



# *Defense Technical Information Center*

## Information Collection Division

### *Interim & Final Reports Preparation & Submission*



# 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*



# *Document Cover*

- DTIC does secondary distribution based on classification and distribution statements found on:
  - Document cover, the primary source
  - SF298 Report Documentation Page
- Therefore, all documents submitted to DTIC *must have a distribution statement.*
- ***The distribution statement and other markings can co-exist, but must not conflict or contradict each other.***



# *Document Cover*

## Contractor & Report Identifying Information

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



# *Document Cover*

## Security, Data Rights and Release Markings and Legends

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



# *Document Cover*

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.



# *Document Cover*

## 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*.
- Contractors shall **not** mark their deliverables with the term “Company Confidential” which may be confused with “Confidential” classification.



# *Document Cover*

## Government Data Rights

- Technical data may be released only in accordance with Government License Rights in those materials.
- Licenses govern what the Government can do
  - Government data rights/licenses
    - » Unlimited
    - » Government purpose
    - » Lesser rights
- DFARS Subpart 227.7 governs license rights and restrictive markings



# *Document Cover*

## Government Data Rights

### Unlimited Rights *(as defined in the FAR):*

- U.S. Government contract work subject to the following license:

The Government is granted for itself and others acting on its behalf a **paid-up, nonexclusive, irrevocable worldwide license in the work to reproduce, prepare derivative works, and perform publicly and display publicly** by or on behalf of the Government. All other rights reserved by the copyright owner.

- Includes the right to distribute to the public.



# *Document Cover*

## Government Data Rights

### Government Purpose Rights:

- Rights to use, modify, reproduce, perform, display, or disclose technical data in within the Government without restriction; and
- Release or disclose technical data outside the Government and authorized persons to whom release or disclosure has been mad to use, modify, reproduce, release, perform, display or disclose that data for United States government purposes.

### Lesser Rights:

- Limited Rights (Technical data only)
- Restricted Rights (Computer software only)
- Special License Rights
- Small Business Innovation Research (SBIR)
- Pre-existing markings



# *Document Cover*

## 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.**



# *Document Cover*

## 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 **not** be used on DoD reports that are subject to export-control.



# *Document Cover*

## Distribution Statements

- 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)



# *Document Cover*

## 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**

Format --

Distribution authorized to (Audience); (Reason); (Date of Determination).  
Other requests for this document shall be referred to (Controlling Office)



# *Document Cover*

## Distribution Statements

### ***Audiences:***

- Distribution A: Public Release
- Distribution B: US Government Only
- Distribution C: US Government & Contractors
- Distribution D: DoD & Contractors
- Distribution E: DoD only
- Distribution F: Further dissemination as directed
- Distribution X: Export Control

*Exceptions must be approved by controlling agencies, via the Form 55 process*



# *Document Cover*

## Distribution Statements

### *Reasons:*

- Administrative/Operational Use
- Contractor Performance Evaluation
- Critical Technology \*\*
- Direct Military Support \*\*
- Foreign Government Information
- Proprietary Information
- Test and Evaluation \*\*
- Premature Dissemination
- Software Documentation
- Specific Authority

\*\* **Also subject to Export-Control** - DODD 5230.25, "Withholding of Unclassified Technical Data From Public Disclosure"

<http://www.dtic.mil/whs/directives/corres/html2/d523025x.htm>



# *Document Cover*

## 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



# *Document Cover*

## 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.



# Completed Document Cover Example



*Research, Inc*  
904 Culpeper Street, Lexington, VA 24450

## Contractor & Report ID Information

- Contractor Name & Address
- Report Title
- Report Date
- Contract Number
- Principle Investigator
- DoD Sponsor/Monitor (Controlling Office), Address

**Final Report**

**Automatic Speech Recognition**

**July 28, 2004**

Reporting Period: **July 28, 2003 – July 1, 2004**

*Prepared for:*  
*Defense Advanced Research Projects Agency (DARPA)*  
*Advance Technology Office*  
*3701 North Fairfax Drive*  
*Arlington, VA 22203-1714*

Under Contract Number:  
**HR00011-03-C-9999**

*Submitted by*  
*Wayne Russell Kelly, Ph.D., Principle Investigator*  
*(555) 876-0000, e-mail: [wrkelly@abc123research.com](mailto:wrkelly@abc123research.com)*

## Security, Data Rights & Release Markings and Legends

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

### LIMITED RIGHTS

Contract No. HR0011-04-C-9999  
Contractor Name: ABC/123 Research, Inc.  
Contractor Address: 904 Culpeper Street, Lexington, VA 24450

The Government's rights to use, modify, reproduce, release, perform, display, or disclose these technical data are restricted by paragraph (b)(3) of the Rights in Technical Data-Noncommercial Items clause contained in the above identified contract. Any reproduction of technical data or portions thereof marked with this legend must also reproduce the markings. Any person, other than the Government, who has been provided access to such data must promptly notify the above named Contractor.

### DISTRIBUTION STATEMENT B

Distribution authorized to U.S. Government agencies; Proprietary Information (DFARS - Limited Rights). Other request for this document shall be referred to Defense Advanced Research Projects Agency, 3701 North Fairfax Drive Arlington, VA 22203-1714

### EXPORT CONTROL

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 6230.25.

### DESTRUCTION NOTICE

For unclassified, limited documents, destroy by any method that will prevent disclosure of contents or reconstruction of the document.

*Use or disclosure of the report data in paragraphs or Figures specifically identified by an asterisk (\*) are subject to the PROPRIETARY LIMITED DATA RIGHTS restriction on the Cover Sheet of this report.*

**UNCLASSIFIED**



# *Completing the SF298*

- 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.**



# Completing the SF298

Standard Form 298

<http://www.dtic.mil/dtic/submit/howtosubmit/howtosubmit.html>

REPORT DOCUMENTATION PAGE				Form Approved OMB No. 0704-0188	
<p>The public reporting burden for this collection of information is estimated to average 7 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and reviewing 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 the burden, to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (1204 D188), 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.</p> <p>PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ADDRESS.</p>					
1. REPORT DATE (DD MM YYYY)		2. REPORT TYPE		3. DATES COVERED (From To)	
4. TITLE AND SUBTITLE				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S)				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSOR/MONITOR'S ACRONYM(S)	
				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	19a. NAME OF RESPONSIBLE PERSON
a. REPORT	b. ABSTRACT	c. THIS PAGE			19b. TELEPHONE NUMBER (include area code)





# Completing the SF298

- **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.
- **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.



# Completing the SF298

REPORT DOCUMENTATION PAGE			Form Approved OMB No. 0704-0188		
<small>The 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 reviewing 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 the 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.</small> <b>PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ADDRESS.</b>					
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a. REPORT	b. ABSTRACT	c. THIS PAGE			19b. TELEPHONE NUMBER (include area code)

- Report Date
- Report Type
- Dates Covered



# Completing the SF298

- 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) – *Who did the work?*
  - Complete names and addresses are needed to determine whether or not a contributor is already listed in our database (please, no acronyms)



# Completing the SF298

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- Report Title
- Authors
- Funding Numbers
- Performing Organization  
(Contractor Name & Address)



# Completing the SF298

- Performing Organization Report Number (Block 8) –
  - A number assigned to the document by the contractor (not the controlling office).
  - Unique alphanumeric number which can be use to further identify and distinguish the report back to the performing organization / contractor.
- Sponsor/Monitor (Controlling Office) (Block 9) – *Who paid for the work?*
  - 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



# Completing the SF298

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- Performing Organization Report Numbers
- Sponsor/Monitor Organization (Controlling Office Name & Address)



# Completing the SF298

- 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



# Completing the SF298

- Sponsor/Monitor Organization Report Number
- Distribution Statement
- Supplementary Note

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# Completing the SF298

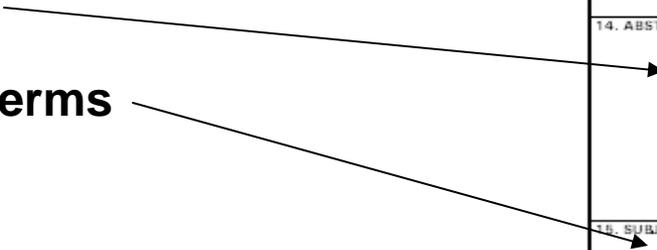
- **Abstract (Block 14) - *Thank goodness for cut & paste***
  - Brief (2000 characters/approximately 200 words) summary of the report
    - » Identifies the purpose of the work and briefly describe the work completed, the findings or results and the potential application of the effort. Since the abstract 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
    - » Additional sources are title, abstract, introduction, conclusion, bibliography, table of contents
    - » Descriptors and Identifiers
    - » Machine Aided Indexing
    - » Classified vs. Unclassified



# Completing the SF298

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- Abstract
- Subject Terms





# Completing the SF298

- 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.



# Completing the SF298

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- Security Classification
- Limitation of Abstract
- Name/Phone Number of Responsible Person



# Completed SF298 Example

- (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
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4. TITLE AND SUBTITLE Automatic Speech Recognition		5a. CONTRACT NUMBER HRO011-03-C-9999		
6. AUTHOR(S) Dr. Wayne Russell Kelly, Ms. Kate B. Robb, Mr. Nicholas Preston		5b. GRANT NUMBER		
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) ABC/123 Research, Inc 904 Culpeper Street Lexington, VA 24450		5c. PROGRAM ELEMENT NUMBER		
9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES) Defense Advanced Research Projects Agency (DARPA) 3701 North Fairfax Drive Arlington, VA 22203-1714		5d. PROJECT NUMBER		
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13. SUPPLEMENTARY NOTES EXPORT CONTROL. Report contains color images.		5f. WORK UNIT NUMBER		
14. ABSTRACT This document is the Final Report of the Automatic Speech Recognition project funded by DARPA contract HRO011-03-C-9999. This Final Report discusses the successful completion of the program objectives.		8. PERFORMING ORGANIZATION REPORT NUMBER 01-231		
15. SUBJECT TERMS Speech Recognition, Adaptive Control Systems, Pilots, Human Factors Engineering, Words (Language), Speech Transmission, Voice Communications, Reaction Control Systems, Word Recognition		10. SPONSOR/MONITOR'S ACRONYM(S) DARPA		
16. SECURITY CLASSIFICATION OF: a. REPORT Unclassified		11. SPONSOR/MONITOR'S REPORT NUMBER(S) DARPA-TR-2001-0022		
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**ABC/123 Research, INC.**

409 Culpeper Street, Lexington, VA 24450

## **Propulsion Systems Technology**

*SBIR Phase I Final Report - July 28, 2002*

Period of Performance: July 28, 2001 – July 1, 2002  
SBIR Topic Number: N01-102  
Contract Number: N00022-01-M-9999

Prepared by:  
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For:  
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- (13) Supplementary Note
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5. AUTHOR(S) Dr. Wayne Russell Kelly, Ms. Kate B. Robb, Mr. Nicholas Preston		5b. GRANT NUMBER		
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) ABC/123 Research, Inc 409 Culpeper Street Lexington, VA 24450		60. PROGRAM ELEMENT NUMBER		
9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES) Office of Naval Research (ONR) One Liberty Center 875 North Randolph Street, Suite 1425 Arlington, VA 22203-1995		6d. PROJECT NUMBER		
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13. SUPPLEMENTARY NOTES EXPORT CONTROL, SBIR Topic N01-102		6f. WORK UNIT NUMBER		
14. ABSTRACT Report developed under SBIR contract for Topic N01-102. 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.....		8. PERFORMING ORGANIZATION REPORT NUMBER 01-231		
16. SUBJECT TERMS SBIR (Small Business Innovation Research); Propulsion; Engine; Simulator; Turbine; Missile		10. SPONSOR/MONITOR'S ACRONYM(S) ONR		
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AFRL-VA-WP-TP-2007-314

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Jacob Hinchman and Daniel Schreiter



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14. ABSTRACT				
This presentation was prepared for the 2007 Aerial Refueling Systems Advisory Group (ARSAG) conference to update the status of the Automated Aerial Refueling program at the Air Force Research Laboratory.				
15. SUBJECT TERMS				
automated aerial refueling, UAV refueling, precision global positioning system, boom-receptacle refueling, station keeping flight test				
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