



Headquarters
Department of the Army
Washington, DC
18 January 2024

***Army Regulation 70–31**

Effective 18 February 2024

Research Development, and Acquisition Standards for Technical Reporting

By Order of the Secretary of the Army:

RANDY A. GEORGE
General, United States Army
Chief of Staff

Official:


MARK F. AVERILL
Administrative Assistant to the
Secretary of the Army

History. This publication is a major revision. The portions affected by this major revision are listed in the summary of change.

Authorities. The authorities for this regulation are DoDD 5230.25, DoDI 3200.12, DoDM 3200.14, Volume 1, 10 USC 130, and Office of Science and Technology Policy, Ensuring Free, Immediate, and Equitable Access to Federally Funded Research memorandum.

Applicability. This regulation applies to the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve, unless otherwise stated. This regulation also applies to Department of the Army Civilians.

Proponent and exception authority. The proponent of this regulation is the Assistant Secretary of the Army (Acquisition, Logistics and Technology). The proponent has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The proponent may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency, in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific requirements.

Army internal control process. This regulation contains internal control provisions in accordance with AR 11–2 and identifies key internal controls that must be evaluated (see appendix B).

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Assistant Secretary of the Army (Acquisition, Logistics and Technology) (SAAL–ZT), 103 Army Pentagon, Washington, DC 20130–0103.

Distribution. This regulation is available in electronic media only and is intended for the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

*This regulation supersedes AR 70–31, dated 20 June 2018.

SUMMARY of CHANGE

AR 70–31
Standards for Technical Reporting

This major revision, dated 18 January 2024—

- Incorporates changes from the DoDI 3200.12 (para 1–4).
- Incorporates changes from the Office of Science and Technology Policy Ensuring Free, Immediate, and Equitable Access to Federally Funded Research memorandum dated, August 25, 2022 (paras 1–1 and 2–2).
- Clarifies definitions relating to submission of technical documentation(para 3–1*b*).
- Adds the requirement to annually submit Unified Research and Engineering Data (para 3–1*e*).
- Provides additional requirements for submissions of science and technology technical documentation (para 3–2).

Contents (Listed by chapter and page number)

Summary of Change

Chapter 1

Introduction, *page 1*

Chapter 2

Scope and Objectives, *page 1*

Chapter 3

Technical Reporting Procedures, *page 2*

Chapter 4

Additional Instructions, *page 4*

Appendixes

A. References, *page 6*

B. Internal Control Evaluation, *page 7*

Glossary of Terms

Chapter 1

Introduction

1–1. Purpose

This regulation sets policies, responsibilities, and standards for originating, preparing, reviewing, marking, and disseminating technical documentation resulting from Research, Development, Test, and Evaluation (RDT&E), and provides a process for making federally funded research available to the public in a timely manner.

1–2. References, forms, and explanation of abbreviations

See appendix A. The abbreviations, brevity codes, and acronyms (ABCAs) used in this electronic publication are defined when you hover over them. All ABCAs are listed in the ABCA database located at <https://armypubs.army.mil/abca/>.

1–3. Associated publications

This section contains no entries.

1–4. Responsibilities

a. *Assistant Secretary of the Army (Acquisition, Logistics and Technology)*. On behalf of the ASA (ALT), the Deputy Assistant Secretary of the Army for Research and Technology (DASA (R&T)) is responsible for DA policy for RDT&E technical documentation.

b. *Commanders of Army commands, Army service component commands, and direct reporting units*. These commanders will—

- (1) Ensure compliance with the provisions of this regulation.
- (2) Issue supplemental guidance to subordinate organizations, as required.
- (3) Ensure heads of subordinate commands follow the guidance provided in DoDI 3200.12.
- (4) Ensure heads of subordinate commands follow the guidance provided in DoDM 3200.14, Volume 1, as relevant to this regulation.
- (5) Ensure heads of subordinate commands follow the guidance provided in DoDD 5230.25, as relevant to this regulation.

c. *Authors of scientific and technical reports*. These authors will follow the guidance in this regulation for creating and submitting technical documentation.

1–5. Records management (recordkeeping) requirements

The records management requirement for all record numbers, associated forms, and reports required by this publication are addressed in the Records Retention Schedule—Army (RRS–A). Detailed information for all related record numbers, forms, and reports are located in Army Records Information Management System (ARIMS)/RRS–A at <https://www.arims.army.mil>. If any record numbers, forms, and reports are not current, addressed, and/or published correctly in ARIMS/RRS–A, see DA Pam 25–403 for guidance.

Chapter 2

Scope and Objectives

2–1. Scope

This regulation covers formal documentation of the objectives, approach, and results of Army-sponsored RDT&E (Budget Activity (BA) 6.1 – BA 6.7) regardless of security classification. Formal documentation is the permanent, final record of notable technical achievement and should be retained based on the requirements in AR 25–400–2. This regulation also provides additional guidance for reporting technical documentation resulting from Army-sponsored basic research (BA 6.1), applied research (BA 6.2), and advanced technology development (BA 6.3). Formal documentation allows the Army to multiply gains on the resources invested for the benefit of the larger Defense community and the public for a longer period of time. Specifically excluded are the following:

a. DoD programs involving day-to-day operations of the warfighter, unless required for scientific and technical analysis.

- b. DoD scientific and technical information that the intelligence community produces.
- c. Signals intelligence and communications security information, as defined in DoDI O–3115.07 and DoDI 8523.01.

2–2. Objectives

The objectives of this regulation are as follows:

- a. Attain and maintain quality and effectiveness of the results of Army RDT&E by establishing, implementing, and maintaining standards for scientific and technical reporting.
- b. Maximize the flow of technical information and minimize the duplication of effort.
- c. Create a process to make federally funded research publicly accessible in a timely manner by submitting results to the Defense Technical Information Center (DTIC) website.
- d. Provide additional guidelines for submission of scientific and technical documentation to the DTIC that result from Army sponsored programs under BA 6.1, BA 6.2, and BA 6.3.

Chapter 3

Technical Reporting Procedures

3–1. Research, Development, Test, and Evaluation Technical Documentation

- a. Results from all RDT&E efforts sponsored by the DA will be documented. All technical documentation will be submitted to the DTIC within 10 business days from the date of publication. The principal document representing the culmination of a completed notable RDT&E effort will be formatted in accordance with American National Standards Institute/National Information Standards Organization (ANSI/NISO) Z39.18–2005 (R2010).
- b. For the purpose of this regulation, technical documentation includes but is not limited to: technical reports, research data sets, Small Business Technology Transfer and Small Business Innovation Research reports, journal articles, conference proceedings and papers, interim and annual reports, congressional reports, and test and evaluation reports that are sponsored by DA.
- c. Distribution statements will be placed in all technical documents, to include technical reports, per DoDI 5230.24.
- d. Organizations submitting technical documentation will follow instructions provided on the DTIC website (<https://www.dtic.mil/dtic>).
- e. Consistent with the requirements specified in DoDM 3200.14, Volume 1, Army RDT&E activities will annually report research and engineering (R&E) projects to the Unified Research and Engineering Database (URED). R&E projects reported to the URED database will be reported at the task level including efforts performed by or sponsored (that is, contract grant or award) by an Army RDT&E activity.

3–2. Science and Technology Technical Documentation

The following additional requirements apply to DA-sponsored intramural and extramural science and technology efforts consisting of basic research (BA 6.1), applied research (BA 6.2), and advanced technology development (BA 6.3):

- a. At the beginning of each DA-sponsored intramural and extramural research effort, lead investigators will submit a Data Management Plan (DMP) to the DTIC and the office of the DASA(R&T) that identifies data sets that will be produced and if and where they will be preserved and accessible. DMPs will be submitted within 90 days of the start of a research effort. DMPs should be updated as necessary over the life of the research. The office of the DASA (R&T) will provide a DMP template.
- b. Technical documentation produced under intramural and extramural science and technology efforts must be submitted to the DTIC.
- c. Technical aspects of the progress of any research effort may be documented before project completion in publications such as interim or partial reports that will be included in later, final technical reports. These interim or partial reports should not be submitted to the DTIC repository. These may include technical surveys and management reports, as well as some technical notes and data summaries. These documents are subordinate to the final technical report and, therefore, are not entered into the DTIC repository. However, significant technical information reported in these documents will be synopsisized, abstracted, summarized, or reviewed, as appropriate, in the final technical report.

d. DTIC submissions must be accompanied by an Standard Form (SF) 298 (Report Documentation Page), which contains an abstract of the publication, and forwarded to the DTIC within 10 business days of the release of the original publication.

e. All unclassified SF 298s must be submitted to the office of the DASA (R&T) within 10 business days of the start of each quarter for the previous quarter. A negative response (i.e., no SF 298s to submit) is required every quarter that SF 298s are not submitted.

f. An Army Science and Technology Reinvention Laboratory (STRL) that submits a negative response for two consecutive quarters must submit a memorandum to the office of the DASA (R&T) justifying the negative response.

g. The sponsoring organization is responsible for all submissions to the DTIC. Heads of subordinate components will ensure the sponsoring organization or extramural organization reports efforts to the DTIC. This regulation does not pertain to customer-funded projects where the sponsoring organization is outside of the DA.

h. For the purposes of this regulation, intramural and extramural research is defined as Congressionally-appropriated RDT&E funding in BA 6.1, 6.2, and 6.3. Intramural research is conducted in-house at an Army STRLs and extramural research is sponsored by an Army STRL and conducted by and at an external organization, such as academic institutions, non-profit organizations, for-profit organizations, or other DoD or federal laboratories.

3-3. Process

a. Technical results that are deemed critical technologies by the DoD or the DA will be documented and disseminated in accordance with DoDI 5000.83.

b. The Army activity performing or sponsoring the work in whole or in part is responsible for primary distribution of all documents (see DoDM 3200.14, Volume 1).

c. Army activities that discover non-digitized technical documentation (including reports that were published prior to the digital era) may digitize and submit the technical reports in accordance with the procedures of this regulation. Army activities should support the effort to preserve and archive technical documentation that is historic.

d. Technical documentation will be distributed within security and legal constraints, including those found in 10 United States Code (USC) 130, to—

- (1) Fulfill the DA policy of making the maximum amount of information available to the public.
- (2) Promote internal U.S. technology transfer in accordance with AR 70-57.

e. Initial or primary distribution will be made to the sponsoring office and to the DTIC, 8725 John J. Kingman Road, Fort Belvoir, VA 22060-6218. DTIC accepts unclassified information and information classified at the following levels: "Foreign Unclassified in Confidence," "Foreign Restricted," "Confidential," and "Secret." Technical information reports that are classified as "Top Secret," "Registered," "Cryptographic and Communications Security," and "Communications and Electronics Intelligence" will not be accepted by DTIC. Further primary distribution may include Government agencies; their contractors; grantees; industrial, independent, and professional groups; and persons with a verified need to know and valid security clearance for the subject matter.

f. The Army sponsoring agency will determine the primary distribution list, the distribution statement, and any limitations on later distribution of technical reports prepared by or for that agency. The sponsoring agency will make primary distribution or may require contractors to distribute technical reports. In special cases that involve related technical effort by other groups, the sponsoring agency may distribute additional copies of its applicable reports. The agency must first determine that it is clearly in the Government's interest to so expedite the related technical effort.

g. The DTIC, applicable DoD information analysis centers, and the local DoD technical library or repository that supports the activity for sponsoring and creating the documents will be recipients of the primary distribution at the same time (see DoDM 3200.14, Volume 1). All Army organizations generating or responsible for technical documents will determine their distribution availability and mark them appropriately before primary distribution. Only the controlling office or higher authority may authorize distribution beyond the distribution statement (see DoDI 5230.24). Subsequently, the DTIC will make available the unclassified and unlimited distribution technical reports to the National Technical Information Service of the Department of Commerce for sale to the general public. When limitations on release to the general public are no longer required, the sponsoring agency will inform DTIC and other recipients on the primary distribution list.

h. The requiring activity will determine any technical reporting requirements associated with the requirement and provide Department of Defense (DD) Form 1423 (Contract Data Requirements List) as part of the contract requirements package.

i. The DTIC—

(1) Provides systems, technologies, and analytical tools to promote exchange of information and ideas among scientists, engineers, and warfighter communities to facilitate discovery, dissemination, and collaboration (see DoDD 5105.73).

(2) Acts as a central coordinating point for DoD science and technology information databases and systems, and investigates and demonstrate new supporting technology for those applications (see DoDM 3200.14, Volume 1).

Chapter 4

Additional Instructions

4–1. Information protection

a. Security requirements. Basic DA procedures for safeguarding defense information, including information exempt from release under the Freedom of Information Act, apply to the preparation, classification, dissemination, and projection of technical reports (see DoDM 5200.01, Volume 4; AR 25–55; and AR 380–5 for guidance).

b. Disposition instructions. All technical reports, training manuals, and new equipment products must contain dissemination and destruction instructions (see AR 380–5 and AR 25–400–2). A report requiring special handling may have to contain special disposition instructions.

(1) *Unclassified reports.* For unclassified publications, use “DESTRUCTION NOTICE – Destroy by any method that will prevent disclosure of contents or reconstruction of the document” (see AR 380–5 and DA Pam 25–40).

(2) *Classified reports.* Classified and sensitive documents will be marked to show the highest classification/sensitivity of information contained in the document. Classified documents and other material will be retained only if they are required for effective and efficient operation of the command or if their retention is required by law or regulation (see AR 380–5; DoDM 5200.01, Volume 3; and DoDI 5230.24 for procedures). For classified publications, use “DESTRUCTION NOTICE – Follow the procedures in AR 380–5 and DoDI 5230.24.”

c. Redaction of personal health information and personally identifiable information. The Army is required to protect personal health information and personally identifiable information in all media, including abstracts or reproduced copies of records. The Army will protect personal health information and personally identifiable information through appropriate safeguards (see AR 40–66 and AR 25–22).

d. Army nomenclature. Army publications will use standard Army nomenclature or specification according to Joint Publication 1–02 and Army Doctrine Reference Publication 1–02.

e. General Statements. General statement that disclaims responsibility for the contents of the report. Those statements will not be placed in a technical report.

f. Caveats. Caveats that may be required to qualify the contents of a technical report will identify:

- (1) The nature of the caveat.
- (2) The specific portions qualified.
- (3) The degree of qualification.
- (4) The reasons.

4–2. Data rights and intellectual property

a. Copyrighted material. Proponents are responsible for ensuring that the material published in printed works or in electronic formats and links to online resources conform to the copyright laws of 17 USC, AR 25–30, and AR 27–60.

b. Rights in technical data and software (algorithms). Claims by a contractor to limited rights in technical data (on items, components, or processes developed at private expense) and software in a technical report will be governed by the terms of the contract.

c. Patents.

(1) Army activities are encouraged to pursue the patenting and licensing of inventions that result from Army R&E efforts, consistent with 35 USC 200 and to complete patent security reviews in accordance with DoDD 5535.02.

(2) Contractor invention disclosures should be handled in accordance with the contract clause in the contract (see Federal Acquisition Regulation (FAR) 52.227–11 and FAR 52.227–13).

d. Trade names and trademarks. Army publications will use standard Army nomenclature or specification instead of trade names or trademarks. Technical reports will not contain material that implies that the Government endorses or favors a specific commercial product, commodity, or service. The use of a trade name or product name must be kept to a minimum whenever possible. If necessary, the product should contain a disclaimer, such as “The use of either trade or manufacturers’ names in this report does not constitute an official endorsement of any commercial products. This report may not be cited for purposes of advertisement” (see DA Pam 25–40 and AR 25–30). The proponent’s servicing Staff Judge Advocate will review and address questions concerning the use of trade names and trademarks.

e. Reports from foreign sources. Any Army agency that receives foreign government information will protect the information and will not declassify or release it to another nation or to the public without the express permission of the originating government. All foreign government information contained in U.S. classified documents should be identified (see AR 380–5 and DoDM 5200.01, Volume 2).

Appendix A

References

Section I

Required Publications

DoD publications are available at <https://www.esd.whs.mil/dd/dod-issuances/>.

ANSI/NISO Z39.18–2005 (R2010)

Scientific and Technical Reports – Preparation, Presentation, and Preservation (Cited on para B–4a.)
(Available at <https://www.niso.org/publications/standards>)

DoDD 5105.73

Defense Technical Information Center (DTIC) (Cited in para 3–3*h*(1).)

DoDD 5230.25

Withholding of Unclassified Technical Data From Public Disclosure (Cited in title page.)

DoDI 3200.12

DoD Scientific and Technical Information Program (STIP) (Cited in title page.)

DoDI 5000.83

Technology and Program Protection to Maintain Technological Advantage (Cited in para 3–3a.)

DoDI 5230.24

Distribution Statements on DoD Technical Information (Cited in para 3–1c.)

DoDM 3200.14, Volume 1

Principles and Operational Parameters of the DoD Scientific and Technical Information Program (STIP):
General Processes (Cited in title page.)

Section II

Prescribed Forms

This section contains no entries.

Appendix B

Internal Control Evaluation

B-1. Function

This evaluation addresses the compliance of formal Army-sponsored RDT&E documentation with DoDD 5230.25 and ANSI/NISO Z39.18-2005 (R2010).

B-2. Purpose

The purpose of this evaluation is to assist Army commands and activities with the preparation, review, and distribution of technical reports.

B-3. Instructions

Answers must be based upon the actual testing of controls (for example, review of files or other documentation). Answers that indicate deficiencies must be explained and the corrective action indicated in the supporting documentation. These management controls must be evaluated at least once every 5 years. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2 (Internal Control Evaluation Certification).

B-4. Test questions

- a. Was ANSI/NISO Z39.18-2005 (R2010) used as the standard for formatting the technical report?
- b. Was the technical report submitted to DTIC for archiving?
 - (1) Was an SF 298 provided along with the technical report submission to DTIC?
 - (2) Was the proper distribution statement issued on the technical report?

B-5. Supersession

This evaluation replaces the evaluation previously published in AR 70-31, dated 20 June 2018.

B-6. Comments

Help to make this a better tool for evaluating internal controls. Submit comments to the Deputy Assistant Secretary of the Army for Research and Technology (SAAL-ZT), 1700 Army Pentagon, Washington, DC 20301-0103.

Glossary of Terms

Contractor

A person or organization outside the Government with an agreement to provide supplies or services under procedures set up by the Federal Acquisition Regulation (FAR), the Defense FAR supplement, and/or the Army FAR supplement. The term includes both prime and subcontractors.

Controlling office

The DoD activity that sponsored the work that generated the technical document for the DoD and has the inherently governmental responsibility for determining the distribution of a document containing such technical information. For joint sponsorship, the controlling office is determined by advance agreement and may be a party, group, or committee representing the interested activities or DoD components. Only the controlling office or higher authority may authorize distribution beyond the distribution statement.

Critical Technology

Technologies that may pose major technological risk during development, particularly during the Engineering and Manufacturing Development phase of acquisition.

Data Management Plan

A document that describes which data generated through the course of the proposed research effort will be shared and preserved and how it will be done. It may explain why data sharing or preservation is not possible or scientifically appropriate. It may explain why data sharing or preservation is not possible or scientifically appropriate, or why the costs of sharing or preservation are incommensurate with the value of doing so.

Data Set

The digital recorded factual material commonly accepted in the scientific community as necessary to validate research findings. This includes data sets used to support scholarly publications, but does not include laboratory notebooks, preliminary analyses, drafts of scientific papers, plans for future research, peer review reports, communications with colleagues, or physical objects, such as laboratory specimens.

Defense Technical Information Center

The central DoD repository of classified and unclassified scientific and technical reports resulting from DoD sponsorship, other than those maintained by the National Security Agency Reference Center. The DTIC is administered by the Department of Defense. The DTIC is devoted to acquisition, announcement, storage, retrieval, and secondary distribution of classified and unclassified DoD technical reports.

Department of Defense component (sponsoring or funding activity)

The U.S. Army activity under whose immediate program a document is generated whether the work was done in-house or by contract. In the case of joint sponsorship, the controlling office is determined by advance agreement; it may be either activity, agency, or Service.

Extramural Research

Research that is sponsored and/or funded by an Army organization and conducted by and at an external organization, such as academic institutions, non-profit organizations, for-profit organizations, or other DoD or Federal Laboratories.

Grantee

A research organization outside the U.S. Government to which grant funds have been awarded by a DA activity.

Intramural Research

Research that is conducted in-house at an Army-owned facility.

National Security Agency Reference Center for Scientific and Technical Information

The central repository of scientific and technical reports in certain categories that the DTIC is restricted from handling. These categories include documents classified higher than Secret and/or those dealing with electronic communication, telemetry, intelligence, and communications security.

National Technical Information Service

The central U.S. Government repository of unclassified unlimited scientific and technical reports, administered by the Department of Commerce and devoted to the acquisition, announcement, storage, retrieval, and secondary distribution of unclassified Government-sponsored technical reports.

Performing organization

The activity, organization, contractor, or grantee that actually performs the work.

Primary distribution

The initial targeted distribution of or access to technical documents authorized by the controlling DoD office.

Sponsoring agency

An activity to which the administrative responsibility for a project, contract, or grant has been delegated (by the controlling office).

Technical data

Recorded information related to experimental, developmental, or engineering works that can be used to define an engineering or manufacturing process or to design, procure, produce, support, maintain, operate, repair, or overhaul material. The data may be graphic or pictorial delineations in media, such as drawings or photographs, text in specifications or related performance or design type documents, or computer printouts. Examples of technical data include R&E data, models, engineering drawings, and associated lists, specifications, standards, process sheets, manuals, technical reports, catalog-item identifications, and related information and computer software documentation.

Technical documentation

Formal documentation of a reportable technical achievement, body of work, or event. Technical documentation is a tangible product of Army-sponsored RDT&E.

Technical report

Any preliminary, interim, or final technical document prepared to record, document, or share results obtained from, or recommendations made on, or relating to, DoD-sponsored or co-sponsored scientific, technical, studies, or analytical work.

UNCLASSIFIED

PIN 004448-000