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NASA Policy Directive

NPD 2200.1DEffective Date: January 09, 2020
Expiration Date: January 01, 2025**COMPLIANCE IS MANDATORY FOR NASA EMPLOYEES**[Printable Format \(PDF\)](#)

Subject: Management of NASA Scientific and Technical Information

Responsible Office: Office of the Chief Information Officer

1. POLICY

- a. This NASA Policy Directive (NPD) establishes policy for conducting the Scientific and Technical Information (STI) Program, which manages the informational results of NASA's research and development efforts. STI is the result (the analyses of data, facts, and resulting conclusions) of basic and applied scientific, technical, and engineering research and development. NASA's policy for research data and publication access is set forth in NPD 2230.1, Research Data and Publication Access.
- b. The STI Program is established to manage, disseminate, safeguard, and preserve NASA STI for use by NASA, NASA contractors, NASA grantees, and, where appropriate, the public. In doing so, the STI Program supports efforts to advance the Agency's goals in science, exploration, and aeronautics.
- c. It is NASA policy to provide for the "widest practicable and appropriate dissemination" of unclassified STI, resulting from NASA's research effort, in accordance with the National Aeronautics and Space Act, 51 U.S.C. § 20101 et seq.
- (1) Where STI is restricted by U.S. statute, regulation, or policy, NASA manages and safeguards against inappropriate dissemination, as mandated by 51 U.S.C. § 20101 et seq. and NID 1600.55, NASA Sensitive But Unclassified (SBU) Controlled Information.
- (2) STI is generated by NASA civil servants, contractors, and grantees or derived from NASA-funded contracts, grants, and cooperative agreements when published or released by, or at the direction of, NASA.
- d. The STI Program implements the required Agency-wide process using NASA Form (NF) 1676, NASA Scientific and Technical Document Availability Authorization (DAA), through which all applicable STI published or released by, or at the direction of, NASA is reviewed and approved for publication.

2. APPLICABILITY

- a. This NPD is applicable to NASA Headquarters and NASA Centers, including Component Facilities, 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 the appropriate contracts, grants, or agreements.
- b. STI to which this NPD is applicable includes: meeting/conference papers, presentation slides, journal articles, abstracts, books/book chapters, the STI Report Series, STI documents on public Web sites, theses, dissertations, periodic and final contractor or grantee reports, and any supplemental data or attachments referenced in the STI.
- (1) Additional details on the STI Report Series and examples of publications not covered under this policy are provided in NPR 2200.2, Requirements for Documentation, Approval and Dissemination of Scientific and Technical Information.
- 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, 5 U.S.C. § 552 et seq.
- b. Transfer of Federal Scientific and Technical Information, 15 U.S.C. § 3704b-2.
- c. Subject Matter of Copyright: United States Government Works, 17 U.S.C. § 105.
- d. Arms Export Control Act, 22 U.S.C. § 2751 et seq.
- e. Federal Grant and Cooperative Agreement Act, 31 U.S.C. §§ 6301 - 6308.
- f. Confidentiality, 35 U.S.C. § 205.
- g. Public Printing and Documents, 44 U.S.C. §§ 1710, 1902, 3504 (d)(1) - (2), 3516, 4101.
- h. Export Control Reform Act of 2018, 50 U.S.C. §§ 4801 - 4852 et seq.
- i. National Aeronautics and Space Act, 51 U.S.C. § 20101 et seq.
- j. Export Administration Regulations (EAR), 15 CFR 730 - 774.
- k. International Traffic in Arms Regulation (ITAR), 22 CFR 120 - 130.
- l. Federal Acquisition Regulation (FAR), 48 CFR 1 - 53.
- m. NASA FAR Supplement, 48 CFR 1804, 1827, 1835, and 1852.
- n. Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies, 67 CFR 5365 (Feb. 5, 2002).
- o. OMB Circular A-130, Managing Information as a Strategic Resource.

4. APPLICABLE DOCUMENTS AND FORMS

- a. Government Performance and Results Act of 1993, Pub. L. 103-62, 107 Stat. 287.
- b. Government Appropriations Act of 2001, Pub. L. 106-554 § 515.
- c. Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies, 67 FR 8451.
- d. NPD 2230.1, Research Data and Publication Access.
- e. NPR 2200.2, Requirements for Documentation, Approval, and Dissemination of Scientific and Technical Information.
- f. NPR 2810.1, Security of Information Technology.
- g. NPR 7120.7, NASA Information Technology and Institutional Infrastructure Program and Project Management Requirements.
- h. NID 1600.55, NASA Sensitive But Unclassified (SBU) Controlled Information.
- i. NAI 2190.1, NASA Export Control Program Operations Manual. j. NF-1676, NASA Scientific and Technical Document Availability Authorization. k. NASA Guidelines for Ensuring the Quality of Information ([https://www.nasa.gov/sites/default/files/517756main_FINAL_NASA_guidelines .pdf](https://www.nasa.gov/sites/default/files/517756main_FINAL_NASA_guidelines.pdf)).

5. RESPONSIBILITY

- a. All NASA employees (civil servants), contractors, grantees, and cooperative agreement recipients are responsible for treating STI produced under their official duties or specific agreements in accordance with Federal and NASA regulations, including Federal Acquisition Regulation (FAR), 48 CFR 1 - 53; the NASA FAR Supplement, 48 CFR 1804, 1827, 1835, and 1852; and the Federal Grant and Cooperative Agreement Act, 31 U.S.C. §§ 6301 - 6308; and NPR/NAI 2190.1, Export Control Program/Operations Manual information release.

b. The NASA organization managing the creation of the STI is responsible for NF-1676, NASA Scientific and Technical Document Availability Authorization, approval prior to release or publication of the STI.

c. NASA Mission Directorate Associate Administrators (MDAAs), Chief Information Officers (CIOs), Chief Engineer, Chief Scientist, Center Directors, and Mission Support Directorate Associate Administrators (MSDAAs) are responsible for:

- (1) Ensuring compliance with this NPD and NPR 2200.2 and with applicable laws and regulations.
- (2) Ensuring STI is reviewed technically, as required by NPR 2200.2, and, if applicable, meets the NASA Guidelines for Ensuring the Quality of Information.
- (3) Serving or delegating participation on the Agency STI Board of Advisors to provide feedback to the STI Program's current and future initiatives and coordination with the research and development producers/users within NASA.

d. The Information Management Program (IMP), Program Executive, under the CIO is responsible for:

- (1) Approving the strategic direction and plan for the STI Program and ensuring the STI Program Strategic Plan aligns with IMP strategy and the NASA IT Strategic Plan.
- (2) Approving STI Program policies.
- (3) Allocating funds for the STI Program.
- (4) Coordinating and approving the Agency's STI policies with the NASA CIO, NASA Headquarters Export Administrator (HEA), MDAAs, Chief Engineer, Center Directors, and MSDAAs.
- (5) Assessing the effectiveness of the STI Program.

e. The STI Program Office, under the IMP, is responsible for:

- (1) Delivering and implementing an STI Program Strategic Plan aligned with the Agency CIO and IMP strategy.
- (2) Providing 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, in keeping with 51 U.S.C. § 20101 et seq.
- (3) Coordinating with the NASA Office of the Chief Information Officer IMP to recommend STI policy and procedures via this NPD and NPR 2200.2 and implementing the approved policy and procedures.
- (4) Ensuring 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.
- (5) Ensuring that NASA STI is shared (as appropriate) with entities required by U.S. statutes listed in section 3 of this document including, but not limited to, the National Archives and Records Administration, Government Printing Office, National Technical Information Service, and other agreed-upon partnerships.
- (6) Ensuring 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.
- (7) Ensuring development of training to provide a standard process and information set to all Agency personnel.
- (8) Operating and managing an Agency-level STI Program, in accordance with NPR 7120.7, NASA Information Technology and Institutional Infrastructure Program and Project Management Requirements and approved by the NASA CIO.
- (9) Operating and maintaining a digital repository (database, user interface, and access) of NASA STI and NASA-funded contractor and grantee STI that complies with Government electronic media regulations.
- (10) Ensuring that the information system for collection of NASA STI by the STI Program maintains a current authorization to operate in accordance with NPR 2810.1, Security of Information Technology, at the security categorization level determined by the system's Federal Information Processing Standards (FIPS) assessment in accordance with FIPS-199.
- (11) Contributing to the community of scientific and technical information researchers/practitioners, both within NASA

and without, by maintaining relationships with other STI programs, professional societies, and individuals involved in aerospace.

(12) Negotiating and implementing STI data-sharing agreements to facilitate the collection and dissemination of STI. Excluded are data-sharing agreements that are the responsibility of missions, projects, and programs.

(13) Measuring, monitoring, and reporting on compliance of the STI Program with this NPD.

f. Center Directors are responsible for:

(1) Ensuring STI activities are performed in accordance with this NPD, NPR 2200.2, pertinent laws and regulations, and referenced documents.

(2) Designating individuals to serve as the Center STI Manager and as Center DAA Representative(s).

(3) In coordination with the Center STI Managers, establishing and implementing a Center-based plan to ensure compliance of the STI review requirements contained in NPR 2200.2.

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

g. Center STI Managers are responsible for:

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

(2) Ensuring their Center adopts the Agency's NF-1676 (also known as the DAA process) for submitting STI.

(3) Monitoring Center compliance to this NPD and maintaining records of STI released without proper review and approval via a NF-1676.

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

(5) Ensuring the Agency STI Program has received STI with corresponding NF-1676s (or predecessor forms) from the Center in digital format before documents that have reached the end of their retention period are discarded.

(6) Participating in Agency-wide meetings on STI policy and issues. This includes regular NASA STI Program reviews, teleconferences, and videoconferences.

h. Center DAA Representatives are responsible for:

(1) Supporting the STI Manager in promoting awareness and compliance activities at the Center.

(2) Coordinating with the Center's authors, Center Export Administrators (CEAs), Contracting Officers (COs), Grants Officers (GOs), and managers who approve STI, including approvers for export control and legal status, in order to track NF-1676 submissions to final approval or other disposition.

(3) Reviewing the NF-1676 for completeness, distribution availability category, restrictions, and accuracy.

(4) Ensuring that the STI is complete for processing in a timely manner and includes required notices (if applicable).

i. Managers designated as STI/NF-1676 approvers at their Centers are responsible for:

(1) Ensuring 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) Coordinating efforts with the Center's STI Manager, CEAs, and applicable COs and GOs.

(3) Coordinating the quality of all STI publications with NPR 2200.2 and the NASA Guidelines for Ensuring the Quality of Information in accordance with Government Appropriations Act of 2001, Pub. L. 106-554 § 515, and Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies, 67 FR 8451.

(a) Referring any STI qualifying as either "Influential" or "Highly Influential" as defined in the NASA Guidelines for Ensuring the Quality of Information to the CIO's information quality point of contact at the following e-mail address: hq-infoquality@nasa.gov.

k. COs are responsible for:

- (1) Ensuring that STI requirements and information security protection consistent with NPRs 2190.1, 2200.2, and 2810.1 are placed in NASA contracts.
- (2) Ensuring contract reports (final and additional reports required by the contract), pursuant to contractual agreement, are submitted and processed in accordance with this NPD and NPR 2200.2.
- (3) Coordinating contract issues with the Center STI Manager regarding publishing or releasing STI.
- (4) Ensuring that contractor-produced STI receives an NF-1676 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.
- (5) Delegating responsibilities, when appropriate, to support personnel.

l. GOs and Cooperative Agreement Officers are responsible for:

- (1) Ensuring grant and cooperative agreement award requirements are consistent with Agency policies, NPR 2200.2, and applicable STI terms and conditions are incorporated in NASA grants and agreements.
- (2) Ensuring grant and cooperative agreement reports (final and additional reports required by the grant or cooperative agreement), pursuant to terms and conditions of the award, are submitted and processed in accordance with this NPD and NPR 2200.2.
- (3) Delegating responsibilities, when appropriate, to support personnel.

m. Authors of STI are responsible for:

- (1) Coordinating with technical/functional managers, the Center's STI Manager, Office of Chief Counsel (OCC), CEAs, COs, GOs, and/or the Technical Publication Office to select the appropriate channel for release of STI.
- (2) Ensuring STI complies with responsibilities and requirements set forth in this NPD and NPR 2200.2. NPR 2200.2 details required actions supporting author responsibilities.
- (3) Ensuring STI is not published, released external to the Agency, or made available internally to foreign persons by, or under the direction of, NASA before the NF-1676 process is complete.
- (4) When a civil servant author, using the NF-1676 process when publishing or releasing external to the Agency, or when making available internally to foreign persons.
- (5) When a contractor, grantee, or cooperative agreement author, releasing STI in coordination with OCC, CEAs, GOs and COs, and pursuant to their contracts and agreements, and may be required to use the NF-1676 process.

n. Center export control reviewers of assigned STI release requests are responsible for:

- (1) Assessing and ensuring compliance of STI.
- (2) Assisting program and project personnel, STI authors, Contracting Officers/Representatives, Grant Officers/Representatives, and other cooperative agreement personnel in determining the appropriate export controls for publishing/releasing and disseminating STI.

6. DELEGATION OF AUTHORITY

None.

7. MEASUREMENT/VERIFICATION

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In assessing whether NASA is complying with the STI policies set forth in this NPD (based on Government Performance and Results Act of 1993, P. Law 103-62, reporting requirements), the Agency will measure, on an annual basis, compliance and performance trends to determine the effectiveness of the STI Program.

8. CANCELLATION

NPD 2200.1C, Management of NASA Scientific and Technical Information dated December 9, 2014.

/s/Jim Bridenstine
Administrator

ATTACHMENT A: ACRONYMS

CEA Center Export Administrator
CIO Chief Information Officer
CO Contracting Officer
DAA Document Availability Authorization
FAR Federal Acquisition Regulation
GO Grant Officer
HEA Headquarters Export Administrator
IMP Information Management Program
JPL Jet Propulsion Laboratory
MDAAs Mission Directorate Associate Administrators
MSDAAs Mission Support Directorate Associate Administrators
OCC Office of Chief Counsel
NF NASA Form
NPD NASA Policy Directive
NPR NASA Procedural Requirements
STI Scientific and Technical Information

ATTACHMENT B: DEFINITIONS

Scientific and Technical Information (STI) - The results (the analyses of data, facts, and resulting conclusions) of basic and applied scientific, technical, and engineering research and development.

ATTACHMENT C: REFERENCES

NPR 2190.1, NASA Export Control Program.

(URL for Graphic)

None.

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