

NASA's Scientific and Technical Information (STI)/Document Availability Authorization (DAA) Process

What is STI?

- STI is scientific and technical information.
- It is the “the results (the analyses of data and facts and resulting conclusions) of basic and applied scientific, technical, and related engineering research and development.” NPD 2200.1
- DAA is often used to refer to the process and the form.

Examples of STI

- Conference papers and presentations, including posters
- Workshop and meeting papers and presentations
- Conference proceedings
- Preliminary or non-published STI
- Journal articles
- Presentations at internal or project meetings where foreign nationals will be present

So What?

- Before STI is released or presented to the public, **paperwork** needs to be filled out.
- Paperwork should be initiated before abstract is submitted.

Why Now?

- This is not a new requirement.
- “The National Aeronautics and Space Act of 1958 established a requirement for NASA to provide ‘the widest practicable and appropriate dissemination of information concerning its activities and the results thereof.’”
- CASI is the publicly accessible database.
- Internet crawling let the powers-that-be know we weren’t filling out our paperwork.

Why Now?, cont.

- Because these are the rules.
- You'll get in trouble if you don't.

Who Needs to Fill Out Paperwork?

- Anyone “engaged in NASA-funded or NASA-sponsored research and development and related efforts.”
- Civil servants *and* contractors
- As a general rule, the first NASA civil servant or contractor listed as an author should take responsibility to process the paperwork.

What is the process?

- Hand abstract to Mary (610.2) or Regina (619) and let them take care of it.

OR

- Fill out two forms.
 - NASA Form 1676, NASA Scientific and Technical Information (STI) Document Availability Authorization (DAA)
 - GSFC Form 25-49, GSFC STI Public Disclosure Export Control Checklist

Process, cont.

- Get signatures in blocks 6 and 7.
 - The form is supposed to be signed in the name block, even though it does not say “signature.”
 - It must be signed in order.
- Sign Export Ctrl Checklist in the appropriate place.

Process, cont.

- Take or fax (64393) both forms plus the abstract/paper, etc. to building 27 for Tom Weisz to sign the DAA in block 8 and the checklist.
- Retrieve the forms and obtain final signature in block 9.
- Upload to CASI <http://sti.gsfc.nasa.gov/>. (Hit cancel when the pop-up appears.)
- Give final copy to Mary to log

Sample Form

20120503144759

| | | | | | |
|--|--|--|---|--|--------------------------|
|  National Aeronautics and Space Administration | | NASA Scientific and Technical Information (STI) Document Availability Authorization (DAA) <small>(Instructions for completing this form are on page 4)</small> | | <input checked="" type="checkbox"/> NEW DAA <input type="checkbox"/> REVISION TO EXISTING DAA (Attach Copy) | |
| POTENTIAL LESSONS LEARNED? <input checked="" type="checkbox"/> NO <input type="checkbox"/> YES ▶ (Also submit to Review Committee at http://lis.nasa.gov) | | | | | |
| 1a. DOCUMENT IDENTIFICATION | | | | | |
| TITLE TRMM Version 7 Level 3 Gridded Monthly Accumulations of GPROF Precipitation Retrievals | | | AUTHOR(S) E. F. Stocker and O. A. Kelley | | |
| POINT OF CONTACT (If different from author) E-MAIL: erich.f.stocker@nas.gov | | ADDRESS NASA/OSFC, Code 610.2, Greenbelt, MD 20771 | | | |
| COTR OR CENTER-DESIGNATED OFFICIAL E-MAIL: | | ADDRESS: | | | |
| ORIGINATING NASA CENTER AND ORGANIZATION Goddard Space Flight Center, Global Change Data Center | | | PERFORMING NASA CENTER AND ORGANIZATION (If different) | | |
| CONTRACT NUMBER | | GRANT NUMBER | | INTERAGENCY NUMBER | OTHER DOCUMENT NUMBER(S) |
| 1b. TYPE OF STI | | | | | |
| <input type="checkbox"/> ABSTRACT <input type="checkbox"/> BOOK NAME OF PUBLISHER: _____ | | | <input type="checkbox"/> DOCUMENT FOR PUBLIC WEB SITE (Must meet requirements in NPR 2810.1, chapter 11, for publishing on the Internet) <input type="checkbox"/> DOCUMENT FOR INTERNAL NASA WEB SITE URL: _____ | | |
| <input type="checkbox"/> CONFERENCE PAPER <input checked="" type="checkbox"/> CONFERENCE PRESENTATION CONFERENCE NAME/SPONSOR: European Geosciences Union General Assembly 2012 | | | PERSISTENT URL (If applicable): _____ | | |
| CONFERENCE LOCATION: Vienna, Austria | | | <input type="checkbox"/> OTHER (Periodical, format, etc.) _____ <input type="checkbox"/> JOURNAL ARTICLE JOURNAL NAME/PUBLISHER: _____ | | |
| DATES: 04/22/2012 TO: 04/27/2012 | | | <input type="checkbox"/> IF A PREPRINT (draft or revision being sent to journal), DO YOU WANT IT DISSEMINATED TO: <input type="checkbox"/> ONLY THE PUBLISHER <input type="checkbox"/> NASA AND ITS CONTRACTORS <input type="checkbox"/> US GOVERNMENT AGENCIES AND THEIR CONTRACTORS <input type="checkbox"/> PUBLIC | | |
| <input type="checkbox"/> ORAL/VISUAL PRESENTATION ADDITIONAL INFORMATION: _____ | | | <input type="checkbox"/> IF A REPRINT (article published by journal) BEING SENT TO NASA CENTER FOR AEROSPACE INFORMATION TO ADD TO STI DATABASE, DID YOU GET PERMISSION FROM THE PUBLISHER TO DISTRIBUTE TO PUBLIC? <input type="checkbox"/> YES (Attach copy of permission) <input type="checkbox"/> NO | | |
| <input type="checkbox"/> NASA STI SERIES REPORT (See NPR 2200.2) <input type="checkbox"/> TECHNICAL PUBLICATION (TP) <input type="checkbox"/> TECHNICAL MEMORANDUM (TM) <input type="checkbox"/> CONTRACTOR REPORT (CR) <input type="checkbox"/> CONFERENCE PUBLICATION (CP) <input type="checkbox"/> SPECIAL PUBLICATION (SP) <input type="checkbox"/> TECHNICAL TRANSLATION (TT) | | | | | |

Sample Form, cont.

| | |
|--|--|
| 2. UNCLASSIFIED STI | |
| STI IS <input checked="" type="checkbox"/> UNCLASSIFIED. (This form may only be used for Unclassified information. See NPR 1600.1, chapter 5.) | |
| 3. AVAILABILITY CATEGORY | |
| 3a. PUBLICLY AVAILABLE STI (See instructions) | |
| <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO (See 3 (b, c, and/or d) and 4) | |
| 3b. EXPORT-CONTROLLED INFORMATION (Contact your Export Control Administrator for help) | |
| <input type="checkbox"/> INTERNATIONAL TRAFFIC IN ARMS REGULATIONS (ITAR) GIVE THE US MUNITIONS LIST (USML) CATEGORY: _____ | <input type="checkbox"/> EXPORT ADMINISTRATION REGULATIONS (EAR) GIVE THE EXPORT CONTROL CLASSIFICATION NUMBER (ECCN): _____ OF THE COMMERCE CONTROL LIST (CCL) |
| 3c. PROPRIETARY/SENSITIVE INFORMATION (See NPR 2200.2, Chapter 4) | |
| <input type="checkbox"/> LIMITED RIGHTS DATA <input type="checkbox"/> SMALL BUSINESS INNOVATION RESEARCH (SBIR/STTR) <input type="checkbox"/> LIMITED UNTIL DATE (mm/dd/yyyy): _____ <input type="checkbox"/> IMMEDIATE RELEASE APPROVED TO CATEGORIES INDICATED IN 3d <input type="checkbox"/> TRADE SECRET/COMMERCIAL CONFIDENTIAL OTHER THAN LIMITED RIGHTS OR SBIR DATA <input type="checkbox"/> LIMITED UNTIL DATE (mm/dd/yyyy): _____ <input type="checkbox"/> IMMEDIATE RELEASE APPROVED TO CATEGORIES INDICATED IN 3d <input type="checkbox"/> SENSITIVE BUT UNCLASSIFIED (SBU) | <input type="checkbox"/> PRODUCED UNDER SPACE ACT AGREEMENT & SUBJECT TO § 303(b) OF THE SPACE ACT <input type="checkbox"/> LIMITED UNTIL DATE (mm/dd/yyyy): _____ <input type="checkbox"/> IMMEDIATE RELEASE APPROVED TO CATEGORIES INDICATED IN 3d <input type="checkbox"/> COPYRIGHTED (If copyrighted, check with Center Patent or Intellectual Property Counsel) <input type="checkbox"/> CAN BE RELEASED TO PUBLIC (Attach approval) <input type="checkbox"/> MUST BE RESTRICTED TO CATEGORIES INDICATED IN 3d <input type="checkbox"/> CONTAINS PUBLIC-WEB-SENSITIVE INFORMATION PER NPR 2810.1 <input type="checkbox"/> DOCUMENT DISCLOSING AN INVENTION (Complete Section 4) |
| NAME OF APPROVING OFFICIAL | TITLE OF APPROVING OFFICIAL |
| 3d. DISTRIBUTION LIMITATIONS (See instructions) | |
| <input type="checkbox"/> US GOVERNMENT AGENCIES AND US GOVERNMENT AGENCY CONTRACTORS ONLY <input type="checkbox"/> US GOVERNMENT AGENCIES ONLY <input type="checkbox"/> NASA PERSONNEL AND NASA CONTRACTORS ONLY <input type="checkbox"/> NASA CONTRACTORS AND US GOVERNMENT ONLY <input type="checkbox"/> NASA PERSONNEL ONLY | <input type="checkbox"/> DISTRIBUTION LIMITED TO US PERSONS <input type="checkbox"/> AVAILABLE ONLY WITH APPROVAL OF THE FOLLOWING ISSUING OFFICE: _____ <input type="checkbox"/> LIMITED UNTIL DATE (mm/dd/yyyy): _____ |
| 4. DOCUMENT DISCLOSING AN INVENTION | |
| <input type="checkbox"/> CHECK IF THIS DOCUMENT/PRESENTATION DISCLOSES AN INVENTION AND ROUTE TO HQ OR CENTER PATENT OR INTELLECTUAL PROPERTY COUNSEL (See instructions) | |
| I CERTIFY THAT THIS DOCUMENT MAY BE RELEASED ON (mm/dd/yyyy): _____ | |
| PATENT COUNSEL NAME | DATE |

Sample Form, cont.

| 5. BLANKET AVAILABILITY AUTHORIZATION (Optional) (See instructions) | | | |
|---|---------------------------------------|--|--------------------------------------|
| <input type="checkbox"/> I APPROVE ALL DOCUMENTS ISSUED UNDER THE FOLLOWING CONTRACT, GRANT, OR PROJECT NUMBER TO BE PROCESSED AS CHECKED IN SECTIONS 2 AND 3(a-d) I GRANT THIS AVAILABILITY AUTHORIZATION ON (mm/dd/yyyy): _____ | | | |
| <input type="checkbox"/> CONTRACT NUMBER | <input type="checkbox"/> GRANT NUMBER | <input type="checkbox"/> PROJECT NUMBER | <input type="checkbox"/> TASK NUMBER |
| APPROVING OFFICIAL | ORG CODE | E-MAIL | DATE |
| I HEREBY CHANGE THE BLANKET AVAILABILITY AUTHORIZATION DATED (mm/dd/yyyy): _____ <input type="checkbox"/> RESCINDED - FUTURE DOCUMENTS MUST HAVE INDIVIDUAL DOCUMENT AVAILABILITY AUTHORIZATIONS <input type="checkbox"/> MODIFIED - LIMITATIONS ON ALL DOCUMENTS SHOULD BE CHANGED TO CONFORM TO BLOCKS AS CHECKED IN SECTIONS 2 AND 3 | | | |
| NAME | ORG CODE | E-MAIL | DATE |
| 6. AUTHOR/ORIGINATOR VERIFICATION | | | |
| I BELIEVE THAT THIS PUBLICATION: <input type="checkbox"/> DOES CONTAIN ITAR/EAR/EXPORT-CONTROLLED, PROPRIETARY/SENSITIVE INFORMATION, AND/OR DISCLOSES AN INVENTION AND THE APPROPRIATE LIMITATION IS CHECKED IN SECTIONS 3 AND/OR 4 <input checked="" type="checkbox"/> DOES NOT CONTAIN ITAR/EAR/EXPORT-CONTROLLED, PROPRIETARY/SENSITIVE INFORMATION, NOR DOES IT DISCLOSE AN INVENTION AND MAY BE RELEASED AS INDICATED ABOVE | | | |
| NAME | ORG CODE | E-MAIL | DATE |
| Erich Franz Stocker | 610.2 | erich.f.stocker@nasa.gov | 3/13/2012 |
| 7. NASA PROJECT OFFICIAL (COTR/designated official, or Technical Monitor) / DIVISION CHIEF REVIEW OF 1 THROUGH 6 | | | |
| <input checked="" type="checkbox"/> APPROVED FOR DISTRIBUTION AS MARKED <input type="checkbox"/> NOT APPROVED (Give reason) ▶ | | REASON: | |
| NAME | TITLE | E-MAIL | DATE |
| Stephen W. Wharton | Division Chief | stephen.w.wharton@nasa.gov | 3/13/2012 |
| 8. EXPORT CONTROL ADMINISTRATOR CONFIRMATION | | | |
| <input checked="" type="checkbox"/> PUBLIC RELEASE IS APPROVED (Information is not export controlled.) <input type="checkbox"/> EXPORT-CONTROLLED LIMITATIONS IN BLOCKS 3b, 3d, AND 6 ARE APPROVED AND ASSIGNED TO THIS DOCUMENT | | <input type="checkbox"/> EXPORT-CONTROLLED LIMITATION(S) INDICATED IN SECTIONS 3b AND 3d HAVE BEEN CHANGED TO: ITAR USML CATEGORY NUMBER: _____ EAR CCL ECCN NUMBER: _____ | |
| CENTER/HQ EXPORT CONTROL ADMINISTRATOR NAME | E-MAIL | DATE | |
| Thomas A. Weisz | thomas.a.weisz@nasa.gov | 3/13/12 | |
| 9. FINAL APPROVAL BY PROGRAM MANAGER | | | |
| <input checked="" type="checkbox"/> APPROVED FOR DISTRIBUTION AS MARKED <input type="checkbox"/> NOT APPROVED (Give reason) ▶ | | REASON: | |
| DATE DOCUMENT PUBLISHED/RELEASED: _____ | | | |
| NAME | E-MAIL | DATE | |
| Peter H. Hildebrand, Director, Earth Sciences Division | peter.h.hildebrand@nasa.gov | 3/15/12 | |
| 10. DISPOSITION | | | |
| 10a. DISPOSITION (Center Optional) | | | |
| ADDITIONAL APPROVALS BY CENTER, IF APPLICABLE (OPTIONAL): | | | |
| NAME/TITLE: | E-MAIL: | DATE: | |
| NAME/TITLE: | E-MAIL: | DATE: | |
| 10b. DISPOSITION (Required) | | | |
| SEND TO CENTER DAA REPRESENTATIVE (SEE INSTRUCTIONS) | | | |
| NAME OF DAA REPRESENTATIVE | | | DATE |
| <input type="checkbox"/> SEND TO CENTER TECHNICAL PUBLICATIONS OFFICE | | <input type="checkbox"/> SEND TO NASA CENTER FOR AEROSPACE INFORMATION (CASI) <small>(e-mail: help@st.nasa.gov)</small> | |

Sample Form, cont.



GODDARD SPACE FLIGHT CENTER

GSFC STI PUBLIC DISCLOSURE EXPORT CONTROL CHECKLIST

Title: TRMM Version 7 Level 3 Gridded Monthly Accumulations of GPROF Precipitation Retrievals

Instructions – This checklist is used for the disclosures of STI, and ITAR or EAR controlled information.

For STI (scientific and technical information) disclosures subject to NPR 2200.2 (Guidelines for Documentation, Approval, and Dissemination of STI), this checklist should be forwarded with the NASA Form 1676 (NASA Scientific and Technical Document Availability Authorization (DAA)). For all other ITAR (International Traffic in Arms Regulations, 22 CFR 120-130) and EAR (Export Administration Regulations, 15 CFR 730-774) disclosures, this checklist should be forwarded with a copy of the information to the GSFC Export Control Office for review/approval. Completion of this checklist should minimize delays in approving most requests.

Background Information

The GSFC Export Control Office (Code 274) requests your assistance in assuring that your proposed disclosure (e.g., document, publication, presentation, website, photograph, or data) of NASA STI complies with the ITAR and the EAR. The NASA Export Control Program requires that every domestic and international release of GSFC STI be reviewed through the GSFC Export Control Office in accordance with the NASA Form 1676 process. Release of NASA information into a public forum may provide access to NASA technology to those countries with interests adverse to the United States. Failure to comply with the ITAR and/or the EAR may subject individuals to fines of up to \$1 million and/or up to ten years imprisonment per violation.

Generally, the export of information pertaining to the design, development, production, manufacture, assembly, operation, repair, testing, maintenance or modification of defense articles (e.g., space flight hardware, ground tracking systems, launch vehicles to include sounding rockets and meteorological rockets, radiation hardened hardware and associated hardware and engineering units for these items) are controlled by the State Department under the ITAR. The export of information with respect to ground based sensors, detectors, high-speed computers, and “dual use” (military/commercial) technology items are controlled by the Commerce Department under the EAR. A complete listing of items covered by the ITAR and the EAR can be accessed at <http://export.gsfc.nasa.gov>. If the information intended for release falls within the above categories but fits into one or more of the following exemptions, the information may be released.

EXEMPTION I – Public domain information

If your information is already in the public domain in its entirety through a non-NASA medium and/or through a NASA release previously approved by any NASA Export Control Office, the information is exempt. If the information falls into this category, you may attest that you are using this exemption by signing below.

Erich Franz Stecker 610.2
Print Name and Code

Erich Franz Stecker
Signature

3/13/2012
Date

EXEMPTION II – Scientific data

If your information pertains exclusively to the release of scientific data (e.g., data pertaining to studies of clouds, soil, vegetation, oceans, planets, stars, galaxies and the universe) without the disclosure of information pertaining to articles controlled by the ITAR or EAR, such as flight instruments, high-speed computers, or launch vehicles, the information is exempt. If the information falls into this category, you may attest that you are using this exemption by signing below.

Print Name and Code

Signature

Date

Sample Form, cont.



GODDARD SPACE FLIGHT CENTER

GSFC STI PUBLIC DISCLOSURE EXPORT CONTROL CHECKLIST *CONTINUED*

EXEMPTION III – General purpose information

If your information falls into the ITAR or EAR areas of concern as referenced above, but is offered at a general purpose or high level (e.g., poster briefs and overviews) where no detailed technical information (e.g., design, development, production, or manufacturing) pertaining to ITAR or EAR controlled items is offered, the information is exempt. If the information falls into this category you may attest that you are using this exemption by signing below.

Print Name and Code

Signature

Date

EXEMPTION IV – Software safety and assurance methodologies

If your information pertains exclusively to the release of software safety and assurance methodologies or studies, without disclosing information pertaining to articles controlled by the ITAR or EAR, the information is exempt. If the information falls into this category, you may attest that you are using this exemption by signing below.

Print Name and Code

Signature

Date

REQUEST FOR ITAR 125.4(b)(13) EXEMPTION – Technical data

If your information is not satisfied by the exemptions stated above, the information might be releasable using exemption 125.4(b)(13) of the ITAR. This exemption allows the release of ITAR controlled information into the public domain and does not require that the information be published in order to qualify. Use of this exemption is afforded only to agencies of the Federal Government. The GSFC Export Control Office will approve this exemption only after receiving assurance that such a release is a responsible action. The following guideline has been established regarding the use of this authority: The information may not offer specific insight into the design, development, production, or manufacture of an identified ITAR controlled item in sufficient detail (by itself or in conjunction with other information in the public domain) to allow potential adversaries to replicate the item, or exploit or defeat controlled U.S. technologies. All signatures of approval on NASA Form 1676 (and in the signature blocks below) expressly indicate concurrence with the responsible use of this exemption when it is requested. If you determine that you have met these criteria, you may attest your determination by signing below, and the GSFC Export Control Office will offer favorable consideration toward approving your request under this special exemption.

Print Name and Code

Signature

Date

If a NASA Form 1676 does not accompany this request, use of this exemption requires approval from a Branch-level or higher management official.

Print Name and Code

Signature

Date

The GSFC Export Control Office approves does not approve this exemption/request.

Thomas A. Weisz
Thomas A. Weisz, Code 274

[Signature]
Signature

3/13/12
Date

Center Export Administrator (CEA)

If your STI, ITAR, or EAR disclosure does not satisfy any of the above exemptions, please contact the GSFC Export Control Office for further clarification on the releasability of your information under the ITAR or EAR.

The Future-eDAA

- Web-based DAA form will be launched, testing is beginning in the next month or so and it's supposed to be launched late this year.
- It will require much more input from authors.
- It will be used to track a lot more information.

References

- NASA Form 1676, NASA Scientific and Technical Information (STI) Document Availability Authorization (DAA): http://server-mpo.arc.nasa.gov/Services/NEFS/DCs/NEF_OtherData/NF1676.pdf
- Export Control Checklist: https://gs279gdmsias.gsfc.nasa.gov/srv/GDM_SNEWDatabaseObject?document_id=21851

References, cont.

- NASA Technical Reports Server:
<http://ntrs.nasa.gov/search.jsp>
- NASA STI (CASI) website:
<http://www.sti.nasa.gov/>
- If you'd like a copy of these slides, contact me at mary.wallace@nasa.gov