Scientific/Research and Development

UNITED STATES AIR FORCE TECHNICAL
PUBLICATIONS PROGRAM

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

NOTICE: This publication is available digitally on the SAF/AAD WWW site at: http://afpubs.hq.af.mil. If you lack access, contact your Publishing Distribution Office (PDO).

This instruction establishes policies and procedures for processing, distributing, and publishing technical documents generated in-house or by contract, subcontract, or grant (including reports published by federally funded research and development centers (FFRDC). It applies to all Air Force organizations generating scientific and technical information (STINFO). It does not apply to intelligence documents produced by the National Air Intelligence Center. It implements AFPD 61-2, *Management of Scientific and Technical Information*, and Department of Defense (DoD) Directive 3200.12, *DoD Scientific and Technical Information Program*, February 15, 1983, and DoD Instruction 5200.21, *Dissemination of DoD Technical Information*, September 27, 1979.   Reports referenced in this instruction are exempt from licensing in accordance with AFI 37-124, *The Information Collections and Reports (ICR) Program*.

SUMMARY OF REVISIONS

This instruction updates, clarifies, and streamlines previous guidelines.

1. Air Force STINFO Program:

1.1. The STINFO program facilitates communication of information and data for use in planning and conducting Air Force research, development, test, and evaluation (RDT&E); engineering; production; logistics; and studies and analysis efforts.

1.1.1. These efforts are not complete until you document and distribute the results to the appropriate activities. Documentation consists of any medium that transfers information, including paper, microform, electronic storage, and video recordings.

1.1.2. Formal documentation is the permanent record of the effort and is the basis for a tangible end product. The documentation enhances activities' ability to review, reference, and transfer technology. It maximizes the flow of technical information and minimizes the uncoordinated duplication of effort.

1.2. Program managers, principal investigators, and researchers record as technical publications all significant scientific or technological observations, findings, recommendations, and results derived from:

- Air Force RDT&E
- Engineering
- Production
- Logistics
- Studies and Analysis Efforts
- Contracted Advisory and Assistance Services
- Cooperative Research and Development Agreements
- These publications contribute to the national scientific and technical information knowledge base. This requirement excludes these items:
- Preliminary informal results of studies that you must disseminate for immediate action.
- Reports conveying fiscal, administrative, or other nontechnical information.
- Progress or letter reports by contractors or grantees that give, for administrative purposes, the status of R&D efforts.
- Technical reports that satisfy requests from organizations outside DoD and that essentially duplicate the primary official government document.

1.3. The Air Force sends technical publications to the research, engineering, and studies and analysis community, including supporting technical libraries, the Defense Technical Information Center (DTIC), and appropriate information analysis centers (IAC), consistent with established security controls and distribution limitations.

1.4. The Air Force prepares technical publications using standard formats.

1.5. The Air Force finalizes and distributes technical publications within 180 days after completing or terminating the work.

2. Local STINFO Officers:

2.1. Oversee the technical publications program for their organizations in compliance with AFPD 61-2; AFI 61-201, *The Local Scientific and Technical Information Program*; and this instruction.

2.2. Carry out or confirm that other offices in their organization are carrying out these functions by preparing or reviewing supplements, policy letters, operating instructions, internal controls, and standing operating procedures, and by making site visits and performing independent audits.

2.2.1. Prepare, submit, publish, and distribute technical reports documenting the scientific and technical results of research, engineering, and studies and analysis efforts, whether or not the results are conclusive and regardless of whether the work is done in-house, by grant, or by contract.

NOTE:

When an effort terminates before completion without a final report, the principal investigator or equivalent prepares a technical note or technical memorandum, unless the STINFO officer issues a waiver. Normally, each effort yields at least one technical publication.

    2.2.2. Ensure all RDT&E contracts (including contracts with FFRDCs) specify the technical data and other documentation of results that contractors must deliver in accordance with the Air Force supplement to DoD Directive 5000.1, *Defense Acquisition.* (Contracting officers list appropriate data item descriptors on the DD Form 1423, **Contract Data Requirements List (CDRL)**. Except for data that standard federal acquisition regulation (FAR) clauses specifically require, the CDRL is the sole list of required data for delivery under a particular contract.)

    2.2.3. Encourage publication in professional journals for reporting the results of research efforts.

    2.2.4. Make sure that contractors apply proper distribution and export control statements to all deliverable technical data according to Military Standard 1806, *Marking Technical Data Prepared by or for the Department of Defense.*

    2.2.5. Make sure that Air Force contract monitors do not sign the DD Form 250, **Material Inspection and Receiving Report,** until they receive acceptable camera-ready copies of technical reports.

    2.2.6. Maximize the quality of technical publications. Review and edit all technical reports and similar documents (including journal articles) before publishing or submitting them to journals.

    2.2.7. Track and record the progress of expected technical publications from before the due date of the original draft through printing. You can use the work-in-progress database at DTIC to help identify efforts nearing completion for which a report will be published.

    2.2.8. Inform DTIC of changes occurring in technical publications, including changes of classification, distribution control, and revisions or substitutions in technical documents. Review your organization's technical publications at least yearly to identify such changes. The DTIC technical reports' database can help you in this effort.

    2.2.9. Use the following guidelines to handle patentable subject matter and invention disclosures:

        2.2.9.1. Immediately refer in-house unclassified reports that contain patentable subject matter to patent personnel and to the Office of Research and Technology Application (ORTA). Patent personnel (Staff Judge Advocate and the Air Force Legal Support Agency) evaluate these reports to decide if the author should immediately file a patent application. Do not distribute unclassified reports outside the government that contain information on patentable subject matter. Mark such documents with the appropriate distribution statement (see AFI 61-204, *Controlling the Dissemination of Scientific and Technical Information*) restricting their distribution to the US Government (not Statement A, Approved For Public Release). Only after filing a patent application covering the subject matter with the Patent and Trademark Office, can you use Distribution Statement A (Approved for Public Release). You can then inform prior recipients of any changes in distribution.

        2.2.9.2. Handle contractor invention disclosures according to the contract clauses prescribed by FAR section 27.303.

2.2.10. Confirm that the public affairs office is clearing documents for public release.

2.2.11. Do not include material that implies that the Government endorses or favors a product or service manufactured or supplied by a specific supplier in technical reports. If you must use a trade or product name for clarity, state that this does not constitute an Air Force endorsement.

3. Technical Report Formats:

3.1. Responsible Air Force organizations, contractors, and grantees should prepare reports using a professional format. You can use the American National Standards Institute (ANSI) Standard Z39.18, *Scientific and Technical Reports: Organization, Preparation and Production,* as a guide. ANSI standard is not required for journal articles.

3.2. Use these rules as written without any changes:

3.2.1. Report Documentation Page. Insert the Standard Form (SF) 298, *Report Documentation Page,* in all publications. SF 298 gives you guidelines for bibliographies and dissemination controls. You can put the form in front of the document immediately following the cover (preferred location) or at the end of the document as the last page of the publication. If you insert it at the front of the publication, you can use it as the title page or include a formal title page, too. When you send a journal article to DTIC, just attach SF 298.

3.2.2. Report Numbers. Assign a number to all technical publications as a unique identifier. Base this number on ANSI Z39.23-1990, *Standard Technical Report Number Format and Creation*.

3.2.3. Putting Special Notices on Technical Publications:

3.2.3.1. Put a review and approval statement on the inside front cover, or in the document preface. Use the following version as a guide:

THIS REPORT HAS BEEN APPROVED FOR PUBLICATION.	
Project Engineer or Scientist	Supervisor
Signature	Signature
Name and Rank	Name and Rank
FOR THE COMMANDER	

3.2.3.2. Include on the inside or outside front cover, one or more of these statements:

"Do not return copies of this report unless contractual obligations or notice on a specific document requires its return.

"This report is published in the interest of scientific and technical information exchange and does not constitute approval or disapproval of its ideas or findings.

"Using Government drawings, specifications, or other data included in this document for any purpose other than Government procurement does not in any way obligate the US Government. The fact that the Government formulated or supplied the drawings, specifications, or other data does not license the holder

or any other person or corporation; or convey any rights or permission to manufacture, use, or sell any patented invention that may relate to them.

"If you change your address, wish to be removed from this mailing list, or your organization no longer employs the addressee, please notify (insert the appropriate organization and address)."

3.2.4. If you include copyrighted material in the document, follow the procedures in AFI 51-303, *Patents*.

4. Technical Publications Types:

4.1. In conjunction with the local STINFO officer, the author usually decides how to publish a document. The decision should be based on the nature of the information and its need by the Air Force and other DoD organizations and their contractors. Technical publications include:

4.1.1. Technical reports that formally present results after completing an effort or major phase of an effort.

4.1.2. Conference proceedings that compile presentations, lectures, or papers from meetings, symposia, conferences, or conventions.

4.1.3. Journal articles that use formats set by publishers. Periodical or journal articles are technical papers and sometimes satisfy final-report requirements for a work effort (for example results of basic research). A journal article may not be adequate, however, because it does not allow publishing all the results. In this case, a technical report would also be required.

4.1.4. Technical memoranda, technical notes, progress reports, or interim reports that record interim or partial results. These reports are highly useful for efforts that terminate before completion where no final report will result.

5. Classifying and Restricting Distribution of Technical Publications:

5.1. Do not classify basic scientific research or its results, except in rare cases when the information shows an especially significant scientific breakthrough **and** you have reason to believe that it is not known or in the state-of-the-art of other nations **and** classifying the material gives the United States a national security advantage. When you must classify a document, follow DoD 5200.1-R, *Information Security Program Regulation, January 1987, with change 1*, and AFPD 31-4, *Information Security*.

5.2. Do not reference classified documents in unclassified reports that are approved for public release.

5.3. Include information that increases the distribution limitation of a report only when such information is necessary to understand the report.

5.4. Assign an unclassified, unlimited distribution statement only if the document contains no sensitive information. If any restriction exists, place the applicable distribution statement from AFI 61-204 on the outside front cover. The public affairs office approves all unlimited distributions (Distribution Statement A, Approved for Public Release) after coordinating the documents through appropriate internal staff offices (for example legal, security, and foreign disclosure).

5.5. The organization that ordered the work is the controlling DoD office of primary responsibility (OPR) and controls the distribution statement. When the performing organization is also a DoD activ-

ity, however, the controlling office does not change the performing organization's recommended distribution statement without agreement from the performing organization.

5.6. Include the responsible Air Force organization's short title and OPR's functional address symbol (FAS) for distribution statements B, C, D, E, F, or X. (See AFI 61-204 for a list of the distribution statements and instructions for their application.)

5.7. For reports containing export control data, put this notice on the outside front cover immediately below the distribution statement:

" *WARNING*--This document contains technical data whose export is restricted by the Arms Export Control Act (22 U.S.C. 2751, et seq.) or the Export Administration Act of 1979, as amended (50 U.S.C. 2401, et seq.). Violating these export laws subject you to severe criminal penalties. Disseminate in accordance with the provisions of DoDD 5230.25."

6. Handling Contractors' Distribution Restrictions (Limited Rights Legends). Show limited rights legends to the contracting officer or designee to decide if the contract authorizes using such legends. Even when a legend appears to be totally unauthorized, respect it until the contracting officer makes a final determination.

6.1. If a publication will be distributed outside the Government and if the legend has not been justified according to the Defense Federal Acquisition Regulation Supplement (DFARS), ask the contracting officer to require a justification.

6.2. If the publication will not be distributed outside the Government or if the Government lacks the resources to investigate the contractor's claim that the legend is justified, the Government may honor the legend without investigation. In this case, ask the contracting officer to advise the contractor as follows:

"The Government notes your legend limiting our rights to use (the name of the technical publication). We will observe these restrictions for the present, even though we have not investigated the propriety of the legend. This action does not prejudice the Government's rights to later question the legend."

7. Preparing Technical Publications Involving Other Organizations. When multiple organizations cooperate in technical efforts, the tasking document specifies who prepares and publishes the technical document. You may use the collaborating organization's identifying publication number with your own.

8. Distributing Technical Publications. Distribute technical publications as widely as possible, consistent with security controls and distribution limitations:

8.1. Distribute documents to the following organizations:

- Air Force, DoD, other Federal organizations, and contractors who need the information to continue with an Air Force project
- DTIC (see section 9)
- Air University Library (HQ AUL/LSE), Maxwell AFB AL 36112-5564 (AFI 36-2303, *Documents and Publications for the AU Library*)

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- Director, National Security Agency (P2213), Ft George G. Meade MD 22705-5000, if the report contains communications intelligence (COMINT), electronic intelligence (ELINT), or communications security (COMSEC) information.

8.2. Do not distribute classified STINFO reports to recipients who simply say they have an "interest" in the general subject matter without first evaluating their clearance and access authorizations, need-to-know, and ability to properly store classified material.

8.3. Distribute reports containing export-controlled data only to qualified contractors certified and registered with the Defense Logistics Services Center (DLSC) (AFI 61-204).

8.4. Review and verify classified distribution lists (for example lists of those qualified to receive classified documents) at least once a year (DoD 5200.1-R and AFPD 31-4).

8.5. Refer DoD and other Federal Government agency requests for copies of publications to DTIC. Refer public requests for unclassified, unlimited publications to the National Technical Information Service (NTIS).

9. Distributing Technical Publications to DTIC:

9.1. Send technical publications to DTIC within 180 days after completing the work or within 10 days of receiving the final printed report except:

- Encrypted TOP SECRET reports that contain designated categories of intelligence or information from a foreign government that forbid the report's dissemination
- Management reports containing nontechnical information about a project and administrative details
- Technical documents for use by the originating activity only, such as working reports

9.2. Send two high-quality paper copies of each publication and one digital copy (in an established digital format) to DTIC with DTIC Form 50, *Accession Notice*. The better the quality of the report you send to DTIC, the better their reproductions will be. You can get DTIC Form 50 from DTIC, Cameron Station, Alexandria VA 22304-6145. ***Note: Even if you don't have high-quality copies, you must still submit the report to DTIC.***

9.3. DTIC:

- Provides secondary distribution.
- Announces and distributes all classified and unclassified reports (including confidential and secret reports that do not have special-access requirements).
- Sends all unclassified, unlimited reports to NTIS for distribution to the general public.

10. Publication and Reprints of Articles in Technical Journals:

10.1. Air Force policy encourages its scientific and technical personnel to publish research results in recognized journals. Journal publication is important to the Air Force's R&D program.

10.2. Publishing technical accomplishments in professional journals may satisfy technical reporting requirements if the work was sponsored by program 6.1 or 6. 2 funds. Authors select the journal and comply with the journal's publication procedures and schedules. Prefer to publish in refereed journals. This does not apply to limited-distribution, classified, and export-controlled information. If

publishing a journal article requires omitting important information that is limited, classified, or export controlled, publish a technical report also to fully disseminate the information.

10.3. Air Force personnel may acquire reprints of their own articles for distribution.

10.4. The cost of publishing scientific results in professional journals is a necessary part of research. The Air Force repays these costs according to paragraph **10.7.**

10.5. Before submitting an article for publication in a professional journal, the author's supervisor must identify the material as official or unofficial. The technical management of the author's activity reviews and validates the technical content of the article, approves the article for publication, and verifies that:

- The article's dissemination enhances Air Force-related R&D programs.
- Defense security requirements are satisfied.
- The publisher knows that official material is not subject to copyright law.

10.6. For official material, the local STINFO manager submits two copies of the article to DTIC with a completed SF 298. For unofficial material for publication in a copyrighted journal, the STINFO manager sends the completed SF 298 to DTIC. The form simply cites the issue and page numbers.

10.7. If the journal has page charges, authors may use project or other funds when all the following conditions exist:

- The journal's charges apply to all contributors and do not discriminate against the Government.
- The Government does not bear the entire cost of the publication and the publication is not exclusively for the Government.
- The article is concise and will be published in a reasonable page space according to accepted journalistic practice. (AFI 37-160, *Air Force Publications and Forms Management Programs*, and the *Government Printing Office Style Manual* provide guidelines on style and usage.)
- Any illustrations, figures, graphs, or tables in the article are simple. (Use ANSI Z39.18 for guidelines.)
- The author submits the article to the publisher through official Air Force channels that meet all requirements for releasing technical information.
- Billing charges from journals for published articles contain a statement similar to:
- "For services performed in the review, editing, and publication of information on results of research performed by Department of Air Force personnel." (*Note: Authors should inform journals of this requirement before billing takes place.*)

10.8. When possible, provide a camera-ready manuscript instead of paying page charges. Many professional and technical journals accept or require camera-ready manuscripts in lieu of assessing page charges. Not only is this approach less expensive for the author, but it allows the author to directly control the quality of the article.

10.9. Reprints of official material may be acquired from the original publisher using RDT&E funds.

10.10. Submit one copy of each paper to the project officer or program manager at the same time that you submit it for publication.

10.11. After publication, submit copies of published papers to the project officer or program manager designated by the sponsor.

10.12. Print this warning on all journal articles:

"Opinions, interpretations, conclusions, and recommendations are those of the author and are not necessarily endorsed by the United States Air Force."

10.13. Before publishing a journal article based on R&D sponsored by other than program 6.1 or 6.2 funds, you must have the article reviewed and get approval from the Air Force sponsor according to Air Force information-release policies and procedures. You may withhold certain unclassified, technical information from public disclosure if it might jeopardize an important US technological or operational advantage per DoDD 5230.25, *Withholding of Unclassified Technical Data from Public Disclosure.*

10.14. You must include the following acknowledgment with all journal articles based on work funded or supported by the Air Force if you are an Air Force employee, member, contractor, or grantee:

"This research was sponsored by (name of sponsoring organization), Department of the Air Force grant or contract number (   )."

10.15. The Air Force allows the publication and public presentation of unclassified contracted fundamental research results. Security classification controls information generated by Air Force-funded fundamental research in science, technology, and engineering performed under contract or grant at colleges, universities, and non-government laboratories. The Air Force does not authorize any other type of control unless required by law.

Forms Prescribed

SF 298, **Report Documentation Page,** and DTIC Form 50, **Accession Notice.**

CLARK G. FIESTER
The Assistant Secretary of the Air Force for Acquisition