



Department of Defense DIRECTIVE

NUMBER 3210.1

October 26, 1961

Incorporating Change 1, April 3, 1970

DDR&E

SUBJECT: Administration and Support of Basic Research by the DoD

- References:
- (a) Executive Order 10521, as amended, "Administration of Scientific Research by Agencies of the Federal Government"
 - (b) *DoD Directive 3210.2, "Research Grants and Title to Equipment Purchased Under Grants," April 26, 1966*
 - (c) *Section IV and XV, Armed Services Procurement Regulation*
 - (d) DoD Directive 3210.1, "Policy on Basic Research," November 12, 1957 (hereby canceled)

1. PURPOSE

This Directive states the policy of the Department of Defense on the administration and support of basic research.

2. CANCELLATION

Reference (d) is hereby superseded and canceled.

3. DEFINITION OF DEFENSE "RESEARCH" (6.1 Budget Category)

Defense research is scientific study and experimentation directed toward increasing knowledge and understanding in those fields of the physical, engineering, environmental, biological-medical, and behavioral-social sciences directly related to explicitly stated long-term national security needs. It provides fundamental knowledge for the solution of identified military problems. It also provides part of the base for subsequent exploratory and advanced developments in defense-related

technologies and of new or improved military functional capabilities in areas such as communications, detection, tracking, surveillance, propulsion, mobility, guidance and control, navigation, energy conversion, materials and structures, and personnel support.

4. BACKGROUND

4.1. Reference (a) provides broad guidelines for administration of basic scientific research by Federal Agencies. These guidelines state that while the National Science Foundation shall be increasingly responsible for providing Federal support for general purpose basic research, the conduct and, support by other Federal Agencies of basic research in areas that are closely related to their missions is recognized as important and desirable and shall continue.

4.2. The Director of Defense Research and Engineering is responsible to the Secretary of Defense for the review and direction of the basic research program of the Military Departments and other Agencies of the Department of Defense authorized to conduct or support basic research, and shall ensure that this program is executed according to the provisions of reference (a). This review will be of maximum effectiveness if all elements of the Department adhere to the same fundamental principles in their conduct and support of basic research.

5. PRINCIPLES

5.1. Basic research is essential to the development of military power.

5.2. Continuity is essential to successful basic research. Therefore, long-term planning and funding of basic research will be employed to the maximum possible extent.

5.3. Basic research may be conducted by competent scientists in universities and non-profit institutions, industry, military laboratories, or elsewhere.

5.4. Sustained support of basic research will result in increased effectiveness and economies in military programs.

5.5. Free and effective communication among scientists is important to basic research.

6. POLICY

It is the policy of the Department of Defense to:

6.1. Conduct and support a broad and continuing basic research program to provide fundamental knowledge, with emphasis on that related to the needs of the Department of Defense;

6.2. Ensure full utilization of our scientific resources and to extend those resources in those areas of science relevant to the mission of the Department of Defense;

6.3. Maintain, through such a program, effective communication among the scientists of the Department of Defense and the scientists of the universities and industry;

6.4. Coordinate this program of basic research with the National Science Foundation; and

6.5. Encourage the support of basic research by other government and private agencies.

7. IMPLEMENTATION

7.1. It is the responsibility of the Director of Defense Research and Engineering to produce, on a continuing basis, a sound basic research program through the coordination and integration of the elements of the program among the Military Departments and other Agencies of the Department of Defense authorized to conduct or support basic research.

7.2. The Department of Defense provides support of basic research by:

7.2.1. Support of In-House Laboratories. Basic research in laboratories of the Department of Defense or in laboratories of other Government Agencies, best qualified for such work in particular areas, should be encouraged.

7.2.2. Grants to and Contracts with Educational and Non-Profit Institutions.

In situations appropriate for grants under the provisions of reference (b), the grant instrument is the preferred method of supporting basic research by educational and other non-profit institutions.

7.2.3. Contract with Industry. Contracts specifically for basic research may be made with industrial contractors (including small businesses) that have a recognized special competence in a given area. In the administration of the provisions of reference (c), which relate to the allowability of a contractor's independent research costs under certain Department of Defense contracts, favorable consideration should be given to independent basic research.

7.3. The Military Departments and other Agencies of the Department of Defense authorized to conduct or support basic research will provide the Director of Defense Research and Engineering with such information as he may require in order to carry out his responsibilities under this Directive, including annual reports through established administrative and fiscal channels of the following, by contract or grant and dollar value:

7.3.1. Basic research performed in Government laboratories.

7.3.2. Basic research grants to educational and non-profit institutions.

7.3.3. Basic research contracts to educational and non-profit institutions.

7.3.4. Basic research contracts to industrial contractors, including small business.

7.3.5. Independent basic research recognized as an allowable cost in an advance agreement under the provisions of reference (c). Such costs shall be reported via the Assistant Secretary of Defense (Installations and Logistics).

7.5. Within 90 days of the effective date of this Directive, two copies of implementing instructions issued by the Military Departments will be forwarded to the Director of Defense Research and Engineering.

8. EFFECTIVE DATE

This Directive is effective immediately.

A handwritten signature in black ink, reading "Robert S. McNamara". The signature is written in a cursive style with a large initial "R".

Secretary of Defense