

**BY ORDER OF THE COMMANDER
AIR FORCE RESEARCH LABORATORY
(AFRL)**

**AIR FORCE RESEARCH LABORATORY
INSTRUCTION 61-201**



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Scientific/Research and Development**

**AFRL RESEARCH AND
DEVELOPMENT (R&D) WORK UNIT
RECORDS AND SCIENTIFIC AND
TECHNICAL (S&T) REPORTING**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction implements Air Force Policy Directive (AFPD) 61-1, *Management of Science and Technology*, AFPD 61-2, *Management of Scientific and Technical Information*, and AFPD 33-3, *Information Management*. This instruction defines policy, responsibilities, and procedures for Research and Development (R&D) Work Unit Records and Scientific and Technical (S&T) Reporting for all Air Force Research Laboratory (AFRL) R&D Work Units. It augments, and is intended to be used in concert with AFRL Instruction (AFRLI) 61-104, *Science and Technology (S&T) Systems Engineering (SE) and Technical Management*, AFRLI 61-108, *Science and Technology Program Management*, and AFRLI 61-205, *AFRL Science and Technology (S&T) Investment Hierarchy and Data Requirements*. In general, guidance and instruction included in higher-level policy directives and instructions is not repeated, but rather included by reference. The overall objective of the guidance and direction within is to ensure that AFRL R&D Work Unit Records and S&T reporting satisfy or exceed statutory requirements as established in the policy directives cited above. This instruction applies to AFRL personnel involved with R&D Work Units. Technology Directorates (TDs) may prepare supplements to document internal requirements and processes that apply to their specific training, technology, and communication needs. However, any proposed supplements must be routed to the Office of Primary Responsibility (OPR) of this publication for coordination and acceptance prior to certification and approval. Refer recommended changes and questions about this publication to the office of

primary responsibility (OPR) using the AF Form 847, *Recommendation for Change of Publication*; route AF Forms 847 from the field through the appropriate functional chain of command. Request for waivers must be processed through command channels to the publication OPR for consideration. Ensure that all records created, as a result of processes prescribed in this publication, are maintained in accordance with (IAW) Air Force Manual (AFMAN) 33-363, *Management of Records*, and disposed of IAW the Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS).

SUMMARY OF CHANGES

This publication has been substantially revised and must be completely reviewed. It incorporates AFRLIs 61-201, 61-202, 61-203, and 61-204.

1. Introduction. This instruction provides definitions and directions pertaining to R&D Work Unit records and S&T reporting for AFRL R&D Work Units. The official AFRL definition of a Work Unit is captured in AFRLI 61-205, *AFRL Science and Technology (S&T) Investment Hierarchy and Data Requirements*. In AFRL, work unit management occurs in the context of the AFRL investment hierarchy as established in AFRLI 61-205, *AFRL Science and Technology (S&T) Investment Hierarchy and Data Requirements*, and AFRL program management practices as established in AFRLI 61-104, *Science and Technology (S&T) Systems Engineering (Se) and Technical Management*) and 61-108, *Science and Technology Program Management*. Guidance and direction in this instruction will be executed in the context of management practices identified in these three AFRL instructions.

1.1. R&D Work Unit Records. The work unit records approach prescribed herein establishes an approach that meets statutory requirements while capturing all reasonably attainable value for stakeholders. This approach emphasizes Air Force records management policy and practice and is focused on the elimination of duplication, and on the exploitation of electronic media to the greatest extent practical. It is media neutral and applies equally to physical and electronic record formats. This instruction also authorizes aggregation of work unit records to the AFRL program level, subject to case-by-case approval of the AFRL Technology Directorate (TD)/711th Human Performance Wing (HPW) Chief Engineer (CE).

1.2. Work Unit S&T Reporting. The overall objective of the S&T reporting component of this instruction is to satisfy the statutory and higher headquarter requirements for reporting results of S&T efforts to ensure capture and reporting of all Scientific & Technical Information (STINFO). The approach incorporates Air Force STINFO management policies regarding goals for format compliance and scope of Air Force reporting requirements as contained in AFPD 61-2, *Management of Scientific and Technical Information*. This instruction authorizes aggregation and compilation of STINFO products of multiple work units into a single Final Technical Report consisting of "Volumes;" subject to case-by-case approval of the AFRL TD/711 HPW CE.

1.3. Provisions. All work units established after the effective date of this instruction shall be governed by this instruction. Managers of existing work units may follow prior approved practices through the life of those work units or may restructure and manage those efforts, with approval of their Branch Chief.

2. Roles and Responsibilities. The following are the roles and responsibilities of key participants in the management of Work Unit Records and S&T reporting.

2.1. AFRL Commander (AFRL/CC).

2.1.1. Provides policy and guidance for the implementation of the AFRL R&D Work Unit Records and STINFO reporting.

2.1.2. Designates responsibility for STINFO program management to AFRL/EN.

2.1.3. Authorizes the AFRL/EN Director to delegate and assign the AFRL STINFO Manager roles and responsibilities, but the AFRL/EN Director remains responsible for overall STINFO program management.

2.2. AFRL Engineering and Technical Management Director (AFRL/EN).

2.2.1. Serves as Functional Lead for Program Management, R&D Work Unit Management, and STINFO.

2.2.2. AFRL's designated STINFO Manager. Oversees development and implementation of policies and processes to ensure STINFO is appropriately created, documented, controlled, and disseminated IAW the Department of Defense (DoD) STINFO program.

2.2.3. Works closely with AFRL/DS to develop records management approaches for work units.

2.2.4. Works closely with AFRL/XP to develop data requirements for work units.

2.3. AFRL Director of Staff (AFRL/DS).

2.3.1. Develops, coordinates, and supports implementation of R&D Work Unit Records and R&D case file processes in support of AFRL/EN program guidance.

2.3.2. Collaborates with AFRL/EN to execute the STINFO program. Supports the development and implementation of policies and processes to ensure STINFO is appropriately identified, documented, disseminated, preserved, marked, protected, and accessible IAW the DoD STINFO program.

2.4. AFRL Technology Directorate (TD)/711th Human Performance Wing (HPW) Director.

2.4.1. Ensures overall development and implementation of processes for Work Unit Records, as outlined in this instruction, are established and maintained.

2.4.1.1. Ensures R&D case files are established for each work unit (or program for aggregated work units), as applicable.

2.4.1.2. Ensures processes are in place for completeness and accuracy of the R&D case file when work units are reviewed and approved.

2.4.1.3. Ensures implementation of standardized R&D case file permissions are in place for Program Managers/Work Unit Managers to collaborate with Assistant Records Managers/ Functional Area Records Managers (ARMS)/(FARMS) to grant access to the R&D case file, as applicable.

- 2.4.1.4. Ensures processes are in place to resolve and document discrepancies of the R&D case file prior to close-out of the work unit and retirement of the R&D case file, to the National Archives and Records Administration (NARA).
- 2.4.1.5. Ensures all personnel who generate, use, or provide support to STINFO products, adhere to the STINFO requirements of this instruction.
- 2.4.1.6. Ensures completion of adequate literature searches within six months prior to contract award or start of any work unit.
- 2.4.1.7. Ensures processes are in place to prepare and submit work unit descriptive data to Unified Research and Engineering Database (URED) within 30 days of start of technical effort and in response to the annual URED data call via Integrated Project and Portfolio Management (IPPM)/Clarity.
- 2.4.2. Ensures processes are in place for submission of any unclassified or SECRET Interim or Final Technical Reports to Defense Technical Information Center (DTIC) no later than 180 days after completion of technical effort of the work unit or program, as appropriate. All Final Technical Reports, whether executed at the work unit or program level, shall comply with the format and delivery requirements to the greatest extent possible. Ensures these reports conform to the AFRL Format Guideline located at this link: https://cs2.eis.afmc.af.mil/sites/1547/IM/P_Fdocs/Pub/AFRL%20IM-3%20Other.pdf.
- 2.5. AFRL TD/711 HPW Chief Engineer.**
- 2.5.1. Designated as the TD/711 HPW's delegated OPR for R&D Work Unit records and S&T reporting policies and processes.
- 2.5.1.1. Designates, in writing, local STINFO Officer(s) and STINFO authorities for TD/711 HPW.
- 2.5.1.2. Defines the Directorate's Technical Report approval process and has the authority to delegate Final Technical Report approval, but remains responsible for overall TD/711 HPW STINFO program management.
- 2.5.2. Supports AFRL/EN in execution of AFRL STINFO policy.
- 2.5.3. Approves, on a case-by-case basis, establishment of an R&D case file at the AFRL program level. The R&D case file is the aggregation of all work units belonging to a specific AFRL program.
- 2.5.4. Approves, on a case-by-case basis, the aggregation of Work Unit Interim and Final Technical Reports at the AFRL program level.
- 2.5.5. Approval authority for waiving the requirement to publish a formal, Final Technical Report. This authority should only be used for exceptional cases where publishing a Final Technical Report is not possible. Examples include inconclusive work performed by defunct contractors or where the CE determines the value of the known results do not warrant the cost of producing a Final Technical Report and those results can be meaningfully reported in a different structure (e.g., a Memo for Record, briefing package, etc.).

2.6. AFRL TD/711 HPW Division and/or Branch Chief.

2.6.1. Requests approval from the TD/711 HPW CE to establish R&D case files at the AFRL program level.

2.6.2. Ensures and certifies by signature the completeness and accuracy of the R&D case file when work unit/program is approved and reviewed.

2.6.3. Ensures positive control and compliance of the R&D case file with this instruction.

2.6.4. Requests TD/711 HPW CE approvals to complete Final/Interim Technical Report of Work Unit's at AFRL program level.

2.6.5. Ensures all personnel who manage, produce, and use STINFO products will complete training and maintain awareness using the Acquisition Workbench Science and Technology Information module located at <https://af-aqweb.deps.mil/Pages/default.aspx> as follows:

2.6.5.1. STINFO Officers/Liaisons will complete all five STINFO awareness modules. All modules will be completed annually except for "Introduction to STINFO." This module will be conducted bi-annually.

2.6.5.2. Program/Work Unit Manager, and/or STINFO originators will initially take the "Introduction to STINFO" module. The "Marking with Distribution Statements" and "Export Control and Foreign Disclosure" modules are completed bi-annually.

2.6.5.3. STINFO training will ensure personnel fully understand STINFO, proper markings, and dissemination of STINFO products.

2.6.6. Ensures procedures are in place to transfer R&D work unit records and case files when program/work unit manager responsibilities are reassigned.

2.6.7. Ensures resolution or documentation of discrepancies with an R&D case file prior to closing out the work unit and transferring the R&D case file to NARA. The transfer of an R&D case file to NARA should be completed no later than one year after close out of the work unit or program.

2.6.8. Ensures newly assigned work unit managers complete the AFRL R&D case file training at <https://cs2.eis.afmc.af.mil/sites/1547/IM/pages/Records%20Management.aspx?PageView=Shared> and complete the AFRL R&D case file training as refresher training bi-annually, as required.

2.7. AFRL Assistant Records Manager (ARM) and/or Functional Area Records Manager (FARM).

2.7.1. Collaborates with program and/or work unit manager to resolve any discrepancies with R&D case file prior to transferring or retiring.

2.7.2. Ensures R&D case file is properly prepared for retirement and retired no later than one year after work unit close out as required in paragraph 2.6.7.

2.7.3. Ensures the Standard Form (SF) 135, *Records Transmittal and Receipt*, is completed when transferring an R&D case file outside of the TD/711 HPW. Reviews the SF Form 135 for completeness and accuracy then files a copy with the permanent retirement record.

2.7.4. Ensures the program/work unit manager and the Records Management Group have permissions to grant access and to add documents to the R&D case file, as applicable.

2.7.5. Collaborates with program/work unit manager to ensure the mandatory case file documents are filed and reviews the case file when it's created, completed, terminated, or retired.

2.8. AFRL (STINFO) Officers and Liaisons.

2.8.1. Through training, oversight and procedures, ensures STINFO products are marked by the Controlling DoD Office (CDO) with the appropriate distribution statement IAW DoDI 5230.24.

2.8.2. Monitors AFRL STINFO metrics, submit technical reports to Defense Technical Information Center (DTIC) and technical libraries, and retire Technical Reports in the AFRL retirement repository.

2.8.3. Ensures reports, which are to be publicly released, are reviewed and cleared for release by the local Public Affairs Office.

2.8.4. Assists the AFRL STINFO program manager in developing policy and processes according to this instruction.

2.8.5. Attends the appropriate AFRL, Air Force, and/or DoD training events, such as the Air Force STINFO Conference or DTIC User Conference, if applicable.

2.9. AFRL Program and/or Work Unit Managers

2.9.1. Manages work unit records, particularly retireable records captured in the R&D case file. Understands R&D Work Unit and S&T reporting requirements established by this instruction and works with line management and TD/711 HPW ARM/FARMS and STINFO Officers/Liaisons to ensure these requirements are satisfied.

2.9.2. Ensures proper execution and documentation of literature search results prior to seeking approval for new work units.

2.9.3. Supports preparation and submission of work unit data to the URED data call.

2.9.4. Ensures preparation, delivery, review, editing, and submittal of Interim and Final Technical Reports and other STINFO products within the framework established by the TD/711 HPW.

3. R&D Work Unit Records. Work Unit Records are a subset of the overall records management program executed by AFRL, which operates under the policy and requirements that are set forth in AFMAN 33-363, *Management of Records*. Work Unit Records are of particular significance to AFRL because work units are the primary vehicle for transacting all S&T work of the organization. A program/work unit records structure is illustrated for reference only at Attachment 2. In general, per AFMAN 33-363, *Management of Records*, duplication for any

purpose will be avoided. When an official record is created by one office and is needed by another, the record should be accessed from the original office.

3.1. The R&D Case File. The Records Disposition System (RDS) item “R&D Case File,” as described in Table & Rule T61-02 R1.02, is the container for retireable documents related to the R&D work unit/program. These are the historical records that will eventually be transitioned to NARA.

3.1.1. R&D Case File Documentation Requirements. As applicable, the records listed here are the only mandatory documents to be maintained at any time during the life of the R&D case file. Any other documentation deemed necessary by the work unit manager as significant to the research effort, except any pre-source selection or source selection data (i.e. technical evaluation, debriefing worksheets, etc.) and Personal Identifiable Information (PII) can be filed.

3.1.1.1. Documentation of completion of adequate literature search.

3.1.1.2. AF Form 813, *Request for Environmental Impact Analysis*.

3.1.1.3. AFRL Form 4, *Initial Safety Assessment*.

3.1.1.4. Documentation certifying the effort represented by the work unit is approved and must contain:

3.1.1.4.1. The scope of the work authorized (summary of Statement of Work (SOW) or actual SOW if not in another AFRL records system).

3.1.1.4.2. The authorized budget profile.

3.1.1.4.3. The authorized start date and projected end date.

3.1.1.4.4. A certifying signature of a management official in the line structure responsible for the work unit.

3.1.1.4.5. For work units that are partially or fully funded with other than Air Force Budget Activities 6.1, 6.2 and/or 6.3 appropriations, documented assignment and agreement of URED and Final Technical Report reporting responsibilities with external funding office (e.g., in a Memorandum of Agreement (MOA)).

3.1.1.5. Documentation authorizing changes to progress, scope, budget, or period of performance.

3.1.1.6. Documentation that reviews have been completed as part of a Program Management Review per AFRLI 61- 108 *Science and Technology Program Management*.

3.1.1.7. Air Force Form 1279, *Disclosure and Record of Invention* (if applicable).

3.1.1.8. R&D Record Book. The Laboratory Notebook can be filed in the case file. However the R&D Record Book is required to document progress of in-house efforts when there is probability for development of an invention, improved technology of an extraordinary nature, or development of hardware, software, methods, or designs that the Air Force may acquire legal rights from the effort.

3.1.2. No human use protocols will be filed in the R&D case file record. These files are separate and are filed IAW AFRLI 40-402, *Protection of Human Subjects in Research*.

3.1.3. In-House R&D Case File. The life of an in-house R&D effort will not exceed eight years. As the scope changes the effort will be closed out and retired and a new effort and R&D case file will be created.

3.1.4. Classified Case Files. Classified R&D case files are maintained as paper case files and marked appropriately with their security classification. Stamp the highest classification of the material filed within the R&D case file folder on the tab and on the front and back cover. Each ARM/FARM should have specific guidelines to create, store, and retire classified case files. When staging or retiring a classified case file, ensure the following statement is on the SF Form 135, "*All classified documents have been reviewed for possible downgrading or declassification. Where proper, classification changes have been shown on each document.*"

3.1.5. Support Case Files. The work unit manager of the supporting, participating, testing, or other activity maintains an R&D support case file. Do not establish a work unit for these types of efforts. R&D support case files do not follow guidance established for R&D case file records. R&D support case files are filed under Table 61-02, Rule 02.00, and R&D Support Case Files accumulated & maintained by supporting, participating, testing or other activity without primary responsibility. **Exception:** In cases where efforts or projects that were not reported or provided to the supported agency or, if the supported agency is not keeping records of the effort, then the supporting Air Force activity maintains all related documentation and establishes an R&D case file record rather than an R&D support case file in order to preserve the records. An agreement should be established between both parties to determine who will maintain the record and who will report final results (i.e., Final Technical Report).

3.1.5.1. Grants, Cooperative Agreements, Cooperative Research and Development Agreements (CRADAs), Technical Investment Agreements (TIAs) do not require an R&D case file. However, a record must be maintained and URED reporting requirements must be accomplished in IPPM/Clarity. If these support an R&D Work Unit, they can be kept in a separate paper or electronic folder with the R&D case file record. Any Technical Reports required by these types of efforts must be submitted to DTIC through the local STINFO Officer.

3.2. **Establishing R&D Case Files at AFRL Program Level.** Work Unit-related records specified in the R&D case file may be aggregated and the R&D case file established at the AFRL program level instead of at the work unit level. In this event, all documentation in paragraph 3.1.1 are required for each work unit, but are all contained in one R&D case file. On a case-by-case basis, some of those records (e.g., documentation of approval) may be accomplished at the program level rather than separately for each work unit. When this aggregation authority is used, only one R&D case file is established, maintained, and eventually retired upon closeout of the program. Use of this aggregation authority is subject to case-by-case approval by the TD/711 HPW CE. When exercising this authority, the CE should consider such factors as: (1) the assigned PM is the Lead S&T Program Manager for the underlying work units (2) program success dependent on integrated work unit results, and

(3) whether work units are properly captured and exist to support the overall program objectives.

3.3. Access to and Control of R&D Case File. Electronic R&D case files use a standardized permissions model. “AFRL/ <TD> Users Gov All” permissions are assigned to each case file as “See/See Contents” to allow every Government employee in the organization access to information. Each program/work unit manager has permissions to file or delete a document in their case file, and add support personnel, if applicable. The program/work unit manager can grant access, with assistance from their ARM/FARM, to administrative support personnel, who may be contractors, to assist in daily maintenance of the R&D case file record when needed. If these records contain protected proprietary information or limited rights data, access must be controlled. Access will be restricted to Government personnel and to contractors with appropriate company-to-company non-disclosure agreements in-place.

3.3.1. Foreign Nationals generally cannot have access to R&D case file records. Any questions regarding what Foreign Nationals may have access to must be directed to the local Foreign Disclosure Office (FDO) and coordinated with the organization’s records manager and the Operations Security (OPSEC) Program Manager.

3.4. Validation of Completeness and Accuracy of R&D Case File. Documentation of Work Unit approval and review (annual or semi-annual as prescribed by AFRLI 61-108, *Science and Technology Program Management*) shall be documented on the Program Management Review and include the statement, “The R&D case file has been reviewed for completeness and accuracy, and any necessary corrective actions have been initiated.” ARMs/FARMS shall review all active R&D case files when the record is created and again when the record is completed, terminated or retired to ensure the mandatory documents are filed. Work Unit Managers will be notified of the review and of any discrepancies noted.

3.5. Transfer of R&D Case Files. TD/711 HPW Division and/or Branch Chief shall ensure procedures are in place for the effective and timely transfer of work unit records and R&D case file responsibilities when changes in program manager or work unit manager occur.

3.6. Establishing and Retiring the R&D Case File. The electronic R&D case file shall be created when the work unit record has been approved and upon completion of items in paragraphs 3.1.1.1 through 3.1.1.4. When creating an R&D case file (in LiveLink/Content Server) use the appropriate workflow that follows the established TD/711 HPW process and procedures. The workflow automatically builds the R&D case file record and permissions.

3.6.1. When established at the work unit level the R&D case file may be retired when all final work unit documentation is completed and filed, but no later than one year after close-out.

3.6.2. The following are required to close out a work unit and R&D case file:

3.6.2.1. Final documentation to include progress, scope, budget, and period of performance.

3.6.2.2. Final documentation of completed Program Management Review per AFRLI 61-108, *Program Baseline Development*.

3.6.2.3. Final Wide Area Workflow (WAWF) receiving report (not required for case file).

3.6.2.4. Final Technical Report date submitted to DTIC.

3.7. Resolving Discrepancies before Retirement. The R&D case file will eventually be retired. Reasonable effort shall be made to address any discrepancies before retiring. Work Units will not be officially closed out or R&D case files retired until related discrepancies in the R&D case file are resolved or documented.

3.8. R&D Work Unit-Related Records. Work Unit-related records that are not associated with the R&D case file will be maintained IAW AFMAN 33-363, *Management of Records*, and follow the appropriate disposition schedule. The illustration in Attachment 2 can be used for reference, as required.

4. S&T Reporting. Guidance and direction in this section addresses a portion of Air Force requirements for management and reporting of STINFO. Air Force requirements for STINFO management are comprehensively and thoroughly documented in Air Force Instruction (AFI) 61-202, *United States Air Force Technical Publications Program*, and are generally not repeated here. The guidance herein augments and clarifies those instructions. Specifically, this instruction addresses AFRL management of the STINFO program, the literature search, URED reporting, and handling of Final Technical Reports. For all other STINFO matters adhere to direction and guidance presented in AFI 61-202, *United States Air Force Technical Publications Program*.

4.1. The Literature Search. A literature search shall be conducted in the six months prior to beginning or making significant changes to new/ongoing basic research, applied research, or advanced technology development efforts in order to avoid duplication of effort and to support justification of the investment. The search must include DoD RDT&E systems, Independent R&D (IR&D), commercial databases, and open literature. Use of available professional librarian support personnel is encouraged, but is optional. If the literature search is not performed by a professional librarian, documentation of completion of adequate literature search will include signature of Branch Chief or higher-level manager in the respective TD/711 HPW.

4.1.1. Phase II Small Business Innovation Research (SBIR) and Small Business Technology Transfer Research (STTR) case files require an adequate literature search. If a Phase I literature was defined sufficiently for its ideas, functionality, and scope of the Phase II proposal, a copy of the Phase I literature search will meet the Phase II requirements only if it's within one year of effort start. Phase III SBIRs shall follow paragraph 4.1.

4.2. Completion of URED Reporting. Basic descriptive information for all work units funded by Air Force Budget Activities 6.1, 6.2, and/or 6.3 shall be submitted to the URED maintained by DTIC. When other funding is involved, the responsibility for URED reporting shall be documented (e.g., in an MOA) and agreed to by all funding parties. In accordance with AFI 61-201, *The Local Scientific and Technical Information Process* and DoDM 3200.14 v1, *Principles and Operation Parameters of the DoD Scientific and Technical Information Program*, data for individual work units will be submitted initially within 30 days of start of the effort, and for all active work units, annually in response to the Assistant

Secretary of Defense for Research and Engineering (ASD(R&E)) call for data. TD/711 HPW Directors shall use IPPM/Clarity for URED reporting.

4.3. Requirement to Submit STINFO to DTIC. DTIC is the centralized DoD repository for technical documents. All results of R&D and STINFO (i.e., technical reports, technical papers, journal articles, or other types of STINFO data) shall be published to DTIC regardless of the outcome. STINFO data published to DTIC should document an effort to allow the Scientific and Engineering (S&E) community to understand the purpose, scope, approach, results/outcome, conclusions, and recommendations. AFRL S&Es shall publish STINFO in as many venues as are practicable, but AFRL S&Es are *required* to report technical results to DTIC for preservation and centralized distribution.

4.3.1. Submit all STINFO documentation, including SF Form 298, *Report Documentation Page*, to TD/711HPW STINFO Officer/Liaison for STINFO processing to obtain a Technical Report number for DTIC submission.

4.3.2. Use AFRL Visual Aid (VA) 61-2, *STINFO Protected Data Cover Sheet*, to protect STINFO and other documents as required.

4.4. Requirement for Interim Technical Reports. Every in-house effort must have a technical publication (i.e., journal articles, interim reports, conference papers, technical papers, briefing charts, etc.) submitted to DTIC every two years. This will ensure the DoD mandate is met by reporting all research work in a timely manner.

4.5. Requirement for Final Technical Reports. All STINFO created in the course of executing work units that are funded by Air Force budget activities 6.1, 6.2, and/or 6.3 funding will be captured or summarized in a Final Technical Report posted to DTIC. This requirement applies to SBIR and STTR work units as well. When other funding is involved, the responsibility for the Final Technical Report shall be documented (e.g., in an MOA) and agreed to by all funding parties.

4.5.1. TD/711 HPW CEs are authorized to approve, on a case-by-case basis, use of a single final report to capture the STINFO of multiple work units. However, any Final Technical Report generated by AFRL personnel or received by AFRL as a deliverable for contracts or other agreements shall be posted as a separate product to DTIC.

4.5.1.1. Aggregated Final Technical Reports shall be completed and submitted to DTIC in volumes if one or more of the component work units (e.g., a contracted effort) deliver a stand-alone Final Technical Report. Results from aggregated work units that lack individual Technical Reports may all be reported in a single Technical Report Volume. The overall volume set will be the completed program's Final Technical Report and shall use the same Technical Report number. Each volume can distinguish the difference in data rights, distribution statements, excursions, and export control limitations. This will ensure the DoD mandate and URED requirements are met in a timely manner.

4.5.2. When Final Technical Reports are executed at the work unit level, the report shall be posted to DTIC no later than 180 days after completion of the technical effort. When the Final Technical Report is executed at program level, the report shall be posted to DTIC no later than 180 days after the program end date, as defined in AFRLI 61-205, *AFRL Science and Technology (S&T) Investment Hierarchy and Data*.

- 4.5.2.1. Program and work unit managers shall collaborate with their TD/711 HPW STINFO Officers to submit waivers for not publishing a Technical Report to the TD/711 HPW CE for approval. Request must provide the work unit number and a thorough justification as to why the report cannot be created/produced. STINFO Officers shall ensure a copy of the signed letter is provided to the TD/711 HPW ARM/FARM and IPPM/Clarity is updated.
- 4.5.3. All Final Technical Reports, whether executed at the work unit or program level, shall comply with format and delivery requirements established by AFI 61-202, *United States Air Force Technical Publications Program*. Adherence to the standards identified therein is to be pursued to the greatest extent practicable. TD/711 HPW Division Chiefs are authorized to approve minor format deviations and discrepancies from those standards on a case-by-case basis, taking into account the cost and benefit of rectifying those deviations. To aid in preparation of acceptable reports, an AFRL Format Guideline is included at https://cs2.eis.afmc.af.mil/sites/1547/IM/P_Fdocs/Pub/AFRL%20IM-3%20Other.pdf.
- 4.5.4. Any Final Technical Reports for any externally funded R&D Work Units, whether prepared by AFRL personnel or received by AFRL as deliverables, shall also be posted to DTIC as documented and agreed to by all funding parties. In these cases, determination of adequacy of quality and timeliness of the report will be made by the funding agency with concurrence from the TD/711 HPW CE. A waiver from publishing a Final Technical Report may be granted by the TD/711 HPW CE in special circumstances (such as at funding agency request).

THOMAS J. MASIELLO, Major General, USAF
Commander

Attachment 1**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

AFI 61-201, *The Local Scientific and Technical Information Process*, 16 June 1995
AFI 61-202, *United States Air Force Technical Publications Program*, 25 July 1994
AFMAN 33-363, *Management of Records*, 1 March 2008
AFPD 33-3, *Information Management*, 8 September 2011
AFPD 61-1, *Management of Science and Technology*, 18 August 2011
AFPD 61-2, *Management of Scientific and Technical Information*, 28 March 2014
AFRLI 61-104, *Science and Technology (S&T) Systems Engineering (SE) and Technical Management*, 16 October 2013
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DoDI 5230.24, *Distribution Statements on Technical Documents*, 23 August 2012
DoDM 3200.14 Volume 1, *Principles and Operation Parameters of the DoD Scientific and Technical Information Program*, 14 March 2014

Prescribed Forms

AFRL Visual Aid 61-2, *STINFO Cover Sheet*

Adopted Forms

AFRL Form 4, *Initial Safety Assessment*
AF Form 813, *Request for Environmental Impact Analysis*
AF Form 847, *Recommendation for Change of Publication*
AF Form 1279, *Disclosure and Record of Invention*
SF Form 135, *Records Transmittal and Receipt*
SF Form 298, *Report Documentation Page*

Abbreviations and Acronyms

AFI —Air Force Instruction
AFMAN —Air Force Manual
AFPD —Air Force Policy Directive
AFRIMS - Air Force Records Information Management System
AFRL – Air Force Research Laboratory

AFRLI —Air Force Research Laboratory Instruction

ARM —Assistant Records Manager

ASD(R&E) —Assistant Secretary of Defense for Research and Engineering

CE —Chief Engineer

CRADA —Cooperative Research and Development Agreements

DoD —Department of Defense

DTIC —Defense Technical Information Center

FARM —Functional Area Records Manager

FDO —Foreign Disclosure Office

IAW —In Accordance With

IPPM —Integrated Project and Portfolio Management

MOA —Memorandum of Agreement

NARA — National Archives and Records Administration

OPR — Office of Primary Responsibility

OPSEC —Operations Security

PM —Program Manager

R&D —Research and Development

RDS —Records Disposition System

RDT&E – Research, Development, Test, and Evaluation

SE —Systems Engineering

S&E —Scientist and Engineer

S&T —Science and Technology

SBIR —Small Business Innovation Research

STINFO —Scientific and Technical Information

STTR —Small Business Technology Transfer Research

TD —Technology Directorate

TIA —Technical Investment Agreements

URED —Unified Research and Engineering Database

Terms

Agreements —Documentation of a contractual or partnership nature that supports RDT&E and similar efforts and conveys the basic tenants of a transactional arrangement between parties to perform S&T work. These include efforts that involve investigations, studies and comparable efforts that must be maintained in an R&D Program File or in an appropriate contract case file.

Budget Activity — A broad category of activity contained within a specific appropriation.

Literature Search — A computerized search of Government and commercial databases in order to ensure that the proposed work is not already being accomplished and to inform the program/Work Unit Manager of related work that may impact the direction of the proposed effort.

Records Disposition Schedule (RDS) —A document providing mandatory instructions for what to do with records (and non-record materials).

R&D Case File —Documents and captures historical research information used to make critical or key decisions for program and/or Work Units.

Science and Technology (S&T) — The Air Force S&T Portfolio contains all basic research, applied research, and advanced technology development, allocated between in-house and contracted activities, to produce both evolutionary and revolutionary technologies focused on Air Force service core functions and capabilities.

Scientific and Technical Information (STINFO) —Information which is governed by the DoD Scientific and Technical Information Program (STIP). STIP ensures STINFO is appropriately identified, documented, disseminated, preserved, marked, protected, and accessible.

Technical Report — Any preliminary, interim, or technical document (regardless of media) prepared to record, document, share results, or make recommendations on or relating to DoD-sponsored or cosponsored scientific, technical studies, or analytical work.

Unified Research and Engineering Database (URED) — A consolidated data base of Research Summaries, Research and Engineering Database, and In-House Science and Technology Activities Report. A major purpose of the databases is to collect information about R&D that is funded by the Department of Defense.

Work Unit (WU) — The basic building block of the AFRL portfolio, which is further defined in AFRLI 61-205, *AFRL Science and Technology (S&T) Investment Hierarchy and Data*.

Attachment 2

WORK UNIT RECORDS MANAGEMENT STRUCTURE

Figure A2.1. Work Unit Records Management Structure

