

**NPD 2200.1C**Effective Date: December 09, 2014
Expiration Date: December 09, 2019**COMPLIANCE IS MANDATORY**[Printable Format \(PDF\)](#)

Request Notification of Change (NASA Only)

Subject: Management of NASA Scientific and Technical Information**Responsible Office: Office of the Chief Information Officer****1. POLICY**

a. NASA, as an Agency, through its NASA Chief Information Officer (CIO), shall, as outlined in Section 5, manage the informational results of its research and development efforts by conducting the Scientific and Technical Information (STI) Program. STI is defined as the results (the analyses of data, facts, and resulting conclusions) of basic and applied scientific, technical, and related engineering research and development.

b. NASA will collect, manage, disseminate, safeguard, and archive NASA STI for use by NASA, NASA contractors, and NASA grantees and, where appropriate, the public, to advance NASA's goals in science, exploration, and aeronautics, to strengthen the effectiveness and to improve the productivity and cost effectiveness of the NASA research effort, to reduce unnecessary duplication, and to improve U.S. competitiveness in science and technology.

c. To preclude inappropriate dissemination, STI will be reviewed through the elements of the NASA Scientific and Technical Information Document Availability Authorization (DAA), NASA Form (NF) 1676, as detailed in NASA Procedural Requirement (NPR) 2200.2 prior to being published, released external to the Agency, or made available to foreign persons by, or at the direction of, NASA. This review requirement includes STI derived from NASA-funded contracts, grants, and cooperative agreements when published or released by, or at the direction of, NASA.

(1) The Agency system that implements the NF-1676 is the Electronic Document Availability Authorization (E-DAA). All Centers will at their earliest convenience (via a schedule established between the STI Program Office (STIPO) and the Centers), use the E-DAA to implement the NF-1676 process.

(2) Data that accompanies (included in or attached to) STI documents will be reviewed for appropriate dissemination as indicated on the STI.

(3) No software, including without limitation source code, may be released under an NF-1676. Software of any kind may only be included in accordance with NPR 2210.1.

d. Unless restricted by U.S. statute, regulation, or Agency policy, NASA will provide for the "widest practicable and appropriate dissemination" of STI resulting from NASA's research effort, while precluding the inappropriate dissemination of restricted or Sensitive But Unclassified (SBU) information, in keeping with the National Aeronautics and Space Act.

e. All NASA STI that is loaded to a public Web site must be reviewed and approved via the NF-1676 (DAA) prior to publishing on the Web site.

f. The funding organization for STI is responsible for the NF-1676 approval prior to release or publication of the STI. If the funding organization is a Headquarters Office or a Mission Directorate, they can choose to delegate this responsibility to a NASA Center as long as all parties coordinate the NF-1676 approval.

g. Examples of STI covered by this NPD include:

(1) Meeting/Conference Papers.

(2) Presentation Slides.

- (3) Journal Articles.
- (4) Abstracts/Extended Abstracts.
- (5) Book and Book Chapters.
- (6) STI Report Series: Technical Papers, Technical Memoranda, Contractor Reports, Special Publications, Technical Translations, and Conference Proceedings.
- (7) STI Documents on Public Web sites.
- (8) Theses and Dissertations.
- (9) Final Contractor and Grantee Reports.

h. The following information or data is exempt from the documentation, approval, and dissemination requirements of this directive and NPR 2200.2. However, specific review requirements prior to release, such as export reviews, may apply to specific information in accordance with law and NASA policy.

(1) Information published in policy documents, such as NASA directives and NASA Technical, Engineering, or Safety Standards. The term NASA technical standards refers to technical standards, specifications, and handbooks developed and approved by NASA Headquarters offices, for Agency- wide use, assigned a prefix of NASA-STD-, NASA-SPEC-, or NASA-HDBK-, respectively, to the unique document number. NASA technical standards are hosted by the NASA Technical Standard Program on <https://standards.nasa.gov/> (NPR 7120.10).

(2) Information published as a result of mishap investigations (NPR 8621.1).

(3) Proposal information marked with confidentiality notices furnished to NASA by contractors and grantees.

(4) New Technology Reports (NTR) Invention Disclosures. Note: While NTRs are not subject to this directive, STI that includes information that discloses an invention is subject to this directive and NPR 2200.2.

(5) Raw and processed scientific and technical data and data sets independent of the analysis of the data and resulting conclusions. However, STI publications or presentations that include such data are subject to this directive and NPR 2200.2.

(6) Software.

(7) Tech Briefs and Technical Support Packages (TSPs).

(8) STI derived from NASA-funded contracts, grants, and cooperative agreements when published or released by the contractors, grantees, or cooperative agreement recipients on their own behalf without direction from NASA.

(9) Scientific and technical documents exchanged with NASA international partners under established international agreements with foreign governmental entities. (Individual documents may require review by the Center Export Administrator prior to release. NASA employees transferring export-controlled technical data under a NASA international agreement shall reference the international agreement clause Transfer of Goods and Technical Data requirements and consult with the Center Export Administrator for specific guidance.)

(10) STI released or published by NASA civil servants when the STI is produced on their own behalf and not part of their official government duties, such as in the case of graduate coursework.

2. APPLICABILITY

a. This applies to NASA Headquarters and NASA Centers, including Component Facilities, and Technical and Service Support Centers. This language applies to the Jet Propulsion Laboratory (JPL), a Federally Funded Research and Development Center, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in appropriate contracts, grants, or agreements.

b. Treatment of STI produced under NASA contracts, grants, and cooperative agreements will be in accordance with Federal and NASA regulations, including the Federal Acquisitions Regulation (FAR), the NASA FAR Supplement, and NASA Grant and Cooperative Agreement Handbook (14 CFR 1260) except in the case of approved waivers and exemptions.

c. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes expected outcome, and "are/is" denotes description material.

d. In this directive all document citations are assumed to be the latest version unless otherwise noted.

3. AUTHORITY

- a. Freedom of Information Act, 14 CFR 1206, 5 U.S.C. Sec. 552, et seq.
- b. American Technology Preeminence Act, 15 CFR 1180, 15 U.S.C. Sec. 3704b-2.
- c. Subject Matter of Copyright: United States Government Works, 17 U.S.C. Sec. 105.
- d. Arms Export Control Act, 22 CFR Parts 120-130, International Traffic in Arms Regulation (ITAR), 22 U.S.C. Sec. 2751, et seq.
- e. Confidentiality, 35 U.S.C. Sec. 205.
- f. Export Administration Act of 1979 (as amended, 15 CFR Parts 730-774, Export Administration Regulations (EAR)), 50 U.S.C. app. 2401-2420.
- g. 48 CFR Parts 1804, 1827, 1835, and 1852, NASA FAR Supplement.
- h. The National Aeronautics and Space Act, 51 U.S.C. Sec. 20113.
- i. OMB Circular No. A-130, Management of Federal Information Resources.
- j. Grant and Cooperative Agreement Handbook (14 CFR 1260).
- k. NF-1676, NASA Scientific and Technical Document Availability Authorization.

4. APPLICABLE DOCUMENTS AND FORMS

None.

5. RESPONSIBILITY

a. NASA Mission Directorate Associate Administrators (MDAAs), Chief Engineer, Chief Scientist, Center Directors, and Mission Support Office Associate Administrators (MSOAs) are responsible for:

- (1) Activities under their cognizance, ensuring that they comply with this NPD and NPR 2200.2, applicable laws and regulations, and other referenced direction.
- (2) STI under their purview, ensuring that it is reviewed technically, as required by NPR 2200.2, and, if applicable, the NASA Guidelines for Quality of Information. (<http://www.nasa.gov/offices/ocio/qualityinfo/index.html>)
- (3) Serve on the Agency STI Board of Advisors to provide feedback to the program's current and future initiatives and coordination with the research and development producers/users within NASA.

b. NASA Chief Information Officer (CIO) shall:

- (1) Plan and manage implementation of the Agency STI Program (which is considered a Service Area under OCIO), assess the effectiveness of the program, designate the NASA Office of the CIO STI Service Executive, designate an STIPO, and review and approve an STIPO plan and its implementation.
- (2) Update or have updated this directive and NPR 2200.2, according to scheduled revisions.
- (3) To the extent practicable, ensure that the program acquires (collect), manages, disseminates (or provide access to), safeguards, and archives NASA STI from NASA-authored and/or NASA-funded research for use by NASA and NASA contractors and grantees and, where appropriate, the public, to advance NASA's goals in science, exploration, and aeronautics, strengthen the effectiveness and improve the productivity and cost-effectiveness of the NASA research effort, reduce unnecessary duplication, and improve U.S. competitiveness in science and technology.
- (4) To the extent practicable, collect or provide access to domestic and international non-NASA STI pertinent to NASA's mission and programs for use by the Agency.
- (5) Provide for the most cost-effective, prompt, and widest practicable and appropriate dissemination of STI resulting from NASA's research effort, unless restricted by U.S. statute, regulation, or Agency policy, while precluding the inappropriate dissemination of NASA sensitive and SBU information, in keeping with the National Aeronautics and Space Act.
- (6) Establish policies and procedures and ensure awareness and compliance to protect and disseminate NASA STI in a manner consistent with U.S. laws and regulations, Federal information policy, National Institute of Standards and Technology Security Standards, intellectual property rights, technology transfer protections requirements, and budgetary and technological limitations via the NF-1676 review and approval process.
- (7) Ensure that NASA-funded STI received from contractors, grantees, and cooperative agreement personnel, if published, released external to the Agency, or made available to foreign persons by, or under the direction of NASA

(versus release by the contractor or grantee independent of direction by NASA), is released in accordance with this NPD and the NF-1676 approval process.

(8) Ensures the development of SATERN training to provide a standard process and information set to all Agency personnel.

c. Agency Office of the Chief Information Officer (OCIO) STI Service Executive shall:

(1) Determine the strategic direction and plan for the STI Program.

(2) Allocate funds for the STIPO.

(3) Coordinate and approve the Agency's STI policies with the NASA CIO, MDAAs, Chief Engineer, Center Directors, and MSOAs.

(4) Ensure that the information system for the electronic collection of NASA STI by the STI Program maintains a current authorization to operate in accordance with NPR 2810.1 at the security categorization level determined by the system's FIPS-199 assessment.

(5) Oversee for the Agency CIO the activities listed in 5.b. (1) through (10).

d. STI Program Office (STIPO) shall:

(1) Coordinate with the NASA CIO to recommend STI policy and procedures via this NPD and NPR 2200.2 and implement the approved policy and procedures.

(2) Ensure that NASA STI that is received is shared (as appropriate) with entities required by U.S. statute, such as, but not limited to, the National Archives and Records Administration, Government Printing Office, National Technical Information Service, and other partnerships agreed upon.

(3) Operate and manage an Agency-level STI Program, in accordance with NPR 7120.7, and an annual Program Commitment Agreement (PCA) initiated by the Agency CIO and agreed to by the STIPO's Center CIO.

(4) Coordinate the development, operation, and maintenance of a virtual electronic collection (database, user interface, review process, and access) of NASA STI and NASA-funded contractor and grantee STI that complies with government regulations regarding electronic media.

(5) Appoint personnel to serve on Agency-level and external teams pertinent to STI.

(6) Negotiate and implement STI data-sharing agreements to facilitate the collection, purchase, and dissemination of STI. This does not include data-sharing agreements that are the responsibility of missions, projects, and programs.

(7) Conduct an annual review to ensure that all Centers are in compliance with this NPD.

(a) Include evaluating the implementation of the DAA review process at the NASA Centers, as described in this directive and NPR 2200.2.

(b) Report the findings of this review to each Center Director and the Center STI Manager to facilitate improvements when warranted.

e. Center Directors shall:

(1) Ensure that all STI activities under their cognizance are performed in accordance with this NPD, NPR 2200.2, pertinent laws and regulations, and referenced documents.

(2) Designate individuals to serve as the Center STI Manager and as the Center DAA representative.

(3) In coordination with the Center STI Managers, establish and implement a plan to ensure awareness of the STI review requirements contained in NPR 2200.2.

(4) Ensure that corrective actions associated with improvement areas cited in the yearly compliance review are implemented at their Center.

f. Center STI Managers shall:

(1) Ensure that the Center is aware of policies and procedures indicated in this NPD and NPR 2200.2. This awareness includes appropriate training in STI (including SATERN training) and information security protection.

(2) Ensure that the Center documents the number, type, title, author(s), and availability of STI that is published or released external to the Agency by, or at the direction of, the Center.

(3) Ensure that the STI, as well as the approved NF-1676, is submitted to the NASA STI Program.

(4) If the STI originated from a NASA contract or grant, Center STI Managers ensure that the appropriate Contracting Officer (CO), Contracting Officer's Representative (COR), Grant Officer, and/or the Grant Technical Officer are

notified of the submittal.

(5) Be responsible for instituting a process to ensure that timely (prior to needed release date) notification is given to authors, initiators, and approvers of STI including, as a minimum, the disposition of the STI, either approved or disapproved, to help ensure that only appropriately approved STI is released.

(6) Ensure that their Center maintains a list of all STI released without an approved DAA and provides this list to STIPO annually to help support STIPO's compliance review of appropriately released STI.

(7) In coordination with Center Directors, establish and implement a plan to ensure awareness of the STI review requirements contained in NPR 2200.2.

(8) Ensure that the Agency STI Program has NF-1676s and STI from the Center before documents that have reached the end of their retention period are discarded.

g. Center DAA Representatives shall:

Coordinate with the Center's authors, STI Manager, COs, CORs, Grants Officers, Grant Technical Officers, and managers who approve STI in order to track, file, and transfer the NF-1676 and its associated STI, after approval, to the Agency STI Program.

h. Managers Who Approve STI at Centers through the NF-1676 shall:

(1) Ensure that STI, in their areas of responsibility, receives appropriate technical review and management review prior to the STI being published, released external to the Agency, or made available to foreign persons by, or under the direction of, NASA.

(2) Ensure that STI is reviewed to determine its information quality as cited in NPR 2200.2.

(3) Coordinate their efforts with the Center's DAA representative, COs, CORs, Grants Officers, Grant Technical Officers, and STI Manager.

(4) Coordinate the quality of their publications with NPR 2200.2 and to refer documents to the CIO's NASA Information Quality Officer (<http://www.sti.nasa.gov/nasaonly/qualinfo.html>) if these publications meet the definition of "Influential" or "Highly Influential" as cited in Section 515, "OMB Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Dissemination by Federal Agencies."

(5) Track STI documents that are disapproved for release and provide the list to the Center STI Managers on a regular basis (at least annually) or as requested by the Center STI Manager for STIPO compliance reviews.

i. Contracting Officers (COs) shall:

(1) Receive the final reports (and additional reports required by the contract) from contractors and submit the reports to the COR for review and acceptance.

(2) Ensure that STI requirements and information security protection consistent with NPRs 2200.2 and 2810.1 are placed in NASA contracts.

j. Contracting Officer Representatives (CORs) shall:

(1) Coordinate with the CO regarding contract issues and with the Center STI Manager regarding publication issues.

(2) Ensure that contractor-produced STI receives a DAA review if the Center elects to publish or release the STI external to the Agency or available to foreign persons by, or under the direction of, NASA.

(3) Send a copy of the DAA-approved STI and the associated NF-1676 to the STI Manager and/or DAA representative.

(4) Comply with Center procedures for notifying the contractor if and when the STI is approved for publication by NASA.

k. Grant Officers (GO) shall:

(1) Receive reports from the grantee or cooperative agreement recipient (or via the NASA Shared Services Center).

(2) Send the final reports to the Center Grant Technical Officer or other appropriate person to initiate the DAA process if the Center elects to publish or otherwise release the STI external to the Agency or if the STI will be made available to foreign persons by, or under the direction of, NASA.

(3) Ensure that STI grant requirements consistent with Agency needs and NPR 2200.2 are placed in NASA grants and agreements.

l. Center Grant Technical Officers (GTO) shall:

- (1) Receive final reports from the GO.
- (2) Review and accept final reports.
- (3) Ensure that the DAA is initiated via NF-1676 if NASA elects to publish any report.

m. Authors of STI shall:

- (1) Coordinate with appropriate managers, the Center's STI Manager, and the Technical Publication Office (TPO) to select the appropriate channel for release of STI.
- (2) Coordinate with appropriate managers, CORs, GTO, and the Center's TPO to ensure that the DAA review via NF-1676 is initiated in a timely manner for all STI proposed for publication, presentation at open conferences, public release, or other external dissemination by, or under the direction of, NASA.
- (3) Ensure the STI undergoes a DAA review. The primary author is also responsible for DAA submissions for STI identified in the yearly audit as mis-releases. In the case of a NASA-affiliated contractor or grantee author, he or she will coordinate with NASA to ensure that their work undergoes a DAA review, if one is required by the grant or contract or when it will be released by or on behalf of NASA.
 - (a) STI will not be published, released external to the Agency, or made available to foreign persons by, or under the direction of, NASA before the DAA review is completed.
 - (b) STI will be released only as approved under the DAA review.
 - (c) Non-NASA authors who elect or are required by the terms of their contract, grant, or cooperative agreement to release STI through NASA channels or on behalf of NASA will coordinate with their NASA technical monitor, COR, or GTO for appropriate procedures.
 - (d) NASA authors of STI (or appropriate personnel) will publish or otherwise release external to NASA (including via the Internet) only STI that has been reviewed at the appropriate organizational level for technical accuracy, conformance with applicable law, policy, and publication standards, and approved for release as prescribed by NPR 2200.2 and references cited therein.
 - (e) If STI is believed to be SBU, NASA authors will notify the applicable NASA officials in accordance with NID 1600.55, so a determination as to SBU status can be made prior to the DAA review.
 - (f) The DAA review requirement will not apply when material is published or released by NASA contractors, grantees, and cooperative agreement recipients through their own publishing and dissemination channels and not through, or at the direction of, NASA.

n. NASA STI Contract Support shall:

- (1) Assist NASA to acquire (collect), organize, disseminate, and archive (through the National Archives and Records Administration) approved STI.
- (2) Disseminate NASA STI to the Government Printing Office, Federal Depository Libraries, and the National Technical Information Service.
- (3) Provide products and services for NASA related to STI content management of research and development information.
- (4) Use only information systems that have a NASA-approved security assessment and authorization to operate (ATO) in accordance with NPR 2810.1 to process, store, or transmit NASA information.
- (5) Maintain and operate the E-DAA system, in accordance with STIPO requirements, for NASA.

6. DELEGATION OF AUTHORITY

Responsibility for STI-approved policy and program operations is delegated to the STIPO at Langley Research Center (LaRC) via a Program Commitment Agreement between the NASA CIO and the LaRC CIO.

7. MEASUREMENT/VERIFICATION

a. In assessing whether NASA is achieving the STI policies set forth in this NPD (based on Government Performance and Results Act reporting requirements), the Agency will measure, on an annual basis, the following performance trends to determine the value of the STI Program. These include to:

- (1) Capture NASA STI -- NASA will collect NASA STI from a variety of sources to facilitate the use of such information by scientists, engineers, researchers, businesses, universities, and the public.
 - (a) This activity will be measured by the number of STI items that are collected and input into the STI database on an

annual basis (tracked monthly).

(b) This measurement will be tracked and analyzed by STIPO.

(2) Access STI -- NASA will increase the number of STI documents that it makes available in electronic format.

(a) This activity will be measured by STIPO by the number of electronic documents it makes available via its STI systems.

(b) This measurement will be tracked annually by STIPO.

(3) Disseminate STI -- NASA will track the number of primary distributions or accesses of STI, including electronic searches (Web page hits), to determine the usage of its products and services.

(a) This activity will be measured annually (tracked monthly) by the number of Web page accesses in addition to the number of usages of STI products and services.

(b) This measurement will be tracked and analyzed by STIPO.

(4) Measure customer satisfaction -- NASA (by STIPO based on inquiries to the Information Desk) will analyze comments and suggestions received from internal users and user groups (especially NASA, NASA contractors, and NASA grantees) and external users (when received on a voluntary basis) to improve its STI services and products. This information will be tracked by the Agency STI Program on an annual basis.

(5) Measure effectiveness of the STI review process -- NASA will measure the effectiveness of the STI review process in the NF-1676 through the results of the annual compliance review and associated reports to the Center Directors.

(6) Ensure information assurance protection for STI -- NASA will be assessed based on the accreditation designations of systems that support acquiring, processing, storing, transmitting, and maintaining its information.

(7) Evaluate effectiveness of STI information protection -- NASA information protection will be evaluated based on the number and degree of security incidents reported and adjudicated by the NASA Security Operations Center.

(8) On a yearly basis, STI metrics will be presented at the Baseline Performance Review (BPR).

8. CANCELLATION

NPD 2200.1B, Management of NASA Scientific and Technical Information dated November 19, 2009.

/s/ Charlie F. Bolden
Administrator

ATTACHMENT A: ACRONYMS

Authorization to Operate (ATO)

Baseline Performance Review (BPR)

Chief Information Officer (CIO)

Contracting Officer (CO)

Contracting Officer's Representative (COR)

Document Availability Authorization (DAA)

Electronic Document Availability Authorization (E-DAA)

Export Administration Regulations (EAR)

Federal Acquisitions Regulation (FAR)

Grant Officer (GO)

Grant Technical Officer (GTO)

Langley Research Center (LaRC)

New Technology Reports (NTR)
Mission Directorate Associate Administrators (MDAAs)
Mission Support Office Associate Administrators (MSOAs)
Office of the Chief Information Officer (OCIO)
Scientific and Technical Information (STI)
Sensitive But Unclassified (SBU)
STI Program Office (STIPO)
Technical Publication Office (TPO)
Technical Support Packages (TSPs)

(URL for Graphic)

None.

DISTRIBUTION:
NODIS

This Document Is Uncontrolled When Printed.
Check the NASA Online Directives Information System (NODIS) Library
to Verify that this is the correct version before use: <http://nodis3.gsfc.nasa.gov>
