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NASA Procedural Requirements

COMPLIANCE IS MANDATORY

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Subject: Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information

Responsible Office: Office of the Chief Information Officer

| [TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [Chapter5](#) | [AppendixA](#) |
[AppendixB](#) | [AppendixC](#) | [AppendixD](#) | [AppendixE](#) | [AppendixF](#) | [AppendixG](#) | [AppendixH](#) |
[AppendixI](#) | [ALL](#) |

Chapter 1. Publication and Dissemination of NASA STI

1.1 Purpose and Caveats

1.1.1 Application. This NPR applies to all STI published, disseminated, and presented by or on behalf of NASA that contains NASA-sponsored or -funded STI except as excluded in section 1.2.4.

1.1.2 Chapter Overview. This chapter defines scientific and technical information (STI), delineates responsibilities associated with the publication and dissemination of STI, and provides an overview of NASA's process for approving, publishing, and disseminating the results of NASA's STI activities. The associated requirements are detailed in the following chapters. See Appendix A for acronyms and definitions of terms used in this NPR.

1.1.3 Acquisition and Grant Regulations. Any restrictions or limitations placed on NASA contractors or grantees regarding the publication, dissemination, or presentation of STI produced under a contract or grant must be consistent with the Federal Acquisition Regulations (FAR) and NPR 5100.4, Federal Acquisition Regulation Supplement (NASA/FAR Supplement), for contracts and the Grant and Cooperative Agreement Handbook (NPR 5800.1) for grants.

1.1.4 Classified STI. Information protected for national security reasons under appropriate security classification must be treated in accordance with NPR 1600.1, NASA Security Program Procedural Requirements, and NPR 2810.1, Security of Information Technology. NASA Centers are responsible for handling and storing classified STI. Once STI documents have been de-classified and are marked accordingly, a copy should be sent to the NASA Center for Aerospace Information (NASA CASI, see <http://www.sti.nasa.gov>).

1.1.5 Technology Commercialization Procedures. For additional procedures that relate to technology commercialization materials and computer programs, see NPD 2110.1, Foreign Access to NASA Technology Transfer Materials, NPD 2210.1, External Release of NASA Software, and NPR 2210.1, External Release of NASA Software.

1.1.6 Export Control Restrictions. For additional procedures that relate to export-controlled information and for STI that is to be disseminated to foreign persons, see NPD 2190.1, NASA Export Control Program and NPR 2190.1, NASA Export Control Program.

1.2 NASA STI Defined

1.2.1 STI is defined as the results (facts, analyses, and conclusions) of basic and applied scientific, technical, and related engineering research and development. STI also includes management, industrial, and economic information relevant to this research.

1.2.2 NASA STI is STI derived from NASA activities, including those generated by NASA-sponsored or -funded research and development and related efforts, where NASA has the right to publish or otherwise disseminate the STI. NASA STI may be produced directly by NASA or under NASA contracts, grants, and agreements. For example, NASA STI includes STI authored by a NASA employee as part of the employee's official duties, STI co-authored by

a NASA employee and a non-NASA employee, and STI authored by a NASA contractor or grantee employee in which NASA has the right to publish or otherwise disseminate the STI.

1.2.3 NASA STI is published or disseminated using mechanisms that include the NASA STI Report Series, NASA websites, and non-NASA scientific and technical channels such as professional society journals, conference presentations, or conference proceedings. NASA STI may include technical papers and reports, journal articles, meeting, workshop, conference papers and presentations, conference proceedings, and preliminary or non-published STI, including any of these examples that will be loaded to a public website or are in multimedia formats.

1.2.4 The following information is excluded from this NPR:

- a. Information published in policy documents such as NASA directives and NASA Technical, Engineering, or Safety Standards (NPD 8070.6, Technical Standards)
- b. Information published as a result of mishap investigations (NPR 8621.1, NASA Procedural Requirements for Mishap Reporting, Investigating, and Recordkeeping)
- c. Proposal information marked with confidentiality notices furnished to NASA by contractors or grantees
- d. New Technology Reports (NTR)/Invention Disclosures. Note: While NTRs are not defined as STI, STI may include information that discloses an invention so it must be handled appropriately

1.3 Responsibilities for NASA STI

1.3.1 NASA Chief Information Officer (CIO). As specified in NPD 2200.1, Management of NASA Scientific and Technical Information (STI), NASA's CIO shall plan for and manage implementation of the Agency STI program; assess the effectiveness of the Agency STI program; designate the NASA Headquarters STI program Director; designate an STI program office (STIPO); and review and approve the STIPO plan and implementation.

1.3.2 NASA Officials-in-Charge. NASA Officials-in-Charge (OICs) shall ensure that activities under their cognizance comply with NPD 2200.1 and this NPR, applicable laws and regulations, and other referenced direction related to NASA STI.

1.3.3 NASA Headquarters STI Program Director. The STI Program Director is responsible for determining the strategic direction and plan for the STI program, allocating funds for the STIPO, and coordinating and approving the Agency's STI policies with the NASA CIO and OICs.

1.3.4 STIPO. The STIPO shall coordinate with Agency officials to establish STI policy; conduct domestic and international external STI liaison, including the negotiation of all external STI agreements (in conjunction with and executed by the Office of External Relations pursuant to NPD 1050.1); operate and manage a relevant and cost-effective Agencywide STI program; consider alternative approaches to STI models by conducting appropriate technical, service, and cost-comparison studies; implement the approved STI program; coordinate the development of each NASA Center's unique STI capabilities; evaluate and approve NASA Center STI proposals; allocate resources for approved NASA Center STI proposals, if appropriate; coordinate the development, operation, and maintenance of a virtual electronic research collection of NASA STI; appoint personnel to serve on Agency level teams pertinent to STI; oversee operation and maintenance of the NASA CASI, a contractor facility, and/or any successor facilities, systems, partnerships, or institutes; develop metrics for NASA STI functions; and develop and maintain NASA policies pertaining to STI. These responsibilities are documented in a signed Cost, Schedule, and Performance Agreement (CSPA) between the NASA CIO and the Center that manages the STIPO.

1.3.5 NASA Center Directors. NASA Center Directors and the equivalent position at NASA Headquarters shall ensure that all STI activities under their cognizance are performed in accordance with NPD 2200.1, this NPR, pertinent laws and regulations, and referenced documents. Each Center Director and Headquarters equivalent shall designate individual(s) to serve as the Center STI Manager and as the Center/Headquarters Document Availability Authorization (DAA) representative.

1.3.6 Center STI Managers. Each Center STI Manager shall ensure that the Center is aware of requirements outlined in NPD 2200.1 and this NPR. The Center's STI Manager shall ensure that the Center documents the number, type, title, author(s), and availability of NASA STI that is published, disseminated, or presented external to NASA (or presented at internal meetings or conferences at which foreign nationals may be present). The Center STI Manager shall also ensure that the Center submits STI, with a copy of the approved NASA Form (NF) 1676, NASA Scientific and Technical Information (STI) Document Availability Authorization (DAA), or the Center equivalent of this form, to NASA CASI. If STI originates under a NASA contract, the Center STI Manager shall coordinate with and ensure that the Contracting Officer (CO) and Contracting Officer's Technical Representative (COTR) are notified of the required submission of STI to NASA CASI. A Headquarters representative shall provide the above services for Headquarters personnel.

1.3.7 Center DAA Representatives. Each Center DAA representative shall coordinate with the Center's authors, STI

Manager, COs, COTRs, and managers who approve STI to track, keep on file (in accordance with NPR 1441.1, NASA Records Retention Schedules), and transfer copies of the NF-1676 and its associated STI, after approval, to NASA CASI so that a permanent record is maintained. A Headquarters representative shall provide the above services for Headquarters personnel.

1.3.8 Managers Who Approve STI at the Centers. Center program and/or project managers shall ensure that STI in their areas of responsibility receives appropriate management and technical review through the NF-1676 or Center equivalent form prior to the STI being published, disseminated, or presented external to NASA (or presented at internal meetings or conferences at which foreign nationals may be present). Managers who approve STI shall coordinate their efforts with the Center's DAA representative, COs, COTRs, and STI Manager, as appropriate. This requirement also applies to Headquarters.

1.3.9 COs and COTRs. The CO shall receive the final reports and additional reports required by the contract from contractors and shall submit the reports to the COTR for review and acceptance. The COTR shall coordinate with the Center STI Manager regarding publication issues. The COTR shall ensure that the final report and other reports received from contractors undergo a DAA review if the Center elects to publish, disseminate, or present the STI external to NASA or present it at internal (i.e., on-site within NASA) meetings or conferences at which foreign nationals may be present. COTRs are also responsible for sending a copy of the DAA-approved STI to the STI Manager and/or DAA representative (who will ensure that the STI and a copy of the approved DAA are sent to NASA CASI) and for complying with Center procedures for notifying the contractor if and when the STI is approved for publication by NASA. This requirement also applies to Headquarters.

1.3.10 Authors and Originators of NASA STI. All authors and originators of STI, including NASA personnel, contractors, and grantees, shall coordinate with appropriate managers and the Center's STI Manager (or in the case of Headquarters, the Headquarters STI Manager) and Technical Publications Office to select the appropriate channel to publish their STI.

1.3.10.1 Authors and originators of NASA and NASA-funded STI, including electronically published STI, are responsible for ensuring that the NASA STI subject to review is reviewed at the appropriate organizational level for technical accuracy, quality, and integrity; conformance with laws and regulations governing its distribution, including copyright, export control, and other restrictions; and conformance with policy and publications standards before it is published, disseminated, or presented external to NASA (or presented at internal meetings or conferences at which foreign nationals may be present). NASA authors, in coordination with appropriate officials, shall also ensure that an NF-1676 or Center equivalent form is completed before NASA STI is published, disseminated, or presented external to NASA (or presented at internal meetings or conferences at which foreign nationals may be present).

1.3.10.2 All NASA personnel, contractors, and grantees, to the extent specified in their contracts or grants, are responsible for providing a copy of the results of their basic and applied research and development to NASA so that the results can be included in the NASA Aeronautics and Space Database (<http://www.sti.nasa.gov>).

1.3.11 NASA Center for AeroSpace Information (NASA CASI). NASA CASI is NASA's contractor facility that acquires, organizes, and disseminates NASA STI and, through the National Archives and Records Administration (NARA), archives NASA STI. NASA CASI also submits unclassified/unlimited NASA STI to the Government Printing Office (GPO), the Superintendent of Documents, the Federal Depository Libraries, and the National Technical Information Service (NTIS). NASA CASI maintains the STI website at <http://www.sti.nasa.gov> and an STI Help Desk (e-mail: help@sti.nasa.gov) and provides other products and services for NASA related to STI content management of research and development information.

1.3.12 NASA Records Managers. NASA Records Managers are responsible for sending the original or a copy of all NF-1676s or the Center equivalent of this form to NASA CASI after the Center has fulfilled its records retention requirements for these forms. This enables NASA CASI to maintain a permanent record of the STI approval process and distribution requirements in the document's casefile (i.e., archive of document).

1.4 Review, Approval, and Dissemination of NASA STI

1.4.1 NASA publishes and disseminates NASA STI through a variety of channels. These channels include journals, presentations at meetings or workshops, and the NASA STI Report Series. NASA STI may also be electronically disseminated through these channels. All NASA STI, regardless of channel or media, that is intended for an audience external to NASA (or STI presented at internal conferences or meetings at which foreign nationals may be present) is subject to review and approval prior to its publication, dissemination, or presentation by or for NASA.

1.4.2 The technical review and management approval requirements vary depending upon the information content, publication channel, and/or audience (i.e., foreign or domestic). However, all NASA STI subject to review is required to be approved via the DAA review process (using NF-1676 or a Center equivalent form) prior to being published, disseminated, or presented external to NASA (or presented at internal meetings or conferences at which foreign nationals may be present).

1.4.3 Published NASA STI must undergo, at a minimum, a technical review and a DAA review documented by

NF-1676 and, if intended for the STI Report Series, must include a standard front cover, title page, and Standard Form (SF) 298 (Report Documentation Page). (See Appendix A.)

1.4.4 Additional requirements are currently in place for STI that is published and disseminated outside NASA via the public Internet. See NASA Information Technology Requirements (NITR)-2810-3, "NASA Internet Publishing Content Guidelines."

1.5 Selection of Publication Channels

1.5.1 NASA and NASA-sponsored authors shall publish, as appropriate, in the NASA STI Report Series as well as in non-NASA channels such as society journals, trade journals, oral presentations to professional societies, and proceedings of scientific and technical conferences and workshops. Initial selection of the appropriate channel (Appendix B) is made by authors in consultation with their technical management and Center Technical Publications Office and is based on the content of the document and intended readership. The selection is subject to review as part of the Center review process. See section 3.4.2 for guidance concerning duplicate publication.

1.5.2 NASA STI Report Series. The NASA STI Report Series comprises six types of publications which are described in detail in Chapter 2.

- a. Technical Publication (TP)
- b. Technical Memorandum (TM)
- c. Contractor Report (CR)
- d. Conference Publication (CP)
- e. Special Publication (SP)
- f. Technical Translation (TT)

1.5.3 NASA Contractor-, Grantee-, and Cooperative-Agreement-Produced Reports. If specified in the contract, grant, or cooperative agreement, NASA requires its contractors, grantees, or cooperative agreement recipients to submit a final report of their work as a deliverable; this report shall provide appropriate acknowledgement of NASA support and identify the contract(s), grants(s), or agreement(s) involved. See NASA FAR Supplement (NFS), sections 1804, 1827, 1835, 1852, and NPR 5800.1, Grant and Cooperative Agreement Handbook (14 CFR 1260), sections 1260.22, 1260.75, 1260.151, 1274.921, and 1274.933. NASA may elect to publish the final versions of these reports in the NASA CR series. NASA may also decide to select a report authored by a contractor, grantee, or cooperative agreement recipient for publication in another series. Such reports must meet all criteria for the selected series and must be reviewed and approved at the level(s) required for that series. Chapter 4 details review and approval processes for these reports.

1.5.4 Oral Presentations at Conferences and Workshops. NASA and NASA-sponsored authors who conduct oral presentations of scientific and technical findings at conferences and workshops may distribute copies of their NF-1676-reviewed and -approved presentation to attendees. Where appropriate, they shall also publish their presentations in the NASA STI Report Series to ensure their work is captured in the NASA Aeronautics and Space Database and the NASA Technical Report Server, its public interface, as appropriate. Chapter 3 includes detailed requirements pertaining to symposium presentations and external publications.

1.6 Storage, Retention, and Archiving of NASA STI

1.6.1 All NASA and NASA-funded personnel shall ensure that their work is documented and archived for future use. Following approval via the NF-1676 process, one electronic version (required) and one hard copy (not required, but requested) of NASA and NASA-funded STI shall be sent to NASA CASI via the Center's STI Manager or designated organization. For alternative media, as identified in section 2.6.3, two copies are required. These requirements apply to the STI Report Series, articles submitted to professional journals, papers presented at technical meetings, visuals-only presentations, and meeting papers that have not been included in NASA CPs. In addition, NASA personnel who retire from or leave the Agency for other reasons must arrange for their documented STI and the NF-1676 to be approved and sent to NASA CASI through the Center's STI Manager.

1.6.2 If an author chooses to place NASA STI on a NASA website that is accessible to the public, it must be approved via the NF-1676 review and website content reviews specified in NITR-2810-3, "NASA Internet Publishing Content Guidelines," prior to being added to the website. The information must also be duplicated via computer back-up storage by the author or website owner and when removed from the website, submitted to NASA CASI for archiving.

1.6.3 NASA contractors and grantees must submit STI that stems from NASA-funded contracts, grants, and cooperative agreements, pursuant to the requirements of the NASA FAR Supplement or Grant and Cooperative Agreement Handbook and their contracts or grants.

1.6.4 NASA CASI automatically archives the STI that it receives in appropriate formats, as identified in sections 2.5.14 and 2.6. If alternative formats are used that NASA CASI cannot archive, authors may be asked to provide additional copies or other formats that can be archived for long-term retention. NASA CASI provides on- and off-site storage for its database and full-text versions of STI in addition to sending appropriate (unclassified/unlimited) archive information to the NARA, GPO (hence the Superintendent of Documents and the Federal Depository Libraries), the NASA libraries, and NTIS. Authors should also contact their Center's Technical Publications and Records Managers to determine if additional archiving requirements exist for their Center.

1.6.5 NASA Centers are required by NARA to keep copies of their NF-1676s or Center equivalent forms on file for a minimum of 5 years unless required for an alternative or longer period because of the nature of the information or the cognizant Center's records retention schedules. If a Center decides to destroy these forms after this time, the original or a copy of the NF-1676 or Center equivalent forms must first be sent to NASA CASI to ensure long-term retention.

1.7 Reproduction, Duplication, and Printing of NASA STI

1.7.1 Reproduction, duplication, or printing of NASA STI Report Series and other NASA STI is accomplished through NASA Headquarters and Center Publications Offices using NASA duplicating/copying facilities or regional GPOs in accordance with NPD 1490.1, NASA Printing, Duplicating, Copying, Forms, and Mail Management. However, the primary emphasis remains on electronic formats rather than hard copy formats. See section 5.3.1.

1.8 Dissemination of NASA STI

1.8.1 NASA STI Report Series; conference, meeting, and symposia presentations; and external publications receive the widest practicable and appropriate dissemination by NASA. NASA CASI has primary responsibility to distribute NASA STI. Authors should contact their Center Technical Publications Office for information on additional author-initiated distribution because some restrictions and approvals apply, especially on restricted/limited information.

1.8.2 Unless restricted for reasons explained in Chapter 4, NASA STI is distributed to NASA Center libraries; to domestic and international organizations, corporations, and universities that are registered to receive NASA STI publications; to NASA Center-identified authors, conference registrants, and interested members of organizations or groups; and, where appropriate, to the general public, NTIS, and GPO (and Superintendent of Documents and Federal Depository Libraries). NASA CASI announces the availability of NASA STI publications in a variety of national and international channels and media. Bibliographic citations describing NASA STI publications are added to the NASA Aeronautics and Space Database and a subset are added to the NASA Technical Report Server. NASA CASI also serves as the historical repository for NASA-funded publications that it receives. For additional information, see Chapter 5.

1.8.2.1 Authorization of Foreign Dissemination of NASA STI. Authors who wish to publish STI through non-U.S. channels must follow the requirements for the NF-1676 in addition to getting approval by the Office of External Relations if the document involves a Designated Area (see NPR 1450.10, NASA Correspondence Management and Communications Standards and Style, Appendix D ("Foreign Correspondence")). The Office of External Relations will review and clear the correspondence package that is intended for a Designated Area.

| [TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [Chapter5](#) | [AppendixA](#) |
[AppendixB](#) | [AppendixC](#) | [AppendixD](#) | [AppendixE](#) | [AppendixF](#) | [AppendixG](#) |
[AppendixH](#) | [AppendixI](#) | [ALL](#) |

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