

*Naval Information
Warfare Center*



PACIFIC

NIWC Pacific Publications Handbook

**Guidelines for Documenting and Releasing
Scientific and Technical Information**

REPORT DOCUMENTATION PAGE

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Message from the Executive Director

As a leader in the defense research, development, test and evaluation (RDT&E) community, it is imperative that we publish our findings and research. The work we do at NIWC Pacific is critical to the defense of the nation. We bear an incredible responsibility to bring the power of information to the fight in unwavering support of those who would go into harm's way. Part of this responsibility extends to publishing our research.

Our nation finds itself in the midst of a great power competition, one that will be measured in years if not decades. Just as we build on the discoveries and knowledge of those who came before us, so too must we responsibly document our findings so that others can advance upon the legacy of our work. I cannot stress enough how important this is to retaining our nation's competitive edge.

Given its importance, formal reporting of technical work is a Navy and Department of Defense (DoD) requirement. NIWC Pacific's reporting process not only provides necessary security and policy review, but also helps prevent duplication of work, offers an audit trail of the use of public funds, and contributes to the Center's reputation as a technical leader.

In order to ensure our classified and unclassified publications are releasable and following DoD guidelines, we must send them through the Release of Scientific and Technical Information (RSTI) process. This is fundamental to how we release technical information in a controlled manner that ensures compliance with all applicable

Operational Security (OPSEC) and copyright requirements. This includes DoD approved distribution statements to be used with all classified and unclassified scientific and technical information, to include technical reports, technical documents, special documents, technical notes, technical manuals, open literature and presentations, that are distributed internally and externally to NIWC Pacific.

Supervisors are responsible for ensuring that all released documents created in technical codes receive release approval and, as required, are submitted to the Defense Technical Information Center (DTIC), DoD's database of scientific and technical information.

The Corporate Communications and Public Affairs Office, Code 85000, is the Center's release authority for unclassified documents and the lead to ensure that all official documentation meets Center and DoD requirements.

It is very important to ensure that the Center's technical work is properly documented and that all technical publications are properly reviewed prior to release.

For more information on the Center's document reporting and release approval policy, contact the Corporate Communications and Public Affairs Office.

Thank you for your contributions to our nation's defense, and for strengthening our Center's well-established reputation for scientific and engineering innovation and discovery.



Mr. Bill Bonwit
Executive Director

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The Importance of Publishing

While the publishing of information is critical to the advancement of science and technology, it is also a requirement by the Department of Defense (DoD). All significant or technological observations, findings, recommendations, and results derived from DoD endeavors that contribute to the national scientific or technological base must be recorded as technical publications.

As a highly technical organization and research, development, test and evaluation (RDT&E) center, one of NIWC Pacific's key products is information. The Center performs basic and applied research, develops software and weapons systems, and tests and evaluates equipment and systems. Whether it is an article in the open literature, a research report, or a presentation for a conference, the products disseminated are invaluable.

Formal documentation also contributes to NIWC Pacific's corporate identity. Publications that are technically accurate, complete, and timely help project the Center's image as a professional organization. They are often the only products seen by high-level military personnel and congressional groups.

Dissemination of technical work is a fundamental precept in the scientific and engineering professions. Publications attest to professional performance of the Center, as well the individual scientist or engineer.

The Benefits of Publishing

Reporting scientific and technical information not only adds value to the Center, it also assists in the development of the scientific and engineering community and increases the stature of professionals in the RDT&E field.

Publishing provides access to other qualified scientists and engineers, including peers at NIWC Pacific and those in different government agencies, industry, and academia. Information exchange can occur through numerous venues, including the Defense Technical Information Center (DTIC), open literature or symposiums and conferences.

By making the results of technical work available to other scientists and engineers, it eliminates duplication of effort whether the work has been completed or in the process of completion.

Scientific and technical publications provide an audit trail of how public funds are expended. NIWC Pacific sends its official publications to DTIC, providing a permanent record of the results of NIWC Pacific's expenditure of public funds.

At NIWC Pacific, publishing also supports the evaluation of the scientist or engineer's career. Formal publications are a part of the performance rating and promotion process of not only scientists and engineers, but also of supervisors and managers.



The Formal Review Process

Routing and Approval

All unclassified and classified publications that are distributed outside NIWC Pacific (excluding sponsors) must be formally reviewed. NIWC Pacific's review and approval process ensures that publications are technically accurate, meet classification requirements and are appropriately distributed.

Unclassified Documents

Unclassified documents are submitted electronically to the Release of Scientific and Technical Information (RSTI) tool located on NIWC Pacific's Hub. Submissions are routed in the following order: the author's supervisor, author's division head, Operations Security Office (87200), Office of Intellectual Property Office (36000), Public Affairs Office (85000), Technical Publications Office (84300) and the Technical Library and Archives (84310) for publishing to DTIC.

Classified Documents

Classified documents must be hand carried along with a cover sheet and the completion of the SSC PAC 5720/2 (Rev 1-21) classified document request form, which can be found on NIWC Pacific's Hub. Classified submissions are routed in the following order: the author's branch head, author's division head, Technical Publications Office (84300), Office of Intellectual Property Office (36000), Information Security Group (83310) and the Technical Library and Archives (84310). Once approved, the Technical Publications team will assist the author in uploading their document to DTIC for publishing.

The Center's Responsibilities

As a scientist or engineer:

- Publish the results of your work — both positive and negative
- Budget for your publications
- Ensure that publications are properly reviewed and approved

As a manager or supervisor:

- Encourage your employees to publish results of their work

As a project manager:

- Ensure that the results of your project are published
- Budget and fund publications

Types of Publications

Authors should familiarize themselves with the different types of publications before drafting their document to determine which option best suits their study of work. Formal publications include the NIWC Pacific publications series, special documents and open literature or conference proceedings. Informal publications include technical notes, project documents, memorandums and correspondence.

“Formal Publications”

NIWC Pacific Publications Series

- **Technical Report (TR):** A TR is a document that describes the process, progress or results of a technical study. It might also include recommendations and conclusions of the research. The report can be a final summary or progress report. A TR also requires an Executive Summary.
- **Technical Document (TD):** A TD is a document that summarizes the handling, functionality or development of a technical product that is related to software, engineering, or administrative information. A TD does not report the results of a specific effort.
- **Technical Manual (TM):** A TM is a well-defined document that explains the method for operating, maintaining, supporting or installing a machine, process, system or piece of equipment. The life-cycle history of TM's are tracked at the Model Based Product Support (MBPS). Authors are responsible for submitting to MBPS.
- **Special Documents (SD):** The SD series includes brochures, information fact sheets, and technical posters describing technical projects or technology. Distribution depends on the distribution statement and the author's requests.

Open Literature

NIWC Pacific defines open literature as journals or books that are published by commercial sources and have a worldwide distribution. For most NIWC Pacific scientists and engineers, publication in open literature is either an article in a journal, chapter or section in a handbook or textbook.

Presentations

For a presentation to be considered “formal” it must be delivered at a recognized meeting, conference or symposium. In addition, there must be a resulting publication that contains the information rendered in the author's presentation.

Any information that includes one of the following elements should be formally published outside the project office:

- Increases knowledge of natural phenomena and the environment
- Solves problems in the physical, behavioral, social, and management sciences
- Expands knowledge in scientific areas
- Extends theoretical, practical, and useful applications of basic designs, ideas, and scientific concepts
- Documents the procedures and results of subjecting systems, items, material, personnel, or techniques to simulated or actual operational conditions to determine characteristics, suitability, and compliance with specific requirements
- Provides values, appraisals, or results relevant to strengths, weaknesses, feasibility, potential, and military worth of efforts, concepts, or hardware

Requirements for Publishing

The Center's four basic requirements for publications include:

1. The results of work performed by or under the guidance of NIWC Pacific must be reported. These results include both work done by NIWC Pacific employees and work done by NIWC Pacific contractors (including industry and academia).
2. Both positive and negative results of NIWC Pacific work must be published.
3. Findings must be prepared within six months of the conclusion of the work or within six months of a significant scientific or technological observation.
4. The publications must be "formal" rather than "informal".

"Informal Publications"

Informal publications include Technical Notes (TN), project documents, memorandums and correspondence. A TN is a working document that describes a specific development, technique, modification, test status, procedure or when an author needs to make a progress report to their sponsor. TNs are marked with Distribution Statement F.

Distribution Statements

DoD approved distribution statements determine how material can be shared, and must be used with all classified and unclassified Scientific and Technical Information (STI) documents. The Public Affairs Office, Code 85000, is the Center's release authority for unclassified documents and the lead to ensure that all official documentation meets Center and DoD requirements.

Distribution Statement A

Approved for public release; distribution is unlimited.

Usage

Clearance for Public Release: Statement A is used only with unclassified STI that has been cleared for public release in accordance with DoD Directive 5230.9.

Contracted Fundamental Research: STI resulting from contracted fundamental research efforts is usually assigned distribution statement A, except for those rare circumstances where there is a high likelihood of disclosing performance characteristics of military systems or of manufacturing technologies that are unique and critical to defense. In addition, this agreement must have been recorded in the contract or grant.

Availability to Public: STI marked with statement A is available and/or sold to the U.S. public and to foreign nationals, companies, and governments. This information may be exported.

Classified Information: Statement A cannot be used for classified STI. Also, it cannot be used for previously classified STI unless the STI has been cleared for public release.

Other Restrictions: Statement A cannot be used if the STI lists classified references or contains export-controlled technical data.

Distribution Statement B

Distribution authorized to U.S. Government agencies only; (fill in reason from list below); (date of determination — usually matches report date). Other requests shall be referred to (insert controlling DoD office — for NIWC Pacific this is usually the Commanding Officer, NIWC Pacific, San Diego, California 92152-5001).

Usage

Unclassified and Classified STI: Statement B is used on both classified and unclassified STI. It is used on classified STI to provide distribution limitations in addition to need-to-know requirements and to serve as a controlling statement if the STI is declassified.

Reasons for Use: Reasons for assigning distribution statement B are as follows:

- Foreign Government Information
- Proprietary Information
- Critical Technology
- Test and Evaluation
- Contractor Performance Evaluation
- Premature Dissemination
- Administrative or Operational Use
- Software Documentation

Distribution Statement C

Distribution authorized to U.S. Government agencies and their contractors only; (fill in reason from list below); (date of determination — usually matches report date). Other requests shall be referred to (insert controlling DoD office — for NIWC Pacific this is usually the Commanding Officer, NIWC Pacific, San Diego, California 92152-5001).

Usage

Unclassified and Classified STI: Statement C is used on both classified and unclassified STI. It is used on classified STI to provide distribution limitations in addition to need-to-know requirements and to serve as a controlling statement if the STI is declassified.

Reasons for Use: Reasons for assigning distribution statement C are as follows:

- Foreign Government Information
- Critical Technology
- Administrative or Operational Use
- Software Documentation
- Specific Authority

Distribution Statement D

Distribution authorized to the DoD and U.S. DoD contractors only; (fill in reason from list below); (date of determination — usually matches report date). Other requests shall be referred to (insert controlling DoD office — for NIWC Pacific this is usually the Commanding Officer, NIWC Pacific, San Diego, California 92152-5001).

Usage

Unclassified and Classified STI: Statement D is used on both classified and unclassified STI. It is used on classified STI to provide distribution limitations in addition to need-to-know requirements and to serve as a controlling statement if the STI is declassified.

Reasons for Use: Reasons for assigning distribution statement D are as follows:

- Foreign Government Information
- Critical Technology
- Administrative or Operational Use
- Software Documentation
- Specific Authority

Distribution Statement E

Distribution authorized to DoD components only; (fill in reason from list below); (date of determination — usually matches report date). Other requests shall be referred to (insert controlling DoD office — for NIWC Pacific this is usually the Commanding Officer, NIWC Pacific, San Diego, California 92152-5001).

Usage

Unclassified and Classified STI: Statement E is used on both classified and unclassified STI. It is used on classified STI to provide distribution limitations in addition to need-to-know requirements and to serve as a controlling statement if the STI is declassified.

Reasons for Use: Reasons for assigning distribution statement E are as follows:

- Foreign Government Information
- Proprietary Information
- Critical Technology
- Test and Evaluation
- Contractor Performance Evaluation
- Premature Dissemination
- Administrative or Operational Use
- Software Documentation
- Specific Authority
- Direct Military Support

Distribution Statement F

Further dissemination only as directed by (insert controlling DoD office — for NIWC Pacific this is usually the Commanding Officer, NIWC Pacific, San Diego, California 92152-5001); (date of determination — usually matches report date) or higher DoD authority.

Usage

Unclassified and Classified STI: Statement F is normally used only on classified STI, but may be used on unclassified STI when specific authority exists, e.g., designation as direct military support.

OPNAV Instruction 5510.1H: Statement F is used when the DoD originator determines that the information is subject to special dissemination limitations in OPNAV Instruction 5510.1H.



Controlled Unclassified Information (CUI)

The authorized holder of a document or material is responsible for determining, at the time of creation, whether information in a document or material falls into a CUI category. If so, the authorized holder is responsible for applying CUI markings and dissemination instructions accordingly.


CUI markings are not a replacement for distribution statements. A report can be marked Distribution B or above and also have CUI content. Each serves a different function and offers separate information on the security constraints for the report.

DoD CUI Indexes

Critical Infrastructure	Defense	Export Control
Financial	Immigration	Intelligence
International Agreements	Law Enforcement	Legal
Natural and Cultural Resources	North Atlantic Treaty Organization (NATO)	Nuclear
Patent	Privacy	Procurement and Acquisition
Proprietary Business Information	Provisional – DHS	Statistical
Tax	Transportation	OPSEC

CUI Classified Markings

SECRET



Chief of Naval Operations
Washington D.C. 20350

TECHNICAL REPORT 0000
CURRENT MONTH 2021
(Date of Origin) 2017

If appropriate, intelligence control marking here.

Report Title Goes Here

John Doe
Jane Doe
NIWC Pacific

Classified by: OPNAVINST 5510.1B
Declassify on: MO DD YYYY

DISTRIBUTION STATEMENT D: Distribution authorized to the Department of Defense and U.S. DoD contractors only; administrative or operational use. Month YYYY. Other requests shall be referred to the Commanding Officer, NIWC Pacific, San Diego, California 92152-5001.

Warning notice goes here if any.

Classified by: John Doe, Program Analyst
Derived from DGW Memo, DTD MO DD YYYY
Same subject
Declassify on: 20250605

Controlled by: NIWC Pacific
Controlled by: Originating Code 00000
CUI Category(s): PRVCY, CRIT
Distribution Dissemination Controls: FEDCON
POC: 619-000-0000

Naval Information Warfare Center Pacific (NIWC Pacific)
San Diego, CA 92152-5001

SECRET

CUI Designator Indicator: (Classified Block - Lower Left)

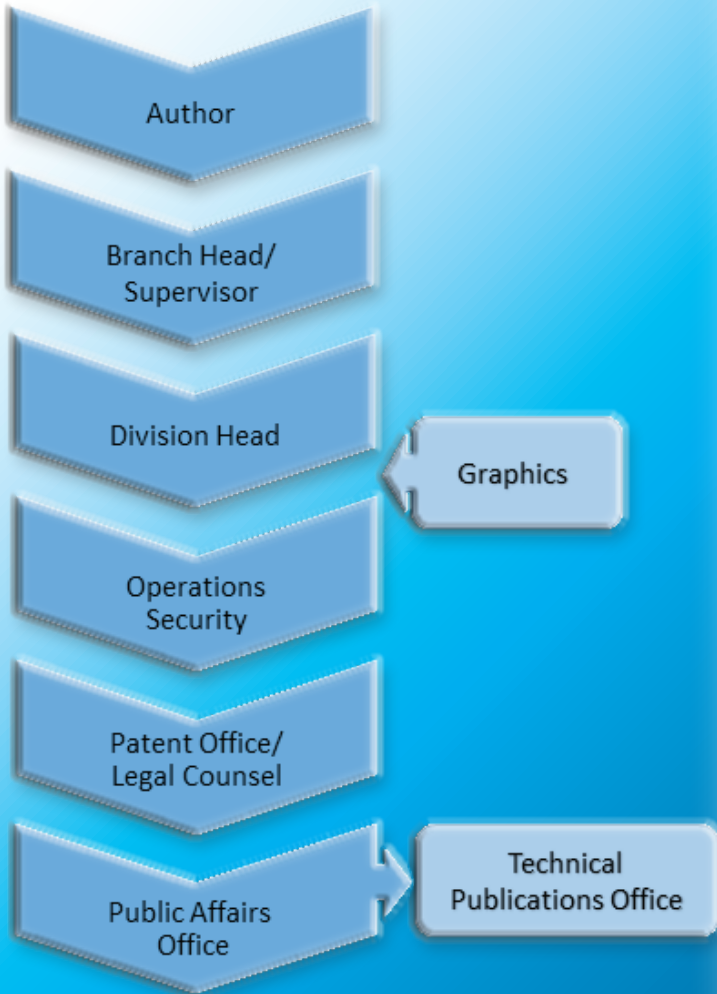
- Required on all documents containing CUI, to include classified documents.
- Appears on the first page or cover page of a given document.

Designator Indicator Components (CUI Designator Block – Lower Right)

- Controlled by: [Name of the NIWC component]
- Controlled by: [Name of office making the CUI determination]
- CUI Category: [List category or categories of CUI contained in the document]
- Distribution/Dissemination Control: [Insert applicable distribution statement/ dissemination control]
- POC: [Authors of the document must annotate name and phone or email address]

Release of Scientific and Technical Information (RSTI)

RSTI Flow Chart



Author: Submits document and recommends distribution statement.

Branch Head/Supervisor: Provides review and recommends distribution statement.

Division Head: Provides review and recommends distribution statement.

Operations Security: Reviews documents recommended for distribution statements A, C, D and F and upon request.

Patent Office/Legal Counsel: Reviews document for patentable technology and ensures legal compliance.

Public Affairs Office: As Center release authority for unclassified information, provides final review, approves document for release, and assigns the distribution statement.

Supplementary:

Graphics: Provides formatting and layout guidance for Special Documents and other products upon request.

Technical Publications Office: Provides post-release editorial and proofreading support, and fulfills requirements for submitting documents to the Defense Technical Information Center (DTIC).

Publishing Resources

Templates and Supporting Documents

The collage displays several key documents for technical report publishing:

- Naval Information Warfare Center Pacific** logo and header.
- TECHNICAL REPORT DOCUMENTATION PAGE** cover page with fields for report number, title, and author.
- LaTeX source code** showing various \usepackage commands for formatting and graphics.
- RELEASE OF SCIENTIFIC AND TECHNICAL INFORMATION: CLASSIFIED ONLY** form with checkboxes for release categories.
- REPORT DOCUMENTATION PAGE** form with detailed fields for report information, including title, authors, organization, and distribution status.

Forms

Downloading the official templates from the NIWC Pacific Hub is the first step an author should take in the publishing process. Currently, two formats are supported: LaTeX and Microsoft Word.

LaTeX reports submitted through the RSTI require all LaTeX supporting files, including the PDF output, LaTeX code files and images used to create figures. All images must be the same resolution used to create the LaTeX PDF and the contents enclosed in a zip file.

To access all of these forms visit the Technical Publications Hub page at:

<https://hub.sd.spawar.navy.mil/x/tQowCQ>

The Technical Publications Office

Technical Publications Office

Created by Lisa Godinez, last modified by Michelle Manfort-jensky at 4:19 PM

[RSTI Tool](#) [DTIC Link](#) [Bi-Weekly Newsletter](#) [Report Templates](#) [Technical Library](#) [Ask An Editor](#) [Key-Links](#)

"Without publication, science is dead."
Gerard Piel, *The Social Process of Science* (1988)

Overview

Formal reporting of technical work is a fundamental precept of the scientific and engineering professions. It is also a Navy and Department of Defense (DoD) requirement (SSC Pacific Instruction 5600.2H). The Technical Publications Office helps NIWC Pacific scientists and engineers fulfill this requirement by ensuring the Center's technical work is properly formatted and published in the Defense Technical Information Center (DTIC). Please see report template link below; ONLY Word and LaTeX formats accepted.

Types of Technical Publications

- **Technical Report (TR):** A TR is a document that describes the process, progress or results of a technical study. It might also include recommendations and conclusions of the research. The report can be final, a summary, or progress report. A TR also requires an Executive Summary.
- **Technical Document (TD):** A TD is a document that summarizes the handling, functionality or development of a technical product that is related to software, engineering, or administrative information. A TD does not report the results of a specific effort.
- **Technical Manual (TM):** A TM is a well-defined document that explains the method for operating, maintaining, supporting or installing a machine, process, system or piece of equipment. The life-cycle history of TMs are tracked at the Department of the Navy Technical Data Management Information System (TDMIS) at <https://mercury.tdmis.navy.mil>. Authors are responsible for submitting to TDMIS.
- **Technical Note (TN):** A TN is a working document that describes a specific development, technique, modification, test status, procedure or when an author needs to make a progress report to their sponsor. TNs are marked with Distribution Statement F and are considered "informal" publications.

Our Team's Role

- Edit report for readability by completing a grammar/spelling/punctuation check
- Optimize graphics, images, and tables
- Format draft submission per the NIWC Pacific template
- Prepare final report for publishing to DTIC



Contact Us

Technical_Publications@navy.mil

Technical Publications Team:

- *Lisa Godinez: Lead Editor*
- *Bob Price: Technical Editor*
- *Michelle Manfort: Technical Editor*

Resources

- [Technical Report Templates](#)
- [Submit Unclassified Technical Report on RSTI](#)
- [Submit Classified Technical Report](#)
- [Release of Scientific and Technical Information](#)

The editors at the Technical Publications Office provide a variety of services to assist authors with their publishing efforts. As part of the RSTI process for publishing to DTIC, the staff play an integral role in the preparation of editing documents, including:

- Editing reports for readability
- Optimizing graphics, images, and tables
- Formatting draft submissions per the NIWC Pacific template
- Preparing final reports for publishing to DTIC

To access more information on publishing, related articles and links, visit the Technical Publications Hub page at: <https://hub.sd.spawar.navy.mil/x/tQowCQ>

Public Affairs Office

Social Media

<http://twitter.com/#!/SPAWARHQ>



www.facebook.com/spaceandnavalwarfarecommand



www.public.navy.mil/SPAWAR/PACIFIC

www.youtube.com

Search for "spawar ssc"



Magazines



Fact Sheets



Brochures



- Podcasts
- Videos
- Wall Displays
- Recruiting Banners
- Technical Posters
- Command Announcements
- Digital Graphics Archives
- Press Releases



VIP Photos



Capability Videos



The Public Affairs Office (PAO) is the command release authority for all unclassified material. No information or documents should be released or presented outside of the command before being formally reviewed for release. PAO is responsible for producing the special document series including brochures, fact sheets and technical posters describing technical projects or technology.

Publications Awards Program



The NIWC Pacific Publications Awards Program is held annually to recognize authors who have published during the previous calendar year. Publications must be relevant to the work, mission and/or vision of NIWC Pacific with the primary author being a NIWC employee. Submissions must also show a level of effort that exceeds the normal scope of work.

The different levels of awards include Honorable Mention, Distinguished Award and Publication of the Year that fall under nine different categories. Each awardee receives recognition during the Publication Awards Ceremony and a corresponding award certificate. The author(s) of the Publication of the Year receives a monetary award in addition to the award certificate.

The nine categories include:

1. **Technical Reports** – This category covers formal Command-approved publications presenting results of an effort taken by the Command toward an objective defined by a sponsor. This is the Command's most formal document.
2. **Technical Documents** – This category covers all types of technical material that do not fall under the Technical Report series.
3. **Technical Articles in Open Literature** – This category covers technical articles which the author intends to be an original contribution to science or technology appearing in academia, professional journals or scholarly books.
4. **Technical Articles in Conference Proceedings** – This category covers technical articles published that support an oral presentation given at a recognized conference or symposium.
5. **Peer-Reviewed Technical Articles in Open Literature** – This category covers technical articles which the author intends to be an original contribution to science or technology appearing in academia, professional journals or scholarly books and are submitted for scholarly review by experts in the field of study to determine suitability for publication by widely recognized professional societies, such as, Institute of Electrical and Electronics Engineers (IEEE), IEEE Computer Society (CS), American Physical Society (APS), Society of Photo-Optical Instrumentation Engineers (SPIE), American Institute of Aeronautics and Astronautics (AIAA) or multidisciplinary journals.
6. **Peer-Reviewed Technical Articles in Conference Proceedings** – This category covers technical articles published that support an oral presentation given at a recognized conference or symposium and submitted for scholarly review by experts in the field of study to determine suitability for publication by widely recognized professional societies, such as, IEEE, IEEECS, APS, SPIE, AIAA or multidisciplinary journals.
7. **Technical E-Publications** – This category covers technical publications that are published only in an electronic format.
8. **Technical Special Documents** – This category covers high-level marketing materials, including posters, brochures, fact sheets, etc., which contain significant technical focus.
9. **Non-Technical Publications/ E-Publications** – This category covers all publications of a non-technical nature relating to topics, such as, Navy policy, strategy, acquisition, out-reach, and are administrative in nature or are non-technical E-Publications.

References

Release of Scientific and Technical Information (RSTI)

<https://hub.sd.spawar.navy.mil/x/oik2BQ>

Defense Technical Information Center (DTIC)

<http://www.dtic.mil/dtic/>

Technical Publications Office (Code 84300)

<https://hub.sd.spawar.navy.mil/x/tQowCQ>

Technical Library and Archives (Code 84310)

<https://hub.sd.spawar.navy.mil/x/J5Na>

Public Affairs Office (Code 85000)

<https://hub.sd.spawar.navy.mil/x/PnSp>

Unclassified Technical Report Templates

https://hub.sd.spawar.navy.mil/x/_gPVBQ

Classified Release of Scientific and Technical Information (RSTI) SSC PAC 5720/2

<https://hub.sd.spawar.navy.mil/x/E51a>

Operations Security Office (87200)

<https://hub.sd.spawar.navy.mil/x/EIZa>

Office of Intellectual Property (Code 36000)

<https://hub.sd.spawar.navy.mil/x/4TjD>

Command Critical Information List (CCIL)

<https://hub.sd.spawar.navy.mil/x/4QCfBw>

STI Handbook: Guidelines for Producing, Using and Managing Scientific and Technical Information in the Department of the Navy

<https://apps.dtic.mil/dtic/tr/fulltext/u2/a252439.pdf>

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Distribution A: Approved for public release; distribution is unlimited.

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