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NASA Procedural Requirements

COMPLIANCE IS MANDATORY**NPR 2200.2C**
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Request Notification of Change (NASA Only)

Subject: Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information (Updated w/change 2, 12/9/14)

Responsible Office: Office of the Chief Information Officer

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Chapter 2. NASA Scientific and Technical Information (STI) Report Series

2.1 Purpose

2.1.1 All scientific and technical findings derived from NASA activities shall be distributed or disseminated either as one of the NASA Scientific and Technical Information (STI) Report Series defined in this chapter or through suitable non-NASA scientific and technical channels. This chapter references the standards for publication of NASA STI in the NASA STI Report Series. See [Chapter 3](#) for a discussion of publication of NASA STI through professional journals and similar periodicals or via the proceedings of conferences, symposia, and workshops.

2.1.2 NASA shall index and catalogue NASA STI Report Series publications into the STI Database (internal and public interfaces, as appropriate) and ensure, through NASA STI Support Services, that these publications are archived at NARA.

2.1.3 NASA STI Report Series publications shall also receive wide dissemination, as appropriate.

2.1.4 All NASA-funded STI shall be reviewed via NASA Form (NF) 1676, Scientific and Technical Information (STI) Document Availability Authorization (DAA), prior to it being published, disseminated, or presented external to NASA (or presented at internal meetings or conferences at which foreign persons may be present).

2.1.5 NASA STI Report Series publications that are sent to NASA STI Support Services without notification of a DAA review shall be held until appropriate release notification is received.

2.1.6 After several attempts to obtain a DAA, NASA STI Support Services shall limit STI to NASA personnel only until a DAA is received. See [Chapter 4](#) for more information on the review and approval process for STI.

2.2 Assigning Publications to the NASA Scientific and Technical Information (STI) Report Series

2.2.1 The NASA STI Report Series comprises six types of publications. These are described in detail in [Appendix D](#):

2.2.1.1 Technical Publication (TP)

2.2.1.2 Technical Memorandum (TM)

2.2.1.3 Contractor Report (CR)

2.2.1.4 Conference Publication (CP)

2.2.1.5 Special Publication (SP)

2.2.1.6 Technical Translation (TT)

2.2.2 Selection of the correct series in which a document is published shall be based on its content. See Section 1.5 and [Appendix D](#) for guidelines on series selection.

2.2.3 The author shall make the preliminary determination in conjunction with technical management or the COTR or GTO, if applicable, and the Center's Technical Publications Office.

2.2.4 Selection shall be subject to review and approval as part of the Center review process.

2.2.5 When the series is selected and approved, the publication shall be assigned a NASA report number. [Authors contact their Center's Technical Publications Office to obtain a number from NASA STI Support Services, which is NASA's repository for STI. The report number is prefixed by the Agency acronym and the two-letter abbreviation that indicates the series (e.g., NASA/CP--2010-123456 and NASA/TM--2010-123456).]

2.2.6 For documents that are published in English and another language, authors shall use the same NASA number but add the language in parentheses (e.g., NASA/TP--2010-123456 (in English) and NASA/TP--2010-123456 (in Russian)).

2.3 Scientific and Technical Information (STI) Work Undertaken for Another Government Agency, Company, or University

2.3.1 When a NASA employee or person performing under a NASA contract or grant works with or undertakes work for another Government agency, they shall report their scientific and technical findings in the NASA STI Report Series.

2.3.2 Appropriate indication of the joint project or sponsorship shall be given on the cover, title page, and SF-298 (RDP).

2.3.3 Such publication shall not preclude the other Government agency from publishing the work in its own series.

2.3.4 In situations in which a NASA employee or person performing under a NASA contract or grant works with or undertakes work with a company or university and the company or university publishes the results, authors shall indicate NASA's support on the title page or first page of the work.

2.4 Scientific and Technical Information (STI)-Related Work Funded by One Center and Performed by Another

2.4.1 When NASA work is sponsored or funded by one NASA Center and performed by another NASA Center, the scientific and technical findings shall be reported in the NASA STI Report Series.

2.4.2 The Center performing the work shall be responsible for approval, production, and issuance of the document.

2.4.3 Appropriate indication of sponsorship shall be given on the cover, title page, and SF-298 (RDP). (See [Appendix C](#).)

2.5 Responsibility for the NASA Scientific and Technical Information (STI) Report Series

2.5.1 Responsibility for production and dissemination of all NASA STI publications is set forth in NPD 2200.1.

2.5.2 The Scientific and Technical Information Program Office (STIPO) shall be responsible for the management of the Agency's STI program.

2.5.3 The STIPO shall maintain control of the production and distribution of the six types of NASA STI Report Series publications described in [Appendix D](#).

2.5.4 This responsibility shall be carried out through the Agency OCIO STI Program Executive, the NASA Center STI Managers, and Technical Publications Managers.

2.5.5 The author, technical management, and the Center Technical Publications Manager shall ensure that the necessary funds are available from the originating NASA Center or Headquarters office to cover the cost of production and of printing the report, if applicable. [For reports that are to be printed, contact the Agency or Center Printing Officer and the Technical Publications Manager.]

2.5.6 All NASA STI published by or for NASA, regardless of publication type or media used, shall meet the reviews and approvals set forth in [Chapter 4](#) before the STI is published, disseminated, or presented external to NASA (or

presented at internal conferences or meetings at which foreign persons may be present).

2.5.7 The author and his or her management shall ensure that the required reviews are completed and approved, and signatures are obtained in cooperation with the COTR or GTO, if applicable (e.g., for Contractor Reports (CRs)). (See [Section 2.5.8](#) for special procedures for CRs.)

2.5.8 Special Procedures for CRs

2.5.8.1 NASA CRs (reports prepared by contractor, grantee, or cooperative agreement participants) shall be processed into the formal CR series only after the cognizant NASA CO or COTR or GO or GTO, and NASA manager approve the report as an acceptable deliverable under the terms of the contract, grant, or cooperative agreement.

2.5.8.2 When specified in the contract, grant, or cooperative agreement, contractors, grantees, and cooperative agreement participants shall submit final reports to the NASA CO or COTR or GO or GTO of record. For specifics, see the NASA Federal Acquisition Regulations (FAR) Supplement (NFS, updated Dec. 1, 2008, <http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm>), Sections 1835.010, 1835.011, 1835.070, 1852.235-70, 1852.235-73, 1852.235-74 and their referenced Sections, and NPR 5800.1. See also Procurement Information Circular (PIC) 03-03 and Grant Information Circular (GIC) 07-02. Electronic formats shall be submitted.

2.5.8.3 Contractors, grantees, and cooperative agreement participants shall provide NASA notification that they have transmitted their final report to the NASA CO or COTR or GO or GTO at the NASA Center that sponsors their work by sending notification to eft_fpt@sti.nasa.gov, "Attention acquisitions unit." (For help, send an e-mail to help@sti.nasa.gov.)

2.5.8.4 Contractors, grantees, and cooperative agreement participants shall electronically submit an SF-298 for NASA STI Report Series documents. (See [Appendix C](#). The SF-298 is not required when the STI E-DAA system is used, since that system contains the elements captured on the SF-298.)

2.5.8.5 Covers and title pages of submitted reports shall include the standard cataloging elements specified in [Appendix D.3.5.1](#).

2.5.9 Translations of STI performed by and for NASA represent a resource investment; therefore, NASA STI Support Services shall collect technical translations for inclusion in the STI Database.

2.5.9.1 NASA activities arranging for translation services (e.g., through the award of a contract for translation services) shall incorporate the requirement to submit one copy of each technical translation to NASA STI Support Services in those arrangements (e.g., a contract clause), thereby relieving the requester of the responsibility to ensure that copies of translations are forwarded for input into the STI Database.

2.5.9.2 If the producer of a translation is not required to submit one copy of each technical translation to NASA STI Support Services, the requester shall ensure that a copy of the translation is forwarded to NASA STI Support Services for inclusion in the Technical Translation series.

2.5.9.3 To assist NASA STI Support Services in determining distribution limitations and to expedite future dissemination of a technical translation, the requester shall ensure that information concerning copyright of the original source document accompanies the translation submitted to NASA STI Support Services.

2.5.9.4 Copyright information for TTs shall also be entered on NF-1676 (DAA).

2.5.9.5 Such information shall include, but is not limited to, the title of the book or article, the name of the book or journal in which the copyrighted information was originally published, the publisher's name and address, the publication date, and any copyright notice appearing on the document, book, or journal in which the copyrighted information was originally published.

2.6 Standards for NASA Scientific and Technical Information (STI) Report Series Publications

2.6.1 Authors shall adhere to the standards cited for STI Report Series documents. These standards are listed in [Appendix D](#).

2.6.2 Authors shall use an errata if the errors are minimal but of sufficient importance to warrant correction.

2.6.3 Minor typographical errors usually shall not require correction. A typical setup for an erratum is shown in [Appendix H](#).

2.6.4 The distribution of an erratum shall be made in accordance with the original distribution.

2.6.5 A corrected copy shall be issued if there are numerous errors that cannot be made clear in an erratum.

2.6.6 The standard report number format for a corrected copy shall be the year and number of the original report

followed by Corrected Copy in parentheses.

2.6.7 The report date shall be the same as the original report. Distribution is made in accordance with the original distribution.

2.6.8 Because style and format standards for NASA STI publications are provided in several sources, if conflicting guidance is encountered, the sequence of the following list shall govern selection of the appropriate standard.

2.6.8.1 NPR 2200.2, Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information (STI)

2.6.8.2 NPR 2810.1, Security of Information Technology

2.6.8.3 NASA/SP--2005-7602, NASA Publications Guide for Authors and updated versions

2.6.8.4 NASA/SP--2006-6114, NASA STI Standards

2.6.8.5 Public Law (PL) 105-220, Title IV, Subsection 408(b), as amended--Section 508 of the Rehabilitation Act (29 United States Code (U.S.C.) 794d)

2.6.8.6 Instructions issued by NASA Centers that implement the requirements of this NPR

2.6.8.7 Government Printing Office Style Manual, latest edition

2.6.8.8 Industry-standard style manuals or specifications

2.6.9 Authors and approvers shall refer to the following instructions when re-marking and handling documents that were previously export-controlled and/or contain restricted-access information that has been downgraded.

2.6.9.1 When STI is no longer subject to restriction, NASA Center program officials, Export Control Administrators, and/or Patent or Intellectual Property Counsel, as appropriate, shall re mark (downgrading the restriction or limitation of) the STI and notify NASA STI Support Services of the subsequent availability by sending the re-marked document and a copy of the new or modified DAA through the Center Technical Publications Office or STI Manager. Because NASA STI Support Services is a contractor facility, it is not approved to change or alter dissemination information. See also Section 4.4.2.4 and NPR 1600.1.

2.6.9.2 The original marking shall be electronically lined through.

2.6.9.3 The new marking shall be indicated next to or above the original marking by stating "restriction changed to ...[insert new dissemination access], on date...[insert month, day, and year], by authority of ...[insert originating office that is responsible for and has the authority to change the distribution notice]."

2.6.9.4 This new information shall be indicated on the cover, the title page, and block 12, DISTRIBUTION/AVAILABILITY STATEMENT, of the SF-298.

2.6.9.5 Authors and approvers shall not simply change the access limitation and insert a new cover, title page, and SF-298 so that there is no record of the change.

2.7 Submittal of Publications to the NASA Scientific and Technical Information (STI) Support Services

2.7.1 Authors shall submit their approved STI to NASA STI Support Services along with a copy of the NF-1676. For submittal information, see [Appendix D, Section D.4](#).

2.7.1.1 Authors shall submit in encrypted format (by the Agency standard encryption). STI that contains restricted-access information. See NPR 2810.1 and NASA Technical Standard (NASA STD) 2820.

2.7.1.2 If such mechanisms and infrastructure are not available, an electronic file loaded to a CD or DVD shall be accepted.

2.7.1.3 CDs (including their internal electronic files) and DVDs shall be marked with the applicable restriction and mailed in an envelope that does not indicate the restricted nature of the content. For additional information, see also NPR 1600.1.

2.7.1.4 Export-controlled information, as defined as ITAR (22 Code of Federal Regulations (C.F.R) 120-130, International Traffic in Arms Regulations) and EAR (15 C.F.R 730-744, Export Administration Regulations), shall be encrypted.

2.8 Standards for Protection of Intellectual Property

2.8.1 Authors and approvers shall ensure that standards for authorship, references, inclusion of copyrighted material,

trademarks and trade names, copyright status, and publishers' agreements are handled in accordance with NASA's standards for protection of intellectual property, as indicated in [Appendix D, Section D.6](#).

2.9 Disclaimers

2.9.1 Authors and approvers shall ensure that the use of disclaimers is in accordance with NASA's standards, as shown in [Appendix D.7](#).

2.10 Distribution Notices

2.10.1 Authors and approvers shall ensure that distribution notices are included on STI documents, when required.

2.10.2 Distribution notices shall include limitations and restrictions, such as ITAR, EAR, SBIR, proprietary information, and copyrighted information, as discussed in [Chapter 4](#).

2.10.3 These designations shall be determined for STI via the NF-1676.

2.11 Level of Review

2.11.1 Authors shall indicate on the back of the title page (or, in nontraditional media, in the introductory information that would equate to the back of a title page) the level of technical or professional review the STI has received. See [Section 4.3](#) for specifics. Examples include:

2.11.1.1 This material has been technically reviewed by (insert as appropriate: a committee of peers, expert single reviewer, technical management).

2.11.2 An example for SPs follows:

2.11.2.1 This material has been professionally reviewed by (insert as appropriate: the HQ program office or NASA Center).

2.12 Use of International System of Units (SI)

2.12.1 NPD 7120.4, in part, that it is NASA policy to adopt SI measurement, defined by American National Standards Institute (ANSI)/Institute of Electrical and Electronics Engineers (IEEE) Standard 268, as the preferred system of weights and measures for NASA. Therefore, the use of SI shall be required in all NASA scientific and technical publications when the activities being documented or reported are performed using SI units.

2.12.2 Scientific and technical activities performed using U.S. Customary Measures may be documented or reported using U.S. Customary Measures.

2.12.2.1 The report shall clearly state which form of measurements was used. [Appendix J](#) contains references that provide guidelines for the use of SI and for the conversion of SI to inch-pound measures or inch-pound measures to SI.

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