

Department of Veterans Affairs VA HANDBOOK 6360.2

Washington, DC 20420 Transmittal Sheet

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**PROCEDURES FOR IMPLEMENTATION OF THE
AMERICAN TECHNOLOGY PREEMINENCE ACT (ATPA)**

1. REASON FOR ISSUE: This handbook establishes Department of Veterans Affairs (VA) procedures for implementation of the provisions of the American Technology

Preeminence Act (ATPA) mandated by the National Technical Information Act of 1991, as

amended by Public Law 102-245.

2. SUMMARY OF CONTENT/MAJOR CHANGES: This handbook provides new procedures for implementing the requirements of ATPA.

3. RESPONSIBLE OFFICE: The Information Management Service (045A4), Office of the Deputy Assistant Secretary for Information Resources Management (045), is responsible for the material contained in this handbook. Comments, questions, or suggestions may be addressed to that office at 810 Vermont Avenue, NW., Washington, DC 20420.

4. RELATED DIRECTIVE: VA Directive 6360, Dissemination of Government-held Information.

5. RESCISSION: None

CERTIFIED BY: BY DIRECTION OF THE SECRETARY

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Distribution

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PROCEDURES FOR IMPLEMENTATION OF THE AMERICAN TECHNOLOGY PREEMINENCE ACT (ATPA)

1. PURPOSE. This handbook contains mandatory Department of Veterans Affairs (VA)

procedures for implementing the provisions of the American Technology Preeminence Act (ATPA) mandated by the National Technical Information Act of 1991, as amended by Public Law 102-245. The provisions of this handbook are applicable to all elements of the Department.

2. GENERAL

a. ATPA requires that all Federal agencies transfer in a timely manner to the U.S. Department of Commerce, National Technical Information Service (NTIS) unclassified scientific, technical, and engineering information which results from Federally funded research and development activities for dissemination to the private sector, academia, State and local governments, and to Federal agencies. ATPA is an integral part of the Federal government's overall information management and dissemination infrastructure, and will facilitate public access to scientific, technical, and engineering information (STEI) that is produced by Federal agencies.

b. These procedures were developed in cooperation with NTIS. They are intended to assist NTIS in significantly expanding their collection of more than two million printed reports and documents, videotapes, computer software and computerized data files on tape, diskette, and CD-ROM. Such information can be purchased from NTIS by the research and development community, business and the general public.

c. The following definitions are applicable to terms used throughout this document:

(1) Scientific Technical and Engineering Information (STEI). Basic and applied research that results from the efforts of scientists and engineers in any medium (including new theory) and information obtained from experimentation, observation,

instrumentation or computation in the form of text, numeric data or images. Information that bears on business and industry generally, such as economic information, market information and related information, if it is determined that such information would be of value to consumers of the information.

(2) Federally Funded. Scientific, technical and engineering information which results from Federal research and development activities funded in whole or in part with Federal funds, whether performed by the agency itself or by contractors, grantees, cooperative research partners, joint venture partners or under any similar arrangement involving Federal funds.

(3) STEI Product. Includes, but is not limited to any report, manual, standard, specification, book, paper, chart, map, graph, data collection, data file, data compilation, software, audio/video production, technology application assessment generated as well as materials pertaining to training technology and other Federally-owned or originated technologies, and applies to items produced in-house or outside the agency through the Government Printing Office (GPO), its contractors, Federal Prison Industries or any other producer, provided that such material is intended by the agency for public dissemination.

(4) Final STEI Product. A product that is intended for public dissemination and may exclude interim status reports routinely furnished to agencies by contractors and grantees for monitoring and other internal purposes and which are not intended for public dissemination.

(5) Summary STEI Product. Information relating to an ongoing research project likely to result in a final STEI product.

(6) Federal Depository Library. The Federal Depository Library Program is operated by the GPO and its partnership network of private, State and Federal libraries located throughout the United States and its territories. This network of libraries provides a Government information infrastructure for the nation. These depository libraries provide free public access to a wide variety of Federal government information in both print and electronic formats.

3. RESPONSIBILITIES OF VA SCIENTIFIC, TECHNICAL, AND ENGINEERING INFORMATION (STEI) LIAISON OFFICER AND ADMINISTRATION STEI LIAISON OFFICERS

a. The Deputy Assistant Secretary for Information Resources Management (DAS/IRM) will designate a Department STEI Liaison Officer who will:

(1) Establish and maintain a Departmentwide STEI program to ensure that unclassified scientific, technical and engineering information is transferred to NTIS in a timely manner.

(2) Issue changes to this handbook that are necessary to implement and manage the program.

(3) Establish policies and procedures for administering the ATPA program.

(4) Provide advice and assistance, and recommend policies, procedures, and other requirements governing ATPA and its operations to the DAS/IRM.

(5) Serve as the Department's liaison officer with NTIS.

(6) Ensure that administrations comply with these procedures through the OIRM Review Program as required by Federal regulations.

b. Administration Heads, Assistant Secretaries, and Other Key Officials will designate one or more STEI Liaison Officers to assist in managing the ATPA program. The responsibilities of these officials are:

(1) Establish and manage a program for ATPA to ensure STEI products produced within their respective administrations are identified and submitted to NTIS on a continuing basis and in a timely manner.

(2) To deal directly with NTIS on matters relating to their administration's STEI products identified for transfer to NTIS.

(3) Provide ATPA Certification of Compliance (see sample Certification Memorandum provided in Appendix A) on a semi-annual basis, to the Information Management Service (045A4) on January 31 and July 31.

4. REQUIREMENTS FOR CONSIDERATION WHEN IDENTIFYING STEI PRODUCTS FOR TRANSFER TO NTIS

a. Before STEI products are transferred to NTIS, administrations will ensure the information meets the following requirements:

(1) Compliance with the Freedom of Information Act (5 U.S.C. 552);

(2) Compliance with any requirements to protect material that contains classified national security information;

(3) Compliance with requirements to protect personal or other information that may not be disclosed without appropriate authority under applicable laws and procedures, such as the Privacy Act (5 U.S.C. 552a);

(4) Compliance with laws and regulations applicable to Federal records under Title 44, United States Code, or regulations issued by the National Archives and Records Administration (36 CFR, chapter XII);

(5) Compliance with requirements to distribute publications through the Federal Depository Library Program either directly or through NTIS (Chapter 19, title 44, United States Code).

b. Administrations are prohibited from:

(1) Transferring information on matters that is specifically authorized to be kept secret in the interest of national defense or foreign policy.

(2) Transferring, producing or disseminating any other information that is required by law to be withheld or which is not intended for public dissemination.

5. INFORMATION REQUIRED TO BE TRANSFERRED TO NTIS

a. The following types of information are required for transfer to NTIS:

(1) Unclassified scientific, technical, engineering, and business information products, such as:

(a) Results of basic and applied research; e.g., new theories and results of experimentation, observation, instrumentation, and computation.

(b) Information of significance to business and industry; e.g., economic and market information.

(c) Engineering information with applications to industry.

(2) Summaries of ongoing and planned research that will eventually result in a final report.

(3) Technology application assessments as well as training technology information.

(4) Federally-owned or originated technologies.

b. Information products that are not appropriate for transfer to NTIS include: brochures, marketing pamphlets, those information products that have been widely distributed to the Department's constituency at no charge, and information included in privately published journals.

c. Each final STEI product or summary submitted to NTIS must be in a form capable of high quality reproduction as specified by format types shown in Appendix B.

d. STEI products that are protected by copyright are to be submitted to NTIS only if there is a license reserved to the Government. In such cases, the administration STEI Liaison Officer will advise NTIS of the terms of the license. If a STEI product has embedded within it any copyrighted material, the administration STEI Liaison Officer will contact NTIS to determine if it would be appropriate to seek a license from the copyright holder in order to make the STEI product available. (See paragraph 6f for NTIS point of contact).

6. SUBMISSION OF STEI PRODUCTS TO NTIS

a. NTIS will accept summaries of ongoing and planned research that will result in a final STEI product in machine-readable form. Submissions must conform to NTIS specifications or comparable as defined in their handbook entitled, "Technical Specifications for Federal Research in Progress DataBase."

b. One copy of each final STEI product or summary (in any format) except audiovisual products, will be transferred to NTIS. Audiovisual formats will be submitted in one high quality, legible master copy and at least 10 printed copies of the document or two reproduced copies. The following procedures are to be used to transfer final STEI products or summaries to NTIS:

(1) Final STEI products or summaries must be transferred to NTIS within 15 days of the date they are first made available for public dissemination through any distribution channel.

(2) Complete a Form NTIS-79, Accession Notice Card, for each product or summary submitted to NTIS. This form is a verification of receipt by NTIS and will be returned to the sender. (See sample provided in Illustration 1.)

(3) Software products forwarded to NTIS must be accompanied by relevant documentation, such as operating manuals.

(4) In the case of a product not printed by GPO, a statement must accompany the submission as to whether the product has been made available for depository library distribution by GPO. For specific information regarding distribution of information to depository libraries, contact should be made with the administration's Publications Control Officer or the VA Central Office Publications Service.

(5) Final STEI products or summaries will be submitted to NTIS as specified below:

(a) Documents. Complete a SF-298, Report Documentation Page, for each document submitted to NTIS. If documentation is submitted with diskettes, CD-ROMS, videotapes, etc., this form must also be completed. (See sample form provided in Illustration 2.)

(b) Diskettes and CD-ROMS. For software, datafiles, or optical disk products, complete Form FCPC-01, How to Submit Data or Software on a Magnetic Tape or Cartridge to NTIS. (See sample form provided in Illustration 3.)

(c) Videotapes. For videotapes, complete NTIS Form 79, Accession Notice Card.

c. Refer to Appendix B for specific information on preparing information (in various formats) for submission to NTIS.

d. Computer tapes, diskettes and CD-ROMS are to be forwarded to the following address:

U.S. Department of Commerce

National Technical Information Service

ATTN: Federal Computer Product Center, Room 307 Forbes

5285 Port Royal Road

Springfield, VA 22161

e. Documents and audiovisual products are to be mailed to the following address:

U. S. Department of Commerce

National Technical Information Service

ATTN: Receiving

5285 Port Royal Road

Springfield, VA 22161

f. All NTIS forms discussed herein may be obtained by contacting the following office:

Department of Veterans Affairs

Information Management Service (045A4)

810 Vermont Avenue, NW

Washington, D.C. 20420

g. Administration STEI Liaison Officers may contact the NTIS Office of Business Development (703) 487-4824 if additional information or assistance is needed in transferring STEI information products.

h. Those administrations interested in having contractors and grantees transfer STEI products directly to NTIS, may contact NTIS directly (see subparagraph g above for the NTIS point of contact).

7. NTIS AND THE FEDERAL DEPOSITORY LIBRARY PROGRAM. NTIS will provide the following services to the depository libraries on the condition that they agree to ensure that online access to the NTIS listing of STEI products is restricted to the library and its staff and the full text products provided online are available only to the community serviced by that library:

a. NTIS will provide each depository library at no charge, online access to a current list of all STEI products that have been entered into the NTIS system.

b. The online system allows each depository library 30 days from the date a product is added to the online listing to identify a product that it wishes to receive and that has not otherwise been made available to it. NTIS will accumulate these requests and, within a reasonable time, transfer them to the originating administration STEI Liaison Officer for fulfillment of each of the identified products.

c. In lieu of the procedures described in subparagraph b above, NTIS will offer to enter into simple cost recovery arrangements with the administration that transferred the

records to duplicate and ship the identified products to the requesting libraries in the format that the administration determines to be the most cost effective, including microfiche, paper, diskette, or disc.

d. NTIS will also establish, as soon as practical, a system of full text online access to STEI products for the depository libraries at no charge to them. Those STEI products provided to NTIS in a format prescribed by that office as suitable for online dissemination will be made available to the libraries at no cost to the originating administration. The STEI products will be maintained online indefinitely and will be available to the libraries without regard to the 30-day selection time limit described in subparagraph b above.

8. CERTIFICATION OF COMPLIANCE. Semi-annually on January 31 and July 31, administrations will prepare a Certification of Compliance to the VA STEI Liaison Officer (045A4) (see Appendix A for sample memorandum). Administrations that did not transfer STEI products to NTIS will submit a negative response to the VA STEI Officer.

9. REFERENCES

- a. American Technology Preeminence Act, Public Law 102-245
- b. U. S. Department of Commerce, NTIS Handbook, "Services for Federal Agencies"
- c. U.S. Department of Commerce, NTIS Handbook, "Technical Specifications for Federal Research in Progress Database" dated 2/94
- d. Freedom of Information Act (5 U.S.C., 552)
- e. Privacy Act (USC, 552a)
- f. 36 CFR, Chapter XII
- g. 44, U.S.C., Chapter 19

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APPENDIX A

SAMPLE ATPA CERTIFICATION OF COMPLIANCE MEMORANDUM

FROM: STEI Liaison Officer (165) (as designated by responsible organization)

SUBJ: American Technology Preeminence Act Certification of Compliance

TO: VA STEI Liaison Officer (045A4)

I hereby certify that [insert responsible organization] has transferred to the U.S. Department of Commerce, National Technical Information Service scientific, technical and engineering information (STEI) which resulted from Federal funded research and development activities as required by the American Technology Preeminence Act, Public Law 102-245. The products and/or summaries transferred and submission dates are shown below:

Name of Final Product/ Date

Summary Transferred Submitted

[Signature of Organizational STEI Liaison Officer]

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APPENDIX B

**STANDARDS FOR
PREPARATION OF STEI PRODUCTS
FOR TRANSFER TO NTIS**

1. Print Media

a. Paper. Prepare your document using black ink on 8-1/2 x 11 inch white paper. Provide at least one sharp, legible copy for successful duplication. Number each page, including introductory pages. Use color only when absolutely necessary. If color must be used, code colors in the margin of the page so that black and white reproduction is possible. Paper copies should be original output from computer printers or press runs, and must be complete, legible, scannable, and reproducible. The print material may be accompanied by supporting nonprint material.

b. Microforms. NTIS can accept microforms for reproduction and distribution in 16mm or 35mm roll form or in cut sheet microfiche 24X or 48X (computer output microfiche (COM) or regular), aperture cards, color microforms, and COM magnetic tapes or cartridges. Microforms should present sharp, unbroken characters. Microform sheets or rolls should be silver halide, Diazo or of comparable quality and permanence, and be no more than second generation copies. Materials submitted must be appropriately packaged to provide protection and be free of fingerprints, scratches, blotches or adhesive tapes.

2. Nonprint Media

a. Magnetic tape: Reel/Cartridge. STEI, such as datafiles and computer software, may be submitted on reels of one half inch magnetic tape or as tape cartridges.

(1) Reel-to-reel tapes should be IBM compatible and recorded in 9-track, 1600 bpi or 6250 bpi density, odd parity. A reflective spot should precede the first record and an end-of-file marker should follow the last record.

(2) Tape cartridges should be IBM compatible and recorded on a 3480 cartridge drive.

(3) Each magnetic tape should be labeled with the name of the producing agency, title, density and character code, number of files, volume, serial number, data set name and reel number.

(4) Contact NTIS, Office of Business Development (703) 487-4824, for tape specifications for transfer of ongoing research information for inclusion in the Federal Research in Progress Database (FEDRIP).

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APPENDIX B

b. Diskettes. Submission of STEI on diskettes must be in a current industry-standard format and be in one of the following forms: 5-1/4 inch or 3-1/2 inch, high or low density. Diskettes used for submission must be virgin and certified free of defects and

viruses. Submissions must be clearly labeled and accompanied by any related manuals or guides. Each diskette should be labeled with the name of the producing agency, title, and diskette number.

c. Optical Discs. Included in this category are CD-ROMS, videodisks, interactive discs, etc. When feasible, and to facilitate timely submission, an originating administration may notify NTIS in advance of pressing optical discs that contain STEI to give NTIS the opportunity to ride the pressing order for copies. In instances when NTIS desires to reproduce the discs, the administration must supply NTIS with a copy of the output from the pre-mastering process that was used in the production of the discs. Submissions must be clearly labeled and accompanied by any associated manuals or guides.

d. Videotapes. If possible, the preferred format for submission to NTIS is 1 inch C format videotape. However, any broadcast quality format currently used in professional production, including U-matic, Betacam-SP, M2, and the digital formats, can be submitted. Input to NTIS should be the lowest generational level possible edit master, recorded on virgin professional-level magnetic tape. Whenever possible, a source should produce, in addition to its own master, a second edit master for NTIS to use to produce distribution copies. The videotape must be clearly labeled and accompanied by any related manuals, user guides, etc.

e. Audiotape. Audiotape input of STEI to NTIS must be open reels of 1/4 inch magnetic audiotape recorded at 3-3/4 or 7-1/2 inches per second. Other professional-level formats may also be acceptable; contact should be made with NTIS for a particular situation. The master tape must be no more than a second generation and be recorded on virgin professional polyester splice-free tape stock. The tape and any related manuals or guides must be clearly labeled. Note that NTIS may make the information available in various formats, such as audio cassette, DAT, or other, as appropriate.

f. Motion Pictures. Submissions of STEI can be in 8, 16, 35 or 70mm safety film, in color or black and white, and should be at least a release print. An earlier generational level is preferred to permit best quality distribution. Reels must be clearly labeled and accompanied by any associated manuals and guides.

g. Mixed Media. Many STEI products may include several components with information stored in more than one medium. For example, a large database may be stored on CD-ROM, the software for accessing provided on a diskette, and the user guide included as a printed manual. The administration STEI Liaison Officer should contact NTIS for information and guidance on how to submit these type products.

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ILLUSTRATION 1

NTIS-79, ACCESSION NOTICE CARD

IL1-1

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ILLUSTRATION 2

SF-298, REPORT DOCUMENTATION PAGE

IL2-1

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ILLUSTRATION 2 (Contd)

SF-298, REPORT DOCUMENTATION PAGE (Contd)

IL2-2

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ILLUSTRATION 3

**FORM FCPC-01, HOW TO SUBMIT DATA OR SOFTWARE ON A
MAGNETIC TAPE OR CARTRIDGE TO NTIS**

IL3-1

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ILLUSTRATION 3 (Contd)

**FORM FCPC-01, HOW TO SUBMIT DATA OR SOFTWARE ON A
MAGNETIC TAPE OR CARTRIDGE TO NTIS (Contd)**

IL3-2