



# **SBIR/STTR**

# **Report Preparation and Report Submission**

# **to DTIC**

OCT 2016

Defense Technical Information Center  
Information Collection Division



# SBIR/STTR Report Preparation

## This instruction will provide:

- Descriptions and explanations of the two items that should accompany each DoD-funded SBIR/STTR report submitted to DTIC:
  - A. SF298, Report Documentation Page (required)\***
  - B. Report Cover Page**
- Common problem areas & their solutions on each form, such as:
  - Distribution Statements
  - SBIR/government data rights
  - Abstract limitations
  - Export Control (if applicable)
- Links for submitting reports to DTIC online and other options to send reports to DTIC

\*The SF298, Report Documentation Page, is **required**  
for each report per DoDM 3200.14, Vol. 1,

[http://www.dtic.mil/whs/directives/corres/pdf/320014vol1\\_2014.pdf](http://www.dtic.mil/whs/directives/corres/pdf/320014vol1_2014.pdf)



# SBIR/STTR Report Preparation

**Each DoD-funded SBIR/STTR report sent to DTIC should include:**

- A. SF298, Report Documentation Page (required)**
- B. Report Cover Page**

The above pages capture bibliographic data (metadata, descriptive information about the report, or tags) that describe the DoD-funded report.

This information is essential to:

- Create a citation for the report in DTIC
- Support searching the DTIC collection
- Enhance search results



# SBIR/STTR Report Preparation

The following slides describe and explain:

- A. SF298, Report Documentation Page**
- B. Report Cover Page**



# SBIR/STTR Report Preparation – SF298

The SF298 is a one-page form that collects the report's metadata. The SF298 is needed to comprehensively collect metadata and ensure the correct cataloging and identification of each report. Accurate metadata produces accurate search results.

Use this link to obtain an SF298

<http://www.dtic.mil/whs/directives/forms/eforms/sf0298.pdf>

- The link provides a fillable & savable PDF of the SF298. Completion instructions are included in the PDF.
- The SF298 must accompany each report you submit to DTIC.



# SBIR/STTR Report Preparation – SF298

## Required Fields on the SF298

- Box 1 - Report Date
- Box 2 - Report Type
- Box 4 - Title
- Box 7 - Performing Organization information
- Box 9 - Sponsoring/Monitoring Organization information
- Box 12 - Distribution/Availability Statement
- Box 17 – Limitation of the Abstract  
(*this entry is required if an abstract is entered in Box 14*)
- Boxes 19a & b - Name & Phone of Responsible Person

*Not all the fields on the SF298 are required for completion.*

REPORT DOCUMENTATION PAGE			Form Approved OMB No. 0704-0188	
<small>Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (0704-0188), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. (PLEASE DO NOT FORGET TO RETURN THIS FORM TO THE ABOVE ADDRESS.)</small>				
1. REPORT DATE (DD-MM-YYYY)	2. REPORT TYPE	3. DATES COVERED (From - To)		
4. TITLE AND SUBTITLE	5a. CONTRACT NUMBER		5b. GRANT NUMBER	
6. AUTHOR(S)	5c. PROGRAM ELEMENT NUMBER		5d. PROJECT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)	5e. TASK NUMBER		5f. WORK UNIT NUMBER	
8. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES)	8. PERFORMING ORGANIZATION REPORT NUMBER		10. SPONSOR/MONITOR'S ACRONYM(S)	
9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES)	11. SPONSOR/MONITOR'S REPORT NUMBER(S)			
12. DISTRIBUTION / AVAILABILITY STATEMENT				
13. SUPPLEMENTARY NOTES				
14. ABSTRACT				
15. SUBJECT TERMS				
16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT	18. NUMBER OF PAGES
a. REPORT	b. ABSTRACT	c. THIS PAGE		19a. NAME OF RESPONSIBLE PERSON
				19b. TELEPHONE NUMBER (include area code)

Standard Form 298 (Rev. 8-98)  
Prescribed by ANSI Std. Z39.18



# SBIR/STTR Report Preparation – SF298

- In addition to the required fields, enter data in the following fields, if known or if applicable:
  - Box 3 - Dates Covered
  - Box 5a - Contract Number (strongly recommended to complete); Box 5b – Grant Number
  - Box 6 - Author(s) (strongly recommended to complete)
  - Box 13 - Supplementary Notes – enter additional information such as: the SBIR phase, SBIR topic number (strongly recommended to complete); references to other volumes, parts, appendices or antecedent editions or if the document supersedes another
  - Box 14 – Abstract
  - Boxes 16a, b & c – Security Classification of the report, abstract & the page (DTIC strongly recommends you complete boxes 16a, b & c)

Additional data will deliver more accurate and complete search results.



# SBIR/STTR Report Preparation – Report Cover Page

The Report Cover Page contains contractor and sponsoring/monitoring agency information that further explains the contractual relationships. Each SBIR/STTR report sent to DTIC should be accompanied by a Report Cover Page that includes the following information:

Title of the Report	Principal Investigator/Author(s)	Report Date
DoD Sponsoring Organization Name & Address	Contractor Company name & address	Export Control Warning (if applicable)
SBIR Topic Number	SBIR Phase	Contract Number
Classification	Distribution Statement	SBIR Data Rights Statement





# SBIR/STTR Report Preparation – Report Cover Page

This is a sample Report Cover Page. Note the contents; most of the information mirrors the SF298.

Your Report Cover Page may look different but it should include the same types of information.

There is no required format for a Report Cover Page.

## ACME CORPORATION

230 Fairfield Rd., Fairfield, NJ 07004

### ACME Instant Tunnel



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SBIR Phase II Final Report Date: APR 25, 2016  
Performance Period: JUL 1, 2015 – APR 15, 2016  
SBIR Topic Number: 05-188 Contract Number: X4556Y-03-Z-0089

Sponsoring Agency:  
U.S. Defense Command  
221 Extra Mile Rd.  
ATTN: USDC-AB-CD-E-FG  
Washington DC 20310-1155

#### SBIR DATA RIGHTS

Contract No. [X4556Y-03-Z-0089](#)  
Contractor Name [Acme Corporation](#)  
Contractor Address [230 Fairfield Rd., Fairfield, NJ 07004](#)  
Expiration of SBIR Data Rights Period [April 25, 2021](#)

**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 data, 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 (SBIR), SBIR Topic 05-188, April 25, 2016 Other request for this document shall be referred to U.S. Defense Command, 221 Extra Mile Rd., ATTN: USDC-AN-AF-M-CG, Washington DC 20310-1155

UNCLASSIFIED



# Common Problems & Their Solutions

The following slides address common problems encountered when completing the SF298 and the Report Cover Page.

Solutions are provided with elaborations.



# SF298 - Common Problems & Their Solutions

**Problem** SF298, Box 12 – distribution level Some reports are submitted as distribution A, C, or D but should actually be distribution B or E. Most SBIR reports in DTIC are distribution B or E. These distributions limit access to the report to U.S. government agencies or DoD components only. Additionally, these distribution levels restrict access to small businesses' proprietary information from other contractors.

- a. Solution – use distribution B or E. See the full wording in “Distribution Statements & Their Corresponding Reasons for Use”  
[http://www.dtic.mil/dtic/pdf/distribution\\_statements\\_and\\_reasons.pdf](http://www.dtic.mil/dtic/pdf/distribution_statements_and_reasons.pdf).

OR

- b. Solution - if your contract requires distribution A, C, or D, request a contract modification to B or E from your Program Manager or Technical Point of contact

OR

- c. Solution - if you prefer to use, or must use, distribution A, C, or D, and your report has proprietary information/research in it, include a statement surrendering your data rights. Use the Supplementary Notes, box 13 on the SF298 for this statement and include it on the report cover page.



# SF298 - Common Problems & Their Solutions

**Problem** SF298, Box 12 – the distribution reason Some reports submitted do not use **proprietary information** as a reason. Most research completed by small businesses contains **proprietary information**. If your research is proprietary, use that as your distribution reason.

- a. Solution – if your distribution is B or E, and there is proprietary information in the report, then use “**proprietary information**” as a reason in box 12.

NOTE: You may use up to three reasons as distribution reasons. Example: If the report is export controlled and contains proprietary information, use both as the distribution reasons.



# SF298 - Common Problems & Their Solutions

**Problem** SF298, Box 12 – date of determination Some reports submitted do not identify the date of determination. The date is important for document identification and for legal, contractual, and regulatory evidentiary purposes. The date of determination is the date on which the reason for assigning a specific distribution statement was determined. It may be the beginning date of the contract, the date of the report, or another date specified by the contract.

- a. **Solution** –Use one of these dates unless the contract identifies a different date:
  - i. The date of the report
  - ii. The date the report was sent to the sponsoring/monitoring agency
  - iii. A date during the terms of the contract



# SF298 - Common Problems & Their Solutions

**Problem** SF298, Box 12 referral agency – Some reports indicate that inquiries about the report should be referred to the performing office. Refer requests for the report to the controlling DoD office only. The controlling DoD office is the only entity that can respond to referral requests. The controlling DoD office, also known as the sponsoring/monitoring agency, is identified in box 9 on the SF298.

- a. **Solution** - Use this wording “Other requests for this document shall be referred to [name of the controlling DoD office].”

OR

- b. **Solution** – Use this wording “Other requests for this document shall be referred to the office listed in box 9.”



# SF298 - Common Problems & Their Solutions

**Problem** SF298, Boxes 16a, 16b, or 16c classification of the report, abstract and page – Only one entry is permitted in each box. Enter only the classification of the report in 16a; classification of the abstract in 16b ; and classification of the page in 16c. DTIC strongly recommends completion of these three boxes.

Unclassified data is designated with “Unclas” or “Unclassified” or “U.” Classified data is designated with “Confidential” or “C” or “Secret” or “S.” (See DoD Manual 5200.01 volume 2 for additional information on marking classified information

[http://www.dtic.mil/whs/directives/corres/pdf/520001\\_vol2.pdf](http://www.dtic.mil/whs/directives/corres/pdf/520001_vol2.pdf) .)

- a. **Solution** - Enter only “Unclas” or “Unclassified” or “U” in each box if the report, abstract, and page are each unclassified. Make no other entries in these boxes.

OR

- b. **Solution** – Enter only “C” or “S” in each box if the report, abstract, and page are each classified. Make no other entries in these boxes.

*NOTE: Occasionally, a classified report may have an unclassified abstract and/or an unclassified page.*



# SF298 - Common Problems & Their Solutions

**Problem** SF298, Box 17 Limitation of Abstract, – the entry in box 17, Limitation of Abstract, refers to the distribution limitation regarding the abstract. The only allowable entries are “SAR” or “UU.”

- a. Solution - “SAR” means “same as report.” Enter “SAR” if the abstract has the same distribution as the report. If the report has limited distribution, and you enter SAR in box 17, then access to the abstract will have the same limited distribution.

OR

- b. Solution – “UU” means “unclassified and unlimited.” Enter “UU” if anyone may have access to the abstract. **UU is recommended.** With UU, access to the abstract will be unlimited and result in greater visibility of the research and more accurate search results. NOTE: A report may have limited distribution and its abstract may have unlimited distribution.





# Report Cover Page - Common Problems & Their Solutions

## The SBIR Data Rights Clause

The federal government has SBIR data rights to all technical data or computer software that was produced under an SBIR contract. The federal government may use the data for government purposes only. The data rights begin on the contract award date and end five years after completion of the project.

SBIR reports containing proprietary information must contain the SBIR Data Rights Clause (see next slide) to identify SBIR data rights. Use this link for details:

[http://www.acq.osd.mil/dpap/dars/dfars/html/current/227\\_71.htm](http://www.acq.osd.mil/dpap/dars/dfars/html/current/227_71.htm)

- a. Add the SBIR Data Rights Clause, located on the next slide, to a SBIR report cover page or to a separate page if space is an issue on the cover page. The DFARS requires that the Contractor enter the expiration date for the SBIR data rights period. If a contract is extended, the expiration date is automatically extended.



# Report Cover Page - Common Problems & Their Solutions

Add this clause to the report you are submitting to DTIC.

## SBIR DATA RIGHTS

Contract No. \_\_\_\_\_.

Contractor Name \_\_\_\_\_.

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.



## Report Cover Page - Common Problems & Their Solutions

### The Export Control Warning (if applicable)

If the DoD controlling office (sponsoring/monitoring agency) has determined the report is subject to export control, the report must be marked with the warning provided by DoDI 5230.24.

<http://www.dtic.mil/whs/directives/corres/pdf/523024p.pdf>.

Export-controlled information may be disseminated only to U.S. citizens or to a person who has been lawfully admitted into the United States for permanent residence and is located in the United States.

- a. Solution - Add the Export Control Warning, located on the next slide, to a SBIR report cover page or to a separate page if space is an issue on the cover page.



## Report Cover Page - Common Problems & Their Solutions

### The Export Control Warning (if applicable)

Add this warning to the report sent to DTIC:

“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 (Title 50, U.S.C., App. 2401 et seq.), as amended. Violations of these export laws are subject to severe criminal penalties. Disseminate in accordance with provisions of DoD Directive 5230.25.”



# SBIR/STTR Report Submission

The following slides address how to send the report to DTIC and provides online resources that may assist you.



# SBIR/STTR Report Submission

## Online submission options:

- ❖ Submit public release reports as an email attachment to [TR@dtic.mil](mailto:TR@dtic.mil)
- ❖ Submit restricted distribution or public release reports online to the DTIC submission site (ECMS): <http://www.dtic.mil/dtic/submit/submit.html> You must be a registered DTIC user to use this site, register here: <https://reg.dtic.mil/DTICRegistration/>
- ❖ Send classified reports via SIPRNET as an email attachment to [TR@dtic.smil.mil](mailto:TR@dtic.smil.mil)
- ❖ Submit classified reports to DTIC on a classified system online: <https://www.dtic.smil.mil/dtic/submit>. You must be a registered DTIC user to use this site, register here: <https://reg.dtic.mil/DTICRegistration/>

Any SBIR report - public, restricted or classified - may be sent on a DVD/CD to:

**Defense Technical Information Center**

**DTIC-CI (SBIR)**

**8725 John J. Kingman Rd.**

**Ft. Belvoir, VA 22060-6218**



# SBIR & STTR Report Preparation Resources

- **DTIC Document on Distribution Statements**, *Distribution Statements & Their Corresponding Reasons for Use*  
[http://www.dtic.mil/dtic/pdf/distribution\\_statements\\_and\\_reasons.pdf](http://www.dtic.mil/dtic/pdf/distribution_statements_and_reasons.pdf)
- **DoDI 5230.24**, *Distribution Statements on Technical Documents (including Export Control)*  
<http://www.dtic.mil/whs/directives/corres/pdf/523024p.pdf>
- **DoDD 5230.25**, *Withholding of Unclassified Technical Data From Public Disclosure (including Export Control)*  
<http://www.dtic.mil/whs/directives/corres/pdf/523025p.pdf>
- **Classification** - [http://www.dtic.mil/whs/directives/corres/pdf/520001\\_vol1.pdf](http://www.dtic.mil/whs/directives/corres/pdf/520001_vol1.pdf)
- **SBIR/Government Data Rights** - <http://www.acq.osd.mil/dpap/dars/dfars/html/current/252227.htm>
- **Export Control** (if applicable) - <http://www.dtic.mil/whs/directives/corres/pdf/523024p.pdf>
- **SF298 Report Documentation Page** - <http://www.dtic.mil/whs/directives/forms/eforms/sf0298.pdf>
- **DTIC Electronic Document Submission site** - *Enterprise Content Management System (ECMS)*  
<http://www.dtic.mil/dtic/submit/submit.html>
- **DTIC Registration site** - <https://reg.dtic.mil/DTICRegistration/>



# SBIR & STTR Report Preparation Resources

If you have questions or need further assistance regarding SBIR or STTR report preparation and submission, please contact the DTIC Information Collection Directorate

at

[dtic.belvoir.ecm.mbx.acquisitions@mail.mil](mailto:dtic.belvoir.ecm.mbx.acquisitions@mail.mil)

or call

1-800-225-3842 (selection 6)