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NASA Policy Directive

NPD 2200.1AEffective Date: December 06,
2007Expiration Date: December 06,
2012**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

[NASA Interim Directive: Management of NASA Scientific and Technical Information, NM 2200-71](#)

1. POLICY

a. NASA, as an Agency, through its Chief Information Officer (CIO), shall, as outlined in Section 5, manage the informational results of its research and development efforts by conducting a Scientific and Technical Information (STI) Program. STI is defined as the results (the analyses of data and facts and resulting conclusions) of basic and applied scientific, technical, and related engineering research and development. Exemptions are given in NASA Procedural Requirements (NPR) 2200.2, Section 1.2.4. In addition to these exemptions, STI does not include raw and processed mission data and data sets and software.

(1) The NASA CIO shall update or have updated the NPD 2200.1, Management of NASA Scientific and Technical Information, and NPR 2200.2, Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information, according to scheduled revisions.

b. The NASA CIO shall, to the extent practicable, acquire (collect), manage, disseminate (or provide access to), safeguard, and have archived 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.

c. The NASA CIO shall, to the extent practicable, collect or provide access to domestic and international non-NASA STI pertinent to NASA's missions and programs for use by

NASA and NASA contractors and grantees.

d. The NASA CIO shall "provide for the widest practicable and appropriate dissemination" of STI resulting from NASA's research effort, while precluding the inappropriate dissemination of restricted-access information, in keeping with the National Aeronautics and Space Act of 1958, as amended.

e. The NASA CIO shall 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.

f. The NASA CIO shall continue to improve the cost-effectiveness and performance of STI collection, management, and dissemination, as available resources allow.

g. The NASA CIO shall, as appropriate, publish and make available its NASA STI as promptly as possible to maximize the benefit of the research.

h. NASA producers of STI shall 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 and conformance with applicable law, policy, and publication standards as prescribed by NPR 2200.2 and references cited therein.

i. NASA producers of STI shall use NASA Form 1676, NASA Scientific and Technical Information (STI) Document Availability Authorization (DAA), to review and approve all NASA STI that will be published or otherwise released external to the Agency by, or under the direction of, NASA or that will otherwise be made available to foreign nationals. This review requirement does not apply when NASA STI is published or otherwise released by the NASA funding recipients (contractors, grantees, and cooperative agreement recipients).

j. NASA CIO shall ensure that producers of NASA STI (including contractors, grantees, and cooperative agreement personnel in accordance with the requirements of their funding agreements) are aware of Agency requirements and procedures prescribed by NPR 2200.2, and the references given therein. Review of technical accuracy is currently accomplished outside the NASA Form 1676 process.

(1) NASA CIO shall ensure that NASA-funded STI received from contractors, grantees, and cooperative agreement personnel is released in accordance with NPR 2200.2 reviews and approvals and in accordance with specific requirements in the contract, grant, or agreement if such STI is released external to the Agency or is otherwise made available to foreign nationals by, or under the direction of, NASA (versus release by the contractor or grantee).

2. APPLICABILITY

a. This NPD shall apply to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers, and to the Jet Propulsion Laboratory, other contractors, grant recipients, or parties to agreements only to the extent specified in their contracts, grants, or agreements.

b. Treatment of STI produced under NASA contracts, grants, and cooperative agreements shall be in accordance with Federal and NASA regulations, including the

Federal Acquisitions Regulation (FAR), the NASA FAR Supplement, and NPR 5800.1, NASA Grant and Cooperative Agreement Handbook (14 CFR 1260), except in the case of approved waivers and exemptions.

3. AUTHORITY

- a. 5 U.S.C. § 552, et seq., Freedom of Information Act, as implemented by 14 CFR 1206.
- b. 15 U.S.C. § 3704b-2, American Technology Preeminence Act, as implemented by 15 CFR 1180.
- c. 17 U.S.C. § 105, Subject Matter of Copyright: United States Government Works.
- d. 22 U.S.C. § 2751, et seq., Arms Export Control Act, as implemented by CFR Parts 120-130, International Traffic in Arms Regulation (ITAR).
- e. 35 U.S.C. § 205, Confidentiality.
- f. 42 U.S.C. § 2473(a)(3) of the National Aeronautics and Space Act of 1958, as amended.
- g. 50 U.S.C. app. 2401-2420, Export Administration Act of 1979 (as amended, as implemented by 15 CFR Parts 730-774, Export Administration Regulations (EAR)).
- h. OMB Circular No. A-130, Management of Federal Information Resources.

4. APPLICABLE DOCUMENTS

- a. NASA FAR Supplement, 48 CFR Parts 1804, 1827, 1835, and 1852.
- b. NPD 1050.1, Authority To Enter Into Space Act Agreements.
- c. NPD 1440.6, NASA Records Management.
- d. NPR 1441.1, NASA Records Retention Schedules.
- e. NPR 1600.1, NASA Security Program Procedural Requirements.
- f. NPD 2110.1, Foreign Access to NASA Technology Transfer Materials.
- g. NPD 2190.1, NASA Export Control Program.
- h. NPR 2200.2, Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information.
- i. NPR 2810.1, Security of Information Technology.
- j. NPR 5800.1, Grant and Cooperative Agreement Handbook (14 CFR 1260).
- k. NPR 7120.5, NASA Program and Project Management Processes and Requirements.
- l. NASA Form 1676, NASA Scientific and Technical Information (STI) Document Availability Authorization (DAA).

5. RESPONSIBILITY

a. NASA Mission Directorate Associate Administrators (MDAAs), Chief Engineer, Center Directors, and Mission Support Office Directors (MSOD).

(1) NASA MDAAs, Chief Engineer, Center Directors, and MSODs shall be responsible for activities under their cognizance, ensuring that they comply with this NPD and NPR 2200.2, applicable laws and regulations, and other referenced direction.

(2) NASA MDAAs, Chief Engineer, Center Directors, and MSODS shall be responsible for 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.sti.nasa.gov/nasaonly/qualinfo.html>).

b. NASA Chief Information Officer (CIO)

(1) The NASA CIO shall plan and manage implementation of the Agency STI Program, assess the effectiveness of the Agency STI Program, designate the NASA OCIO STI Program Executive, designate an STI Program Office (STIPO), and review and approve an STIPO plan and its implementation.

c. Agency OCIO STI Program Executive

(1) The Agency OCIO STI Program Executive shall determine the strategic direction and plan for the STI Program.

(2) The Agency OCIO STI Program Executive shall allocate funds for the STIPO.

(3) The Agency OCIO STI Program Executive shall coordinate and approve the Agency's STI policies with the NASA CIO, MDAAs, Chief Engineer, Center Directors, and MSODs.

d. STI Program Office (STIPO)

(1) The STIPO shall coordinate with the NASA CIO to recommend STI policy and procedures via an Agency NPD and NPR and implement the approved policy and procedures.

(2) The STIPO shall ensure that NASA STI that is received at the NASA Center for AeroSpace Information 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) The STIPO shall operate and manage an Agency-level STI program in accordance with NPR 7120.5 and an annual Cost, Schedule, and Performance Agreement (CSPA) initiated by the Agency CIO and agreed to by the STIPO's Center CIO.

(4) The STIPO shall coordinate the development, operation, and maintenance of a virtual electronic collection of NASA STI by overseeing the operation and maintenance of the NASA Center for AeroSpace Information (CASI), a contractor facility, and/or any successor facilities, systems, partnerships, or institutes.

(5) The STIPO shall appoint personnel to serve on Agency-level and external teams pertinent to STI.

(6) The STIPO shall 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.

e. Center Directors

(1) Center Directors shall 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) Center Directors shall designate individuals to serve as the Center STI Manager and as the Center DAA representative.

f. Center STI Managers

(1) Center STI Managers shall 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.

(2) Center STI Managers shall ensure that the Center documents the number, type, title, author(s), and availability of STI that is released or published external to NASA.

(3) Center STI Managers shall ensure that the STI, as well as the approved NF-1676, is submitted to the NASA CASI.

(4) If the STI originated from a NASA contract or grant, Center STI Managers shall also ensure that the appropriate Contracting Officer (CO), Contracting Officer's Technical Representative (COTR), and/or the Grants Officer are notified of the submittal.

g. Center DAA Representatives

(1) Center DAA Representatives shall coordinate with the Center authors, STI Manager, COs, COTRs, Grants Officers, and managers who approve STI in order to track, file, and transfer the NF-1676 and its associated STI, after approval, to NASA CASI.

h. Managers Who Approve STI at Centers

(1) Managers who approve STI at Centers shall ensure that STI in their areas of responsibility receives appropriate technical review and management review (through the NF-1676) prior to the STI being published, released external to the Agency, or otherwise made available to foreign nationals by, or under the direction of, NASA.

(2) Managers shall also ensure that STI is reviewed to determine its information quality as cited in NPR 2200.2.

(3) Managers shall coordinate their efforts with the Center's DAA representative, COs, COTRs, Grants Officers, and STI Manager, as applicable.

(4) Managers shall be responsible to coordinate the quality of their publications with NPR 2200.2 and to refer documents to the Chief Information Officer'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."

i. Contracting Officers (COs)

- (1) COs receive the final reports (and additional reports required by the contract) from contractors and submit the reports to the COTR for review and acceptance.
- (2) COs ensure that STI requirements are consistent with NPR 2200.2 and are placed on NASA contracts.

j. Contracting Officer's Technical Representatives (COTRs)

- (1) COTRs coordinate with the CO regarding contract issues and with the Center STI Manager regarding publication issues.
- (2) COTRs ensure that contractor-produced STI receives a DAA review (if the Center elects to publish or otherwise release the STI external to the Agency or will otherwise make the STI available to foreign nationals by, or under the direction of, NASA).
- (3) COTRs send a copy of the DAA-approved STI and the DAA to the STI Manager and/or DAA representative.
- (4) COTRs comply with Center procedures for notifying the contractor if and when the STI is approved for publication by NASA.

k. Grants Officers

- (1) The Grants Officer receives the report from the grantee or cooperative agreement recipient (or via the NASA Shared Services Center) and sends the final report to the Center technical officer or other appropriate person to initiate the NF-1676 process.
- (2) The Grants Officer ensures that STI grant requirements consistent with Agency needs and NPR 2200.2 are placed in NASA grants and agreements.

l. Authors of STI

- (1) Authors shall coordinate with appropriate managers in the Center's STI Manager and Technical Publication Office (TPO) to select the appropriate channel for release of STI.
- (2) Authors, in coordination with appropriate managers, COTRs, and the Center's TPO, shall ensure that the NF-1676 is initiated for all STI released or disseminated by NASA prior to being published, released external to the Agency, or otherwise made available to foreign nationals by, or under the direction of, NASA.
- (3) 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 shall coordinate with their NASA technical monitor or COTR for appropriate procedures.

m. NASA CASI

- (1) The NASA CASI, which is NASA's contractor-operated facility, shall acquire (collect), organize, disseminate, and archive STI (through the National Archives and Records Administration).
- (2) The NASA CASI shall disseminate NASA STI to the Federal Depository Libraries and the National Technical Information Service, as appropriate.
- (3) The NASA CASI shall provide products and services for NASA related to STI content management of research and development information.

n. NASA Employees

(1) NASA's policy is to provide the widest practicable and appropriate dissemination of STI, including that derived from NASA-sponsored contracts, grants, and cooperative agreements. Prior to publication, release external to NASA, or being otherwise made available to foreign nationals, NASA employees shall ensure that the STI they originate is properly reviewed and approved for release through the NF-1676 process. This process will ensure technical accuracy, quality, and integrity as well as conformance with all policies, publication standards, and laws governing distribution, including copyright, export control, and other restrictions. This process will also ensure STI is included in the STI database (<http://www.sti.nasa.gov>).

o. Records Managers

(1) Records Managers shall coordinate with the NASA CASI, before they dispose of temporary records that are STI at their Centers, to ensure that the CASI has a copy of their NASA STI and the associated NF-1676.

6. DELEGATION OF AUTHORITY

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

7. MEASUREMENTS/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 shall measure, on an annual basis, the following performance trends to determine the value of the STI Program:

(1) Capturing NASA STI--NASA shall collect NASA STI from a variety of sources to expand the amount and scope of technical information acquired by the program.

(a) This activity shall 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 shall be tracked and analyzed by the STIPO and validated by a non-STIPO entity.

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

(a) This activity shall be measured by the number of electronic documents scanned or received electronically on an annual basis (tracked monthly).

(b) This measurement shall be tracked and analyzed by the STIPO and validated by a non-STIPO entity.

(3) Disseminating STI--NASA shall 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 shall 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 shall be tracked and analyzed by the STIPO and validated by a non-STIPO entity.

(4) Customer satisfaction--NASA shall analyze comments and questions 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.

(a) This information shall be tracked by the NASA CASI on an annual basis and validated by the STIPO and a non-STIPO entity.

8. CANCELLATION

NPD 2200.1, dated March 28, 2003.

/s/ Michael D. Griffin
Administrator

ATTACHMENT A: (TEXT)

[Section 515, OMB Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies \(February 22, 2002\)](#)

(URL for Graphic)

None.

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