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NASA Procedural Requirements

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(NASA Only)

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

Responsible Office: Office of the Chief Information Officer

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Chapter 3. Symposium Presentations and External Publications

3.1 Purpose

3.1.1 This chapter presents the standards and responsibilities that apply when NASA employees prepare papers for or participate in scientific and technical symposia and when they prepare and submit information, e.g., monographs or journal articles, for external (non-NASA) publication. Also presented here are the criteria for the payment of page charges for Government-sponsored research results published in professional journals. Policies and standards presented in this chapter apply to contractors and grantees only if these policies and standards are provided under the terms of their contracts or grants.

3.2 General Standards

3.2.1 Format. Papers and articles will be prepared according to formats and standards set by individual societies and journals.

3.2.2 Approvals. Dissemination of information in symposium presentations or in external publications is approved in accordance with procedures included in Chapter 4.

3.2.3 Indication of NASA Support

3.2.3.1 Contractor and grantee authors must ensure that all symposium presentations and external publications that are derived from NASA research and development and related efforts clearly display an indication of NASA's support, preferably as a first-page footnote.

3.2.3.2 Works authored by NASA employees as part of their official duties and submitted for external (non-NASA) publication in scientific and technical journals, symposia proceedings, or similar works must include the copyright statement provided in Example 4-5, as appropriate. (See sections 2.8.7.2 and 3.4.2.4.)

3.2.4 Copies for the NASA Aeronautics and Space Database

3.2.4.1 NASA authors presenting papers not prepared as preprints in the TM series and authors of articles submitted to journals must provide an electronic copy (and preferably a paper copy) of each paper or article or the electronic file to NASA CASI for inclusion in the NASA Aeronautics and Space Database, along with a copy of the approved NF-1676 or Center equivalent form. Authors should also coordinate this activity through their Center's STI Manager or Technical Publications Office.

3.2.4.2 Citations and a copy of the work as submitted of these papers will be added to the NASA Aeronautics and Space Database with information concerning the expected publication.

3.3 Standards for Symposium Presentations

3.3.1 Standards and Review

3.3.1.1 Papers presented by NASA employees at symposia should contain substantive content in the discipline concerned, make a positive contribution to the state of knowledge, and reflect the high professional standards under which NASA operates.

3.3.1.2 Papers proposed for presentation at symposia are reviewed in accordance with the cognizant NASA Headquarters or Center review requirements and the procedures included in Chapter 4. Technical accuracy, appropriateness to the subject matter of the meeting, compatibility with NASA's interest and responsibilities, avoidance of classified or restricted-access information, and quality of the data and information must be considered in the review. Since many presentations of papers are followed by their incorporation in proceedings or other professional publications, the technical quality and value of such presentations must be of paramount consideration in the review. NASA Headquarters or Center reviewers should ensure in their reviews that papers that describe NASA program activities are properly presented at symposia by personnel well acquainted with the activities.

3.3.2 Presentation of Unclassified Information

3.3.2.1 To promote NASA's ability to meet its statutory requirement of ensuring the widest practicable and appropriate dissemination of STI, all NASA unclassified presentations or papers should be delivered in unclassified sessions (those that are not labeled classified and/or have attendance restricted to persons having prescribed security clearances). Similarly, NASA unclassified presentations or papers should be included in unclassified documents whenever feasible.

3.3.3 Presentation of Protected Information

3.3.3.1 Appropriate Presentation of Restricted-Access Information Restricted-access information is information whose publication or distribution is restricted by law, regulation, or policy such as described in section 4.2.2. Restricted-access information may not be presented at unrestricted meetings. Authors may either (a) omit such information from symposium presentations so that meetings can be open when possible and so that publications resulting from these meetings can be made available to the public or (b) restrict this information to special sessions at which attendees have been appropriately cleared.

3.3.3.2 Presentation of Restricted-Access Information at NASA-Sponsored Meetings or Workshops

3.3.3.3 When NASA sponsors an unclassified meeting or workshop in which restricted-access information may be presented, e.g., information covering technology that needs to be protected from public disclosure, the NASA organizers should produce the following:

- a. A limited-distribution document containing the entire meeting results.
- b. Or preferably, an unclassified/unlimited distribution document containing as much information as possible, and an appropriately marked companion document containing only the information that needs to be restricted. The distribution of the companion document would be appropriately limited.

3.3.4 Presentation of Classified Information

3.3.4.1 Classified information must be identified, marked, and handled in accordance with NPR 1600.1, NASA Security Program Procedural Requirements. Classified information is included in symposium presentations, presented at classified sessions, and/or included in classified proceedings or other publications only when it is essential to the presentation.

3.3.5 Presentation Preprints

3.3.5.1 A paper presented by a NASA employee may be prepared and published in the NASA TM series as a preprint for distribution if needed for a conference. The Supplementary Notes block of the RDP (SF-298) for the preprint must state the name and date of the meeting.

3.3.6 NASA as a Principal Resource

3.3.6.1 No commitments, such as producing and distributing a NASA CP, can be made that will result in NASA becoming the principal resource for a symposium unless NASA sponsorship is approved as an official function.

3.4 Standards for External Publications

3.4.1 Payment of Page and/or Other Publisher Charges

3.4.1.1 Payment of charges imposed by publishers for including articles or papers in their publications is the responsibility of the originating Center. Guidelines for the use of private publishers are given in section 5.7.

3.4.2 Duplicate Publication of NASA STI Papers in non-NASA Publications

3.4.2.1 The publication of STI through non-NASA channels does not preclude the publication of equivalent information by NASA. For example, significant findings may be reported initially in a prominent journal (in which space limitations might constrain complete presentation of text and figures) and a more detailed documentation of these findings may then be published in an appropriate NASA STI Report Series. To avoid duplication, authors should not publish identical NASA material through different channels with the following exception. Preprints of journal articles (e.g., journal articles "as submitted" to the journal) or presentations made at professional meetings that may or may not appear in subsequently published proceedings may be published as a TM. Authors must note on the SF-298 and NF-1676 that the journal article is a preprint.

3.4.2.2 Publications authored by U.S. Government employees as part of their official duties are not protected by copyright in the U.S. Because there is no copyright to assign to a publisher (see section 2.8.7.2), if NASA-authored STI is published through a non-NASA publication, NASA may use and distribute the preprint, i.e., the work "as submitted" to the publisher (original manuscripts, charts, photographs, etc.). Moreover, if the publisher does not add original, copyright-protected content (e.g., publisher prepared abstracts or peer review comments), NASA may reproduce and disseminate an exact copy of the published work either in NASA reports or on a NASA public website. On the other hand, if the publisher adds original content, the publisher may assert copyright in the paper "as published" (but the copyright applies only to the original material added by the publisher). If the publisher has added original material, NASA cannot distribute the published version of the article unless permission is obtained from the publisher.

3.4.2.3 When an article produced under a NASA-funded contract or grant is published in a professional journal, the non-Government author often assigns copyright to the publisher. Under the contract or grant NASA has a license to use and distribute information resulting from the contract or grant. Thus, NASA may use and distribute the preprint, i.e., the work "as submitted" to the publisher. However, permission from the publisher should be obtained to reuse or republish the article as published in the journal.

3.4.2.4 An acknowledgement of Government rights should be included on all NASA STI published through a non-NASA publication. NASA civil-servant-authored papers must include one of the copyright statements provided in Example 4-5, as appropriate. (See sections 2.8.7.2 and 3.2.3.2.)

3.4.2.5 Contractors and grantees are required to include a statement acknowledging NASA sponsorship (including the contract or grant number) when articles containing data produced under a NASA contract or grant are published. Exhibit 4-5(a), Notice for Copyright Information (Contractor-Prepared Work), found at the end of Chapter 4, provides a statement for use with STI developed under a NASA funding agreement.

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