must have been furnished to DDC by ERDA as having been authorized to receive Restricted Data and/or CNWDI.) Retain gold copy, and submit four copies of the completed DD Form 1540 to the U.S. Government sponsoring organization. The U.S. Government sponsor reviews, approves, disapproves, or modifies and approves, retains the yellow copy and forwards remaining copies to DDR&E(R&AT). The DDR&E(R&AT) approves or disapproves, retains pink copy and forwards remaining copies to DDC. Subcontractors follow the same procedures for contractors or grantees except completed copies of DD Form 1540 are forwarded to the U.S. Government sponsoring organization via the prime contractor. If applicant's facility clearance is not on record at DDC, complete and distribute two copies of DD Form 1541 as shown for DoD contractors in paragraph III A 2 a (2). A record of facility clearance and safeguarding ability must be on file at DDC before classified information will be released to an applicant.

(b) *For unclassified services*, contractors or grantees complete part I and item 15 of part III of DD Form 1540. Retain gold copy, discard pink copy, and forward remaining copies of completed DD Form 1540 to the U.S. Government sponsoring organization for certification and approval in part III, items 16 through 19. The U.S. Government sponsor forwards two approved copies of the DD Form 1540 to DDC and retains the yellow copy. Subcontractors complete DD Form 1540, part I. Retain gold copy and forward remaining copies to the prime contractor. Prime contractor completes all items in part II, and retains pink copy, and forwards remaining copies to the U.S. Government sponsoring organization for certification and approval in part III, items 16 through 19. The U.S. Government sponsor forwards two approved copies of the DD Form 1540 to DDC and retains the yellow copy.

(c) *For continuation of services*, comply with DDC's expiration notice. If the Government sponsor does not advise DDC of a new contract or grant expiration date, DDC user eligibility under that particular contract or grant will terminate on the date indicated on the DDC expiration notice. If registration information has changed since certification or recertification, submit a new DD Form 1540 to update registration data.

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