



**GLENN  
PROCEDURAL  
REQUIREMENTS**

**Directive: GLPR 2200.1D  
Effective Date: 04/30/2024  
Expiration Date: 04/30/2029**

**COMPLIANCE IS MANDATORY**

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**Responsible Office: Code V/Office of the Chief Information Officer**

**Subject: Requirements for Documentation, Approval, and Release  
of GRC Scientific and Technical Information (STI)**

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## **PREFACE**

### **P.1 PURPOSE**

This Glenn Procedural Requirements (GLPR) directive identifies requirements for documenting, approving, and releasing NASA Glenn Research Center (GRC) scientific and technical information (STI) under the policy set forth in NASA Policy Directive (NPD) 2200.1, Management of NASA Scientific and Technical Information, and NASA Procedural Requirements (NPR) 2200.2, Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information.

### **P.2 APPLICABILITY**

- a. This directive is applicable to all organizations at Glenn Research Center (GRC) Lewis Field and GRC Armstrong Test Facility (GRC-ATF), GRC contractors, and grantees, to the extent specified in their contracts and grants, who release, in any medium, the results of their research via the formal NASA Report Series or open literature. This procedure also applies to managers, technical monitors, grants officers (GOs), grants technical officers (GTOs), contracting officers (COs), contracting officer's representatives (CORs), intellectual property officers (IPOs), and GRC export control administrators (ECAs), or designees, who review and approve the content and distribution of NASA STI.
- b. This directive is applicable to documents developed or revised after the effective date of this GLPR.
- c. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The term "may" denotes a discretionary privilege or permission; "can" denotes statements of possibility or capability; "should" denotes a good practice and is recommended, but not required; "will" denotes expected outcome; and "are/is" denotes descriptive material.
- d. In this directive, all document citations are assumed to be the latest version, unless otherwise noted.

### **P.3 AUTHORITY**

- a. National Aeronautics and Space Act, 51 U.S. Code (U.S.C.) § 20101 et seq.
- b. NPD 2200.1, Management of NASA Scientific and Technical Information (STI)
- c. NPR 2200.2, Requirements for Documentation, Approval and Dissemination of NASA Scientific and Technical Information

### **P.4 APPLICABLE DOCUMENTS AND FORMS**

- a. Freedom of Information Act (FOIA), 5 United States Code (U.S.C.) 552
- b. NPR 1600.1, NASA Security Program Procedural Requirements
- c. NPR 2810.1, Security of Information and Information Systems

- d. NPR 2810.7, Controlled Unclassified Information
- e. NASA Form (NF) 1676, NASA Scientific and Technical Information (STI) Document of Record (Web-based form; available at <https://strives.nasa.gov/portal>)
- f. GRC 22 Form, Scientific and Technical Information (STI) Technical Review
- g. GRC 709 Form, Work Request
- h. Agency Scientific, Technical and Research Information and discoVery System (STRIVES) Guides and Documentation (Web-based system; available at <https://nasa.sharepoint.com/sites/NASASTIProgram/SitePages/STRIVES-User-Guides-and-Templates.aspx>)

## **P.5 MEASUREMENT/VERIFICATION**

The CIO tracks STRIVES activity processed through the STI Program to ensure all documents published via the STI Program are processed in accordance with Agency STRIVES policy and guidelines. Results are reported to the GRC and Agency STI Program Manager, as requested.

## **P.6 CANCELLATION**

This document cancels the previous version, GLPR 2200.1C, Publishing GRC Scientific and Technical Information (STI), dated October 31, 2022.

**LAURENCE SIVIC** Digitally signed by LAURENCE SIVIC  
Date: 2024.04.30 08:48:24 -04'00'

Laurence A. Sivic  
Associate Director

# CHAPTER 1: Introduction

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## 1.1 GRC STI Program Overview

1.1.1 Per NPR 2200.2, “In accordance with 51 U.S.C. § 20101 et seq., as amended, NASA shall “provide for the widest practicable and appropriate dissemination of information concerning its activities and the results thereof.” Unless a determination is made that public dissemination of information shall be prohibited or restricted, NASA information is made available to the public.”

1.1.2 The GRC STI Program manages the requisite practices and services, based on Agency policies and procedures, to process the documentation of the review and approval of STI prior to release. Agency reviews and guidelines ensure that STI is handled and distributed based on any indicated limitations.

1.1.3 It is the responsibility of every GRC employee, contractor, grantee, or other award/agreement recipient to comply with applicable Federal laws, regulations, executive orders, agreement/award instruments, and Agency policies associated with publishing research performed by or for NASA.

1.1.4 Authors, meaning NASA employee authors or any NASA employee seeking to disseminate NASA STI, shall not release NASA STI through any public channel or media without submitting and obtaining an approved NASA Form (NF) 1676 as per NPR 2200.2. The NF-1676 is the mandatory review and approval process to determine if NASA STI (including STI that has been received from NASA-funded contractors and grantees) contains information that has prohibited or restricted access. It implements the U.S. statutory requirements for NASA to review information for potential dissemination restrictions, such as export control, intellectual property, Personally Identifiable Information (PII), Controlled Unclassified Information (CUI), Web sensitive information, and other restrictions and limitations. Because a noncompliant release or a misrelease can jeopardize authorship claims and expose sensitive or export control information, NASA policy is for authors to get approval via the NF-1676 process before the STI is released. If NASA STI is not properly approved prior to release, any consequences for inappropriately releasing information fall on the author.

## 1.2 Scientific and Technical Information Defined

The STI is defined in Section 2.1 of NPR 2200.2 as “the analyses of data and facts and resulting conclusions of basic and applied scientific, technical, and related engineering research and development.” Types of NASA STI may include:

- a. Technical publications and reports.
- b. Abstracts.
- c. Journal articles, including preprints and accepted manuscripts.
- d. Meeting, workshop, and conference publications and presentations.
- e. Conference proceedings; and
- f. Preliminary STI, including any of these examples that will be uploaded to a public website or that exist in visual documentation formats.

### **1.3 Exclusions**

Not all information released by NASA falls under the purview of STI. Information types excluded from NASA STI requirements per NPR 2200.2 are likewise excluded from the requirements of this directive.

# CHAPTER 2: Requirements

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## 2.1 Compliance with NPR 2200.2

Every GRC employee, contractor, grantee, or other award/agreement recipient shall comply with applicable requirements in NPR 2200.2, Chapter 3, for Center directors, STI Program managers, STRIVES Processors, managers, authors, technical monitors, grants officers (GOs), grants technical officers (GTOs), contracting officers (COs), contracting officer's representatives (CORs), intellectual property officers (IPOs), and GRC export control administrators (ECAs), or designees, who release, review, and approve the content and distribution of NASA STI.

## 2.2 Release of STI

2.2.1 Authors shall publish or otherwise release external to NASA (including via the Internet) STI only if it has been reviewed at the correct organizational level for technical accuracy and conformance with applicable law, policy, and publication standards, and has been approved for release as prescribed by NPR 2200.2.

2.2.2 All NASA STI and NASA-funded STI, if released by or on behalf of NASA in any medium, shall be reviewed and approved via the NF 1676, including STI produced by NASA contractors, grantees, and cooperative agreement authors if the NASA STI is released by or for NASA.

2.2.3 All GRC employees seeking to release STI from Lewis Field and GRC-ATF shall use the NASA Scientific and Technical Research Information Discovery System (STRIVES), which provides the NF 1676.

2.2.4 The GRC authors shall release STI, regardless of public channel or media, only after obtaining an approved NF-1676. A NF-1676 is approved when all required approvers' signatures and the STRIVES Processor's signature are documented on the form.

# CHAPTER 3: Procedure for Releasing STI

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## 3.1 Authors of STI shall:

- a. Prepare drafts in accordance with internal organizational, program, or project procedures.
- b. Request editorial, formatting, and/or graphics support through Publishing Services as needed.
  - (1) If a draft needs Publishing Services work before the STI can be routed for reviews, authors may request support by submitting the draft STI with a GRC 709 to Publishing Services. This does not fulfill the requirement to route STI for NF 1676 review and approval prior to release.
  - (2) Authors should take into consideration the amount of time required to complete requested Publishing Services work and ensure work is completed prior to the time required to complete the NF 1676 review and approval.
- c. Adhere to the standards of authorship provided in NPR 2200.2 and STRIVES guides and documentation.
  - (1) If the STI is a joint work coauthored by NASA employees from more than one NASA center, the first author is responsible for initiating the appropriate review and approval forms via the first author's center's technical publication organization.
  - (2) An NF 1676 is required if there is a NASA civil servant coauthor on an STI document regardless of where the NASA civil servant coauthor is listed in the contribution order.
- d. Make an initial determination of the STI type and distribution according to NPR 2200.2.
- e. Ensure that restricted distribution notices are included on STI when it should be limited or restricted.
- f. Safeguard restricted or sensitive information in accordance with NPR 2810.7, Controlled Unclassified Information; NPR 1600.1, NASA Security Program Procedural Requirements; NPR 2810.1, Security of Information and Information Systems; and NPR 2200.2.
- g. Submit the STI for technical and/or management review and approval according to defined internal organizational procedures (e.g., GRC 22) prior to STRIVES submission. Technical and management reviews are completed outside of the NF 1676 process and before the NF 1676 is initiated.
- h. Revise the STI, if necessary, and resubmit for technical and/or management review and approval until the STI is approved.
- i. Upon receiving technical and/or management approval, use the NASA Scientific and Technical Research Information Discovery System (STRIVES), which provides the NF 1676, to initiate the required NF 1676 review and approval.
- j. Provide within the STRIVES system.
  - (1) The FINAL version of the STI.

- a. A draft will be processed, but a resubmit must be completed for the final version before release of the final STI.
- (2) Verification of the completed and approved technical and/or management review(s) (i.e., GRC 22, as required).
- (3) Copyright permissions for all copyrighted information in the STI.
- k. Submit the NF 1676 with the FINAL version of STI a minimum of 10 working days prior to external release or to internal release when foreign persons may be present. The minimum of 10 days should be allocated as follows:
  - (1) Management: three (3) working days to review/approve.
  - (2) STRIVES Processor: four (4) working days to process form.
  - (3) Legal/Export: three (3) working days to review/approve.
- l. Track the NF 1676 throughout the review/approval routing workflow to ensure all required signatures (i.e., management, STRIVES Processor, legal, and export) have been obtained prior to the release date.
- m. Complete all required follow-up actions as indicated in the NF 1676 “Comment” section prior to the release date.
  - (1) The “Comment” feature is to be used by authors and users to communicate questions, concerns, and clarifications with each other. It also allows the STRIVES Processor and quality reviewers (STI personnel and curators) to request clarifications or add notes about changes to the record.
  - (2) The NF 1676 will be placed in an “Abandoned” status if the items noted in the “Comment” section field are not resolved by the author by the required date. The author will then be required to reinstate the NF 1676 to continue the approval process.
- n. Contact the GRC STRIVES Processor to resolve any issues with the STI or STI forms.
- o. Initiate the “Resubmit” process only when minor updates that do not impact distribution availability need to be made to the STI.
- p. Select the STRIVES/NF 1676 “Abandon” button only when the form is in a “Draft” or “In Progress” state to indicate that the STI submission is not needed and provide a comment (required) to indicate the reason; for example, “Submitted in error” or “Abandoning this form because project has been canceled.”
- q. Work with the STI Program as needed to resolve any instance of noncompliant or misreleased STI.
  - (1) If STI is discovered to be noncompliant or misreleased, the STI must be reviewed via the NF 1676 as soon as possible to determine if any sensitive information was released inappropriately.
  - (2) If sensitive information has been released inappropriately, it is the responsibility of the originating NASA center in coordination with the author and the author’s line organization to recall any information that was inappropriately released or to determine that a recall would constitute a threat of additional exposure.



- (3) If no inappropriate information was released, the STI can be approved with the date of the approved NF 1676 form (not a prior release date). This date goes into the official file and into the STI database and repository.

### **3.2 Managers of STI authors shall:**

- a. Perform a management review to determine the worthiness of the STI for publication according to data quality standards, technical excellence and merit, and distribution availability category.
- b. Assign a technical or management review as stipulated in NPR 2200.2.
- c. Validate that STI content is clear, factual, and appropriate for submission and intended dissemination.
- d. Ensure that restricted distribution notices are included on STI when it should be limited or restricted.
- e. Validate content for the designation of Controlled Unclassified Information (CUI) markings. Any disputes regarding improperly marked CUI are the responsibility of the manager to address in the coordination with the author.
- f. Validate and ensure accuracy of the NF 1676 and its representation and release of NASA STI.
  - (1) If the author's suggested distribution availability category is correct and if technical excellence and merit are confirmed, sign the NF 1676, and send it with the STI to the next required approver.
  - (2) If the author's suggested distribution availability category is incorrect or if technical excellence and merit are not confirmed, add a comment to the NF 1676 for the author to resolve.

### **3.3 The Legal Counsel reviewer or designee shall:**

- a. Review the STI to determine if it requires restricted access designations because the publication or distribution is restricted by law, regulation, or policy.
- b. Change, if necessary, the proposed distribution availability category, and inform the author and the author's management of the change.
- c. Provide advice on copyright and intellectual property prior to dissemination to any venue type and determine or change copyright as needed.
- d. Review all third-party content to ensure that permission to use the content has been documented correctly.
- e. Approve, disapprove, or recommend revisions to the STI.
- f. If the STI contains the correct restricted access information, sign the NF-1676 to continue routing.

### **3.4 The Export Control reviewer or designee shall:**

- a. Assist program and project personnel, STI authors, COs/CORs, GOs/GTOs, and other cooperative agreement personnel in determining the appropriate export controls for publishing/releasing and

disseminating STI.

- b. Review all STI submissions for appropriateness of the indicated restrictions and distribution availability.
- c. Validate NF 1676 for accuracy.
- d. Change the proposed distribution availability category, if necessary, and inform the author (or NF 1676 initiator) and the author's management of the change.
- e. Sign the NF 1676 to continue routing.

**3.5 The GRC STRIVES Processor shall:**

- a. Perform a quality assurance review.
- b. Review the NF 1676 for completeness, distribution availability category, restrictions, and accuracy.
- c. Provide details of any deficiencies and required steps for resolution in the "Comments" section of the STRIVES/NF 1676.
- d. Ensure that the STI is complete for processing.
- e. Support Agency STI compliance audits.
- f. Support GRC awareness activities, as requested.

# Appendix A: Definitions

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**Abandon.** A selection option in the STRIVES/NF-1676 system to indicate that an STI submission is not needed or was submitted in error. The Abandon button can be clicked when the submission is in Draft or In Progress state. Do not select this option to disapprove or reject a form. When a form is abandoned, it cannot be routed to approvers and is no longer an active form in any user's queue. Abandoned forms can be reinstated and continue submission.

**Approval.** Approval applies only to the STI document attached to the form. No approval can be implied for an STI document that is not available for review by the approvers. After all required signatures have been obtained (i.e., Management, Legal, Export, and STRIVES Processor) and the NF 1676 has been approved, the STI can be released as indicated on the form.

**Approver.** Validates and ensures accuracy of the NF 1676 and its representation and release of NASA STI.

**Availability.** Degree of authorized access to a given document based on approved distribution limitations.

**Dissemination/Distribution.** "Dissemination" typically refers to the process by which STI is transmitted to the user community. "Distribution" typically refers to the transmittal of STI electronically or by hard copy and/or alternative media to authorized users. In this GLPR, these two terms are used interchangeably. In accordance with Office of Management and Budget Circular A-130, Management of Federal Information Resources, Government distribution or dissemination means the Government-initiated distribution of information to the public. It does not include distribution limited to Government employees or Agency contractors or grantees, intra-Agency or interagency use or sharing of Government information, or responses to requests for Agency records under the Freedom of Information Act (FOIA), 5 U.S.C. 552.

**GRC 22.** The form that records technical and management reviews and approvals of STI. This GRC-only form is designed to help GRC authors meet NASA policy requirements that require all NASA STI to undergo, at a minimum, a technical or management review prior to release by, or under the direction of, NASA. According to NPD 2200.1 and NPR 2200.2, the technical and management reviews and approvals shall be handled outside of the NF 1676 process.

**GRC 709.** The form used to request work on parts of STI before the entire STI is routed for reviews and approvals or to request print copies of completed STI.

**GRC Export Control Administrator (ECA) or designee (e.g., export representatives).** The person responsible for ensuring that each NASA STI publication is reviewed for export controlled or contractor company proprietary content and is approved for release in the appropriate NASA STI availability category.

**Document.** The record containing the STI to be reviewed.

**Intellectual Property Officer (IPO).** The program or project member responsible for the development and implementation of technology control policies and procedures for programs and/or projects. The IPO facilitates the identification, proper handling, and technology transfer controls of intellectual property.

**Misrelease.** The STI released under one distribution category that should have been published under another, particularly when the second category is more stringent.

**NASA Form 1676, Document of Record.** The process by which NASA determines which restrictions, if any, need to be placed on the availability of a document and the form used to obtain approval to release STI outside of NASA or make it available internally to foreign nationals. The NF 1676 is hosted via STRIVES through the NASA domain. The NF 1676 collects supervisor approval, export control approval, and (when required) legal approval. Once approved, the NF 1676 is routed to the Center STI office for a quality assurance review.

**NASA STI Support Services.** The NASA STI Program's contract facility that maintains the Agency STI database and processes information into it. NASA STI Support Services currently serves as the historical repository for all NASA STI Report Series publications and as the physical full-text distribution center for these reports.

**NASA STI Report Series.** Discrete report designations that characterize NASA and NASA contractor STI reports. The NASA Report Series comprises six types of publications: Technical Publications (TPs), Technical Memorandums (TMs), Contractor Reports (CRs), Conference Publications (CPs), Special Publications (SPs), and Technical Translations (TTs).

**Noncompliant.** STI released external to NASA or internally where foreign persons may be present prior to review and approval via the NF 1676 process.

**Other Author.** An author who is not a Federal employee, contractor, or grantee or cooperative agreement recipient. Other Authors include but are not limited to Emeritus, Distinguished Research Associates (DRAs), Special Government Employees, Interns, Space Act Agreement Partners, and visiting Research Associates (VRAs).

**Publicly Available.** The availability assigned to STI for which distribution and use are unrestricted (i.e., "Unclassified" and "There are no distribution limitations.").

**Publish.** To release NASA STI for public or restricted access through print, electronic, or any other media.

**Reject.** A selection option in the STRIVES/NF-1676 system used only if the approvers feel the STI is not appropriate for release to the primary distribution. Rejected submissions are taken out of the approval workflow and cannot be reinstated. If changes need to be made to the submitted document or entries on the form, the approver should use the "Comments" feature to alert the author to the required changes.

**Scientific and Technical Information (STI).** NASA STI is defined as the result (the analyses of data and facts and resulting conclusions) of basic and applied scientific, technical, and related engineering research and development.

**STI Program Manager.** Person responsible for the overall Center STI program in coordination with the Technical Publications Manager and Center STRIVES Processor.

**STRIVES.** The Scientific, Technical and Research Information discoVErY System is the Scientific and Technical Information Program system for STI submission and review.

**Scientific, Technical and Research Information discoVErY System (STRIVES) Processor.** The person responsible for coordinating with GRC authors, the STI manager, the technical publications manager, COs, CORs, GOs, GTOs, and managers who approve STI in order to track, file, and transfer the NF-1676 and its associated STI, after approval, to NASA STI Support Services.

**Technical Review.** Review that typically is performed by peers having expertise within the technical discipline of the activity or research being documented. These reviews assess the technical integrity and merit of the activity or research being performed and the results being documented without regard to the effectiveness of the document at communicating the information.

**Technical Monitor.** The NASA employee appointed to monitor or manage technical progress, referred to in grant instructions as the grants officer (GO). In contract instructions, this employee may be identified as the project manager, the contracting officer's representative (COR), or the grants technical officer (GTO). This employee is responsible for approving contractor- and grantee-generated STI for NASA publications.

## Appendix B: Acronyms

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BMS	Business Management System
CLP	Center-Level Procedure
CO	Contracting Officer
COR	Contracting Officer's Representative
CP	Conference Publication
CR	Contractor Report
CUI	Controlled Unclassified Information
ECA	Export Control Administrator
GLPR	Glenn Procedural Requirements
GO	Grants Officer
GTO	Grants Technical Officer
GRC	Glenn Research Center
IPO	Intellectual Property Officer
NF	NASA Form
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
PII	Personally Identifiable Information
SP	Special Publication
STI	Scientific and Technical Information
STRIVES	Scientific, Technical and Research Information discoVEry System
TM	Technical Memorandum
TP	Technical Publication
TT	Technical Translation
U.S.C.	United States Code

## Change History

<b>Change</b>	<b>Date</b>	<b>Description/Comments</b>
Basic	7/18/2007	Document converted from Center-Level Procedure (CLP) (GRC-P3.7.4) to GLPR
A	6/20/2012	Substantive changes throughout: - Updated Table of Contents - Updated Preface section - Added Introduction (Overview and STI Defined) section - Updated Responsibilities section - Updated Procedures for Publishing STI - Updated Appendix A. Definitions - Added Appendix B. Acronyms - Added Chapter 1. Introduction Notes: - Revised to include the Web-based NASA Form (NF) 1676B known as the Electronic Document Availability Authorization (E-DAA) - Defines recommended GRC best practice for routing NF1676B to required approvers (see Section 2.9.2, Center Managers who approve STI)
B	10/20/2017	Changes: - Updated Table of Contents, Appendix A, and Appendix B - Added Appendix C - Removed all references to the paper-based Document Availability Authorization (DAA)/NF1676 - Stated Agency policy change that prevents the batching of more than one configuration of STI on a single NF1676B - Added, as per NPR 2200.2, section 4.3, that technical and management reviews shall be handled outside of and completed before the NF1676B is initiated - Replaced “CASI” references with “NASA STI Support Services” - Section 1.2 was replaced with a short statement (Section 1.1.3) directing readers to NPR 2200.2 so that information there would not be duplicated in this GLPR. - Wording changes were made.
C	10/31/2022	Updated to meet requirements of GLPR 1410.1. Change approval authority and title. Added Chapter 3. Procedure for Publishing STI Deleted Appendix C. References
D	04/30/2024	Transition responsibility from Logistics and Technical Information Division to Office of the CIO Chapter 3.1.b - updates process for requesting publishing services. Chapter 3.1.k - updates to routing approval order. Chapter 3.5.d - removes local STI database tracking requirement