

Defense Technical Information Center

Information Collection Division

SBIR/STTR Final Reports Preparation & Submission



SBIR/STTR Report Preparation

Document Cover

- DTIC uses as the primary source
- Plus other markings & text

• SF298

- Often not provided for many new and most older documents
- Information should match that on the document cover



Contractor & Report Identifying Information

- The following information is required on the document cover to uniquely identify the report:
 - Contractor/Company Name
 - Address
 - Contract Number
 - SBIR/STTR Topic Number
 - SBIR/STTR Phase
 - Title of the Report
 - Date of the Report
 - Principal Investigator, Telephone Number, Fax Number & Email
 - Sponsoring/Monitoring DoD Organization (Controlling Office), Address





Security, Data Rights and Release Markings and Legends

- The report cover must include the appropriate markings and legends. These denote:
 - Classification
 - SBIR/Government Data Rights
 - Export Control (if applicable)
 - Distribution Statement



If the data is not properly marked, it may be inadvertently or improperly disclosed or misused by the Government, other contractors or even the general public.



Classification

- The report shall be marked Unclassified or Classified.
- If Classified, the Controlling Office shall mark in accordance with DoDI 5200.1-R Information Security Program.
- SBIR/STTR contractors shall <u>not</u> mark their deliverables with the term "Company Confidential" which may be confused with "Confidential" classification.



SBIR/Government Data Rights

- Identifies the Government's rights in data developed under all phases of the SBIR program.
- If SBIR data delivered to the Government is marked with the SBIR Rights Notice, the Government may use the data for government purposes only, and cannot disclose the data outside the Government (except for use by support contractors) for a specified period of time.
- The DFARS provides a minimum 5-year nondisclosure period for SBIR data. This protection period is intended to provide incentives for the development or commercialization of the technology or product by the SBIR contractor.
- After expiration of the nondisclosure period, the Government has unlimited data rights.



SBIR DATA RIGHTS

Contract No.:	
Contractor Name:	
Contractor Address:	
Expiration of SBIR Data Rights Period:	

The Government's rights to use, modify, reproduce, release, perform, display, or disclose technical data or computer software marked with this legend are restricted during the period shown as provided in paragraph (b)(4) of the Rights in Noncommercial Technical Data and Computer Software--Small Business Innovative Research (SBIR) Program clause contained in the above identified contract. No restrictions apply after the expiration date shown above. Any reproduction of technical data, computer software, or portions thereof marked with this legend must also reproduce the markings.



Export Control Warning (if applicable)

- DoDD 5230.25 Withholding of Unclassified Technical Data from Public Disclosure applies only to unclassified technical data with military or space application which may not be exported lawfully without an approval, authorization, or license under Executive Order 12470 or the Arms Control Act.
- Export-controlled information may be disseminated only to U.S. citizens or a person admitted lawfully into the United States for permanent residence and is located in the United States.
- Be cautioned that not all technical data falls into this category.





Export Control Warning (if applicable)

 If the DoD Controlling Office determines the data is subject to export control, the data must be marked with the Warning proscribed by **DoDD 5230.24** Marking and Dissemination of Technical Information with DoD Distribution Statements (Encl 3) Paragraph 8:

WARNING - This document contains technical data whose export is restricted by the Arms Export Control Act (Title 22, U.S.C., Sec 2751, et seq.) or the Export Administration Act of 1979, as amended (Title 50, U.S.C., App. 2401 et seq.). Violations of these export laws are subject to severe criminal penalties.

 The marking "ITAR Restricted" shall <u>not</u> be used on DoD reports that are subject to export-control.

Information for the Defense Community



- Guidance
 - DoDD 5230.24 Distribution Statements on Technical Documents http://www.dtic.mil/dtic/pdf/submit/523024p.pdf
 - DTIC Webpage http://www.dtic.mil/dtic/submit/guidance/distribstatement.html
- Applies to classified and unclassified Scientific Technical Information (STI)



Distribution Statements

Allow us to tell someone else what they can do with your document without asking you.

Include--

- Intended Audience
- Reason for Restriction
- Date of Determination
- Controlling DoD Office

Remember:
Distribution
Statements only
control secondary
distribution

DoDD 5230.24 Distribution Statements on Technical Documents - http://www.dtic.mil/dtic/pdf/submit/523024p.pdf
DTIC Webpage - http://www.dtic.mil/dtic/submit/guidance/distribstatement.html



Distribution Statements

Audience: Government or DoD Only

- The default for SBIR/STTR data is:
 - Distribution B: Distribution authorized to U.S. Government Agencies Only; Proprietary Information (DFARS – SBIR Data Rights). [Date] [DoD Controlling Office; spell out acronyms and provide a complete address]
- Other possible choices are:
 - Distribution E: Distribution authorized to DoD Only; Proprietary Information (DFARS – SBIR Data Rights). [Date] [DoD Controlling Office; spell out acronyms and provide a complete address]

or

- Distribution A: Approved for public release; distribution unlimited.
 - In accordance with the Small Business Administration Policy Directive (SBA PD) 2002, a
 public release decision will be executed by the parties in a written signed agreement after
 the contract award. This agreement must be appended to the report as front matter.

Information for the Defense Community



Distribution Statements

Reason: Proprietary Information

• Definition:

 To protect information not owned by the U.S. Government and protected by a contractor's "limited rights" statement, or received with the understanding that it not be routinely transmitted outside the government.

Audience for Proprietary Information is limited to:

Distribution B: US Government Only

Distribution E: DoD only

Further release governed by

- Contract terms and
- Non-disclosure agreements

Small Business Innovation Research (SBIR)

- Generally protected for a period not less than 5 years from the date of the accepted final report
- Intended to allow the development or commercialization of the technology or product by the SBIR contractor.
 Information for the Defense Community



Distribution Statements

Date of Determination:

- Could be:
 - Date of the report
 - Date of the contract or other agreement
 - Date submitted to the controlling office
- Not the date of submission to DTIC



Distribution Statements

Controlling Office: Sponsoring/Monitoring Agency

- Further requests for this document shall be referred to [Controlling Office]
 - PLEASE GIVE THE FULL CONTROLLING OFFICE NAME not just the acronym, and provide a complete address
- The controlling office is the entity that:
 - Sponsored the work which generated the technical document.
 This entity could be a DoD or US government civilian agency, a foreign government or a international alliance such as NATO.
 - Or received the technical document on behalf of DoD
- The controlling office is **NEVER** a contractor.
 - The Contracting Officer's Technical Representative (COTR) directs the contractor as to the appropriate DoD Distribution statement for deliverables.



- A meeting was held at DTIC in Oct 2006 with Legal Counsels from SecAF, ONR, DARPA, and AMC.
- They agreed that the default distribution statement appropriate for 95% of all SBIR/SBIR reports is:
 - Distribution B: Distribution authorized to U.S. Government only;
 Proprietary Information (DFARS SBIR Data Rights); [Date of the Report].
 Other requests for this document shall be referred to [DoD Controlling Office].
- Please advise Program Offices to use this distribution statement format in CDRLs and other instructions they provide to contractors.



- The parenthetical () after "Proprietary Information" is new.
- On the advice of the attorneys, DTIC will require controlling offices to note the type of data rights the government has in proprietary information.
- We will include the guidance in an Amendment to DODI 5230.24 and when revising DODI 3200.14.
- Request that this guidance be inserted into future SBIR/STTR Solicitations and SBIR Handbook Final Report Instructions.
- We ask the Services to not create their own distribution statements, but use the standard statements IAW DODI 5230.24.



- DTIC still sees SBIR CDRLs, markings, and distribution statements that note the contractor as the controlling office.
 - The controlling office is NEVER the contractor.
 - The controlling office is the DoD sponsor of the work.



- A completed SF298, Report Documentation Page, shall accompany the report.
- Provides significant information for the citation and allows us to correctly catalog the report.
- The information entered on the SF298 shall match the information and markings on the report cover.



- Report Date (Block 1) Is this document old or new?
 - Date the report was written or published, not the date the SF298 was completed
 - Affects placement in queue and order of processing
 - May misrepresent "state of the art" nature of the research
- Report Type (Block 2) What is the document?
 - State the type of report, such as final, technical, interim, memorandum, thesis, conference proceeding, progress, quarterly, etc.
 - Also indicate the Phase (i.e., Final SBIR Phase I Report)
- Dates Covered (Block 3) This work was done when?
 - Indicate the time during which the work was performed and the report was written, e.g., Jun 1997-Jun 1998; 1-10 Jun 1996; May-Nov 1998; Nov 1998.





- Title (Block 4) Found on the cover page
 - Enter the title/subtitle of the report, not the project or contract name, and without abbreviations
- Funding Numbers (Block 5) *i.e., the contract number*
 - Include all applicable funding numbers related to the report
 - Important for retrieval purposes
- Author(s) (Block 6) -
 - Maximum of 10 names can be entered in this field; keyed in according to the order of appearance on the report cover or title page or first page of a journal article
- Performing Organization (Block 7) -
 - Complete names and addresses are needed to determine whether or not a contributor is already listed in our database (please, no acronyms)

 Information for the Defense Community



- Performing Organization Report Number (Block 8) -
 - A number assigned to the document by the SBIR/STTR contractor (not the controlling office).
 - Unique alphanumeric number which can be use to further identify and distinguish the report back to the performing organization/SBIR or STTR contractor.
- Sponsor/Monitor (Controlling Office) (Block 9) -
 - Complete names of agencies, especially divisions or branches, will ensure that the proper agency receives credit
 - Only one sponsor/monitor is used as the "monitor of record;" (according to contract number). Additional sponsors are listed in the Supplementary Note field



- Sponsor/Monitor's Report Number (Block 11)
 - A number assigned to the document by the controlling office.
 - Unique alphanumeric number which can be use to further identify and distinguish the report back to the sponsoring/controlling organization.
- Distribution Statement (Block 12a) Who can/can't see it
 - Shall match verbatim the distribution statement on the document cover.
- Supplementary Note (Block 13) Everything you wanted to know about the document but didn't know where to put it
 - Additional information pertaining to the document such as conference information, extra data from other fields, disclaimers, collaborations, publication information, SBIR or STTR report, contract and/or phase identification



- Abstract (Block 14) Thank goodness for cut & paste
 - Brief (2000 characters/approximately 200 words) summary of the report
 - Must include the following as the first sentence: "Report developed under SBIR contract for topic [insert solicitation topic number]."
 - Identifies the purpose of the work and briefly describe the work completed, the findings or results and the potential application of the effort. Since the abstract will be published by the DoD, it must not contain any proprietary information or classified data.
 - Prefer the abstract to be approved for public release (and coded UU in block 17)
 - If no abstract is present, alternative sources are introduction, executive summary, first paragraph. If the provided abstract is too long, editing will occur
- Subject Terms (Block 15)
 - Key words or phrases that identify major concepts of a report
 - Must include the term "SBIR Report."
 - Additional sources are title, abstract, introduction, conclusion, bibliography, table
 of contents
 - Descriptors and Identifiers
 - Machine Aided Indexing
 - Classified vs. Unclassified





- Security Classifications (Block 16) Who gets to see what
 - Classification of report, abstract, and the SF298 page
- Limitation of Abstract (Block 17) Land of confusion
 - For limited documents
 - Is used to assign distribution limitation to the abstract
 - SAR = Same as Report
 - UU = Unclassified; Unlimited (Recommended)
- Name/Phone Number of Responsible Person (Block 19)
 - Who can we contact
 - The person to contact if there is problem with the document.
 - Not necessarily the author.





SBIR Final Report - Cover

ABC/123 Research, JNC.

409 Culpopor Street, Lexington, VA 24450

Contractor & Report ID Information

- Contractor Name & Address
- Report Title
- SBIR Phase and Report Date
- SBIR Topic and Contract Number
- Principle Investigator -
- DoD Sponsoring/Monitoring (Controlling) Office), Address

Security, Data Rights & Release Markings and Legends

- SBIR/Government Data Rights
- Distribution Statement
- Export Control (if applicable) _
- Classification

Propulsion Systems Technology

SBIR Phase I Final Report - July 28, 2002

iod of Performance: July 28, 2001 - July 1, 2002 SBIR Topic Number:

Contract Number: N00022-01-M-9999

Prepared by:

Kate B. Robb Nicholas Preston

Principle Investigator:

Wayne Russell Kelly, Ph.D.

(555) 876-0000, e-mail: wrkelly@abc123resear

Office of Naval Research (ONR) One Liberty Center 875 North Randolph Street, Suite 1425

Arlington, VA 22203-1995

SBIR DATA RIGHTS

Contract No. N00022-01-M-9999

Contractor Name ABC/123 Research, Inc.

Contractor Address 409 Culpeper Street, Lexington, VA 24450 Expiration of SBIR Data Rights Period 4 January 2007

SBIR DATA RIGHTS - The Government's rights to use, modify, reproduce, release, perform, display, or disclose technical data or computer software marked with this legend are restricted during the period shown as provided in paragraph (b)(4) of the Rights in Noncommercial Technical Data and Computer Software-Small Business Innovative Research (SBIR) Program clause contained in the above identified contract. No restrictions apply after the expiration date shown above. Any reproduction of technical date, computer software, or portions thereof marked with this legend must also reproduce the markings.

DISTRIBUTION STATEMENT B - Distribution authorized to U.S. Government agencies; Proprietary Information (DFAS – SBIR Data Rights) and Critical Technology. Other request for this document shall be referred to Office of Naval Research (ONR), One Liberty Center, 875 North Randolph Street, Suite 1425, Arlington, VA 22203-1995

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

DESTRUCTION NOTICE - For classified documents, follow the procedures in DOD 5220.22-M, National Industrial Security Program Operating Manual (NISPOM), Chapter 5, Section 7, or DOD 5200.1-R. Information Security Program Regulation, Chapter IX. For unclassified, limited documents, destroy by any method that will prevent disclosure of contents or reconstruction of the document



SBIR Final Report - SF298

•	(1)	Report Date	
	` '		

- (2) Report Type
- (3) Dates Covered
- (4) Report Title
- (5a) Contract Number
- (6) Author(s)
- (7) Performing Org. Name & Address
- (8) Performing Org. Report Number -
- (9) Sponsor/Monitor (Controlling office)
- (11) Sponsor/Monitor Report Number
- (12a) Distribution Statement -
- (13) Supplementary Note -
- (14) Abstract -
- (15) Subject Terms —
- (16) Security Classification
- (17) Limitation of Abstract _
- (19a & b) Responsible Person

	DEDORT DO	Form Approved			
	REPORT DO	OMB No. 0704-0188			
	data needed, and completing and reviewing this collection this burden to Department of Defense, Washington Headig 4500. Respondents should be aware that not-difficiently wild OMB control number. PLEASE DO NOT RETURN V	is earniting existing data courses, gethering and maintaining the of this collection of information, including suggestions for reducing if this collection and inflations, but ex 1004, Artington, VA 20002- pply with a collection of information of it does not display a currently			
	1. REPORT DATE (DD-I/I/I/FYYYY)	2. REPORT TYPE	2. DATES COVERED (From - To)		
	28-07-2002	SBIR Phase I Final Report	28 July 2001 - 1 June 2002		
_	4. TITLE AND SUBTITLE		6a CONTRACT NUMBER		
_	Prepulsion Systems Technol	ogy	6b. GRANT NUMBER		
_			60. PROGRAM ELEMENT NUMBER		
	6. AUTHOR(8)		6d. PROJECT NUMBER		
_	Or. Wayne Russell Kelly, Ms.	Kate B. Robb, Mr. Micholas Preston	6e. TASK NUMBER		
			6f. WORK UNIT NUMBER		
	7. PERFORMING ORGANIZATION NAME(8) AND ADDRE88(E8)	8. PERFORMING ORGANIZATION REPORT NUMBER		
	ABC/123 Research, Inc				
	409 Culpeper Street		01-231		
	Lexington, VA 24450				
_					
	8. SPONSORING / MONITORING AGENCY Office of Naval Research		10. SPONSOR/MONITOR'S ACRONYM(S) ONR		
	One Ziberty Center				
	87 Worth Randolph Street,	Suite 1425	11. \$PONSOR/MONITOR'S REPORT		
_	Arlington, VA 22203-1995		NUMBER(8)		
/			ONR-TR-2001-0022		
	12. DISTRIBUTION / AVAILABILITY STATE	•			
DISTRIBUTION STATEMENT B - Distribution and horized to U.S. Government agencies. Propr					

DISTRIBUTION STATEMENT B - Distribution authorized to U.S. Government agencies; Proprietary Information (DFARS - SBIR Data Rights) and Critical Technology, 28 July 2002. Other request for this document shall be referred to Office of Naval Research (ONR), One Liberty Center, 875 North RendSIph Street, Suite 1425, Arlington, VA 22203-1995

13. SUPPLEMENTARY NOTE:

EXPORT CONTROL, SBIR Topic NO1-102

14. ABSTRACT

Report developed under SBIR contract for Topic NO1-102. Under this ONR sponsored Phase I SBIR research program, ABC/123 Research studied technologies focused on propulsion systems and designed, synthesized and characterized innovative approaches.....

16. SUBJECT TERM

SBIR (Small Business Innovation Research); Propulsion; Engine; Simulator; Turbine; Missile

1	16. 43 QURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT	18. NUMBER OF PAGES	Tea. NAME OF RESPONSIBLE PERSON Sally Richards
	a. REPORT	b. ABSTRACT	o. THIS PAGE			19b. TELEPHONE NUMBER (Include area code)
	Unclassified	Unclassified	Unclassified	uu uu	121	(555) 876-0728

Standard Form 298 (Rev. 8-98) Prescribed by ANSI 914, 239,18



Common Problems/ "Roadblocks"

- Incomplete
 - Distribution Statements
- Conflicting
 - SF298 vs. Document Cover
- Inappropriate
 - Classification Markings
 - Distribution Statement
- None
 - Distribution Statement
 - DoD Controlling Office/Sponsoring/Monitoring Agency
 - SBIR Government Data Rights





- Only the controlling office can determine distribution
 - If DTIC cannot identify the controlling office or
 - If DTIC does not get a reply from the controlling office or higher authority after 30 days
- DTIC may assign Distribution F
 - Adds to the repository
 - When the document is requested, makes another attempt to identify and get a response from the controlling office





- Unless otherwise directed by the DoD sponsor, the contractor shall submit 1 copy of the final report directly DTIC which is the designated repository and secondary distributor of DoD-supported research, development, test and evaluation (RDT&E) information.
- You do not need to be registered for DTIC services to submit documents to the TR Database, unless the report submitted through one of DTIC's Electronic Document Submission Systems.
- Note that in accordance with DoDD 3200.12 DoD Scientific and Technical Information Program, the DoD sponsor and contracting office has ultimate responsibility for ensuring that the SBIR contractor or DoD activity provides DTIC with all Phase I and Phase II technical reports developed under SBIR contracts.





- Standard DFARS clauses do not include delivery requirements
- Statement of Work (SOW) or Contract Deliverable Requirements List (CDRL) should specify:
 - Content
 - Markings
 - Classification
 - Distribution Statement
 - Legends
 - Warnings
 - Primary Distribution
 - Recording/storage format (Paper, Digital, Application, PDF)
 - Delivery Medium





Primary Distribution

- List DTIC on primary distribution
- If the controlling organization requires a pre-review of contractor's reports before sending to DTIC, CDRL or statement of working should detail this requirement.
- For example, AFRL states:

".....that distribution to DTIC shall only be through Air Force distribution channels."





<u>Delivery Medium – Mail</u>

- See the instructions for Submitting Items to DTIC's TR Database: http://www.dtic.mil/dtic/submit/howtosubmit.html
- Do not address to an individual
- Recommend you submit SBIR reports on a CD to:

Defense Technical Information Center

ATTN: DTIC-OA (SBIR) 8725 John J. Kingman Rd Fort Belvoir, VA 22060-6218

 You do not need to be registered for DTIC services to submit documents to the TR Database.



<u>Delivery Medium – Electronic</u>

- Do not send SBIR reports as regular email attachments
 - Proprietary information is controlled unclassified information (CUI)
- You may email SBIR reports by utilizing the CAC encryption (not to be confused with digital signature).
- Email to: <u>aq@dtic.mil</u>
 - Do not send to personal email address
- STINT-TR Electronic Document Submission System (unclassified-unlimited & unclassified-limited documents):
 http://www.dtic.mil/dtic/submit/electronic/index.html



Final Report for Phase II

- The guidance provided for SBIR final reporting is generally applicable for Phase II projects.
- It is emphasized that DoD activities must ensure that DTIC be provided copies of final reports for both Phase I and Phase II projects.



Notices of Change & Extension of SBIR Data Rights Protection Period for Phase I & II Data

- The SBA PD 2002 is a regulatory clarification of data rights protection for SBIR Phase III.
- SBIR contractors may request an extension of data rights protection with any follow-on federal SBIR contract referencing earlier protected data.
- The follow-on contract could be a Phase I or Phase II as well as a Phase III.



Notices of Change & Extension of SBIR Data Rights Protection Period for Phase I & II Data

- Markings and Distribution controls shall remain in effect until changed or removed by the DoD Controlling office.
- To change report classification or distribution, the DoD Controlling Office must send a signed letter on letterhead to:

Defense Technical Information Center

ATTN: DTIC-OQ 8725 John J. Kingman Rd Fort Belvoir, VA 22060-6218 or

FAX: 703-767-9244





Notices of Change & Extension of SBIR Data Rights Protection Period for Phase I & II Data

DTIC will:

- 1. Scan and append the written notice from the controlling office to the imaged document.
- 2. Change the Date of Determination in the online bibliographic record to the extended date
- 3. Add a Supplementary Note field to the citation that reads: *The SBIR Data Rights Protection period is extended through Phase (II or III) and expires (Month, Date, Year)*



SBIR Report Feedback

Private STINET's Scheduled Search Service

- Provides Report Feedback
 - Easy as SEARCH SAVE Schedule
 - Receive the AD number as well as other citation information about all future documents that you submit to DTIC.
 - Email notification will be sent to you either Biweekly, Monthly, or Quarterly.
- Available in Private STINET through the Technical Reports database (as well as Research Summaries, IR&D).





SBIR Report Feedback

Private STINET's Scheduled Search Service

- To register:
 - 1. You must be a DTIC registered user to gain access to Private STINET. If not, register for Private STINET online at: http://www.dtic.mil/dtic/registration/
 - 2. Either develop and save your own search strategy through Private STINET's Scheduled Search Service (Step-by-step instructions for completing a basic search are at: http://www.dtic.mil/dtic/submit/howtosubmit.html

- OR -

Contact a DTIC information retrieval analyst on (703) 767-8266, DSN 427-8266, or 1-800-225-DTIC (menu selection 1, option 2) or email: <u>bibs@dtic.mil</u>.



Online Resources

- **DoD Instruction 3200.14,** Principles & Operational Parameters of the STIP
 - http://www.dtic.mil/whs/directives/corres/pdf/320014p.pdf
- Submitting to DTIC
 - http://www.dtic.mil/dtic/submit/
- DoD Directive 5230.24, Distribution Statements
 - http://www.dtic.mil/dtic/pdf/submit/523024p.pdf
- DoDD 5230.25, Export Control
 - http://jitc.fhu.disa.mil/jitc_dri/pdfs/d523025p.pdf
- **DFARS Clause 252.227-7018**, SBIR Data Rights Legend:
 - http://www.acq.osd.mil/dpap/dars/dfars/html/current/252227.htm#252.227-7018.
- Electronic Submission
 - http://www.dtic.mil/dtic/submit/electronic/index.html
- Form 298 & 530 / Private STINET's Scheduled Search Service
 - http://www.dtic.mil/dtic/submit/howtosubmit/howtosubmit.html





Points of Contact

Defense Technical Information Center Information Collection Division

Ms. Shari Pitts

(703) 767-9001 DSN 427-9001

spitts@dtic.mil

Ms. Eva Adams

(703) 767-9008 DSN 427-9008

eadams@dtic.mil