

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. FROM (Agency or establishment)  
National Aeronautics and Space Administration (NASA)

2. MAJOR SUBDIVISION  
NASA STI Program

3. MINOR SUBDIVISION  
CASI

4. NAME OF PERSON WITH WHOM TO CONFER  
Patti F. Stockman, NASA Records Officer

5. TELEPHONE  
(202) 358-4787

DO NOT WRITE IN THESE SPACES (NARA use only)

JOB NUMBER  
NI-255-04-4

DATE RECEIVED  
7-13-2004

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE ARCHIVIST OF THE UNITED STATES

8/27/2004 *John Bellard*

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 9 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

DATE  
7/8/04

SIGNATURE OF AGENCY REPRESENTATIVE  
*Patti F. Stockman*

TITLE  
NASA Records Officer, NASA Headquarters, Code VE

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Scientific and Technical Information Records - miscellaneous items (See attached)</p> <p>Included, for your information, in the attachment are sub-items that aren't changing, except some to be marked as "closed" because they are no longer produced. Because sub-items around them are still valid, I will simply label out-dated sub-items as closed, rather than deleting them entirely and marking a sub-item reserved.</p> <p>The actual new items are sub-items: 7I2C 8C1(c) 9D</p>		

*cc Agency, NR NAWMD*

**TECHNOLOGY UTILIZATION FILES**

**A. PUBLICATION ORDERS, MEMORANDA, AND REPORTS FILES**

Orders, memoranda, and reports between the Technology Utilization Office and the Scientific and Technical Information Office, relating to the use of STI's services. (This includes files created both by Headquarters and Centers.)

**This is a CLOSED SERIES.**

**B. TU CONFERENCE PROCEEDINGS (ANNUAL) (HQ ONLY)**

Finished published conference proceedings maintained and located at CASI (Center for AeroSpace Information).

(Office of Primary Responsibility - NASA Headquarters, Code C)

**C. TU CLIPPING FILE (Maintained at CASI - Center for Aerospace Information)**

**This is a CLOSED SERIES.**

Files of articles appearing in technical and trade magazines on the NASA TU Program (including current and after-the-fact articles), and the transfer of space technology to private industry.

1. Clippings with no value (including those that do not directly relate to a specific project/program).
2. Clippings of TU that have value and are related to a project/program.
3. JPL ONLY: OPR
4. All other office/copies.

**D. TECHNICAL BRIEFS (TECH BRIEF)**

Office which originated the publication (OPR):

1. Headquarters

One record copy of each publication, including abstract, as located at CASI (NASA's Center for Aerospace Information).

DESTROY WHEN 2 YEARS OLD.  
<DA: N1-255-94-1> (N 23-5)

\* PERMANENT \*  
TRANSFER TO NARA IN  
10 YEAR BLOCKS WHEN 30  
YEARS OLD.  
<DA: N1-255-94-1>

DESTROY WHEN NO LONGER  
NEEDED OR WHEN 3 YEARS  
OLD, WHICHEVER IS SOONER.  
<DA: N1-255-94-1> (N 23-6)

PLACE CLIPPING IN SPINOFF  
CASE SEE ITEM I. OF THIS  
SCHEDULE.  
<DA: N1-255-94-1>

RETIRE TO LOCAL RECORDS  
STORAGE WHEN 1 YEAR OLD.  
TRANSFER TO JPL ARCHIVES  
WHEN 10 YEARS OLD. DESTROY  
WHEN NO LONGER NEEDED.  
<DA: N1-255-94-1>

DESTROY WHEN NO LONGER  
NEEDED OR WHEN 1 YEAR OLD,  
WHICHEVER IS SOONER.  
<DA: N1-255-94-1>

\* PERMANENT \*  
RETIRE TO FRC 5 YEARS AFTER  
PUBLICATION. TRANSFER TO  
NARA WHEN 20 YEARS OLD.  
<DA: N1-255-94-1> (N 23-7)

*Previous  
authority  
applies:  
N1-255-94-1*

<u>AFS #</u>	<u>ITEM</u>	<u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u>	<u>RETENTION</u> <u>&lt;Authority&gt;</u>
2130	7	<p>2. Centers: Innovator's working papers (including patent) relating to the publication, such as feeder reports, background materials, interim reports, notes, correspondence, together with related showing inception, scope, and background.</p> <p>3. All other offices/copies.</p> <p>E. <u>TECHNICAL SUPPORT PACKAGE (TSP) FILES</u> TSP files typically consist of basic technology that has not yet been transferred to a working/private-public organization. Files consist of a collection of technical documentation related to and describing aspects of the innovation reported in a NASA Tech Brief (Item D. above), including reproducible master copy (if any) and exclusive of duplicated copies of the TSP (if this is a patent, it is the basic documentation).</p>	<p>RETIRE TO FRC AT THE SAME TIME AS THE RELATED CASE FILES. DESTROY WHEN 10 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN REFERENCE VALUE CEASES OR WHEN 5 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 10 YEARS OLD. &lt;DA: N1-255-94-1&gt; (N 23-3)</p>
2131		<p>F. <u>TU DISSEMINATION FILES</u> Preliminary, progress, and final reports of publications prepared or issued by contractors operating a Regional Technology Transfer Center (RTTC); COSMIC; or TAC, in cooperation with NASA and other contractors assisting the Technology Utilization Program dissemination efforts, and related correspondence.</p> <p>1. Headquarters - TU Office/Program</p> <p>2. All other offices/copies.</p>	<p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD. &lt;DA: N1-255-94-1&gt; (N 23-4)</p> <p>DESTROY WHEN 2 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p>
2170		<p>G. <u>NEW TECHNOLOGY FILES</u></p> <p>1. REPORTS These are new technology reports submitted to Technology Utilization Offices by in-house personnel or by contractors in accordance with the provisions of the contract's new technology clause (an annual report). (a) HQ and all other NASA Centers.  (b) JPL ONLY. This is a CLOSED SERIES.</p>	<p>RETIRE TO FRC 3 YEARS AFTER RECEIVED. DESTROY WHEN 5 YEARS OLD. &lt;DA: N1-255-94-1&gt; (N 23-2)</p> <p>SEE DISPOSITION ABOVE.</p> <p>RETIRE TO LOCAL RECORDS STORAGE 3 YEARS AFTER RECEIVED. TRANSFER TO JPL ARCHIVES WHEN 10 YEARS OLD. DESTROY WHEN NO LONGER NEEDED. THESE RECORDS CANNOT BE RETIRED TO AN FRC. &lt;DA: N1-255-94-1&gt;</p>

Previous  
authority  
applies:  
N1-255-94-1

<u>AFS #</u>	<u>ITEM</u>	<u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u>	<u>RETENTION</u> <u>&lt;Authority&gt;</u>
2170	7	<p>2. CONTRACT ADMINISTRATION OF CLAUSE</p> <p>Correspondence and documents, including copies of contracts, pertaining to administration of the new technology clause in contracts, especially to reporting and processing of innovations required to be reported.</p> <ul style="list-style-type: none"> <li>⊗ GSFC ONLY - This item applies to the Patent Office.</li> <li>⊗ HQ and all other NASA Centers.</li> </ul> <p>H. <u>TU APPLICATIONS FILES</u></p> <p>1. APPLICATION TEAM</p> <p>Reports, correspondence, minutes of meetings, etc. produced by the application team in identifying public sector opportunities for adaptive engineering.</p> <p>2. APPLICATION ENGINEERING PROJECT CASE FILES</p> <p>These files are maintained by the Program Manager who is located at NASA HQ, Code C, and consist of RTOP summaries, interim reports; and summaries in narrative format.</p> <p><b>NOTE:</b> Case files that are located at the respective lead installation and should be retired under Schedule 8, R&amp;D Project Case Files as a PERMANENT record series.</p> <p>I. <u>SPINOFF FILES</u></p> <p>1. SPINOFF CASE FILE</p> <p>Files are maintained by year and consist of research files which contain clippings, correspondence with companies, product literature, and interview notes and any other similar documentation or related materials.</p> <p>2. SPINOFF PUBLICATION</p> <p>(a) 1976 - 1990 One original finished/published document <b>This is a CLOSED SERIES.</b></p> <ul style="list-style-type: none"> <li>⊗ 1976 - 1986</li> <li>⊗ 1987 - 1990</li> </ul> <p>(b) 1991 - Continuing <b>This is a CLOSED SERIES.</b></p>	<p>RETIRE TO FRC 1 YEAR AFTER CONTRACT CLOSEOUT. DESTROY 10 YEARS AFTER FINAL PAYMENT OR CLOSEOUT. &lt;DA: N1-255-94-1&gt; (N 23-1)</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 20 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p><b>* PERMANENT *</b> TRANSFER TO NARA AS CITED BELOW:</p> <p>TRANSFER JANUARY 1, 1997. TRANSFER JANUARY 1, 2000. &lt;DA: N1-255-94-1&gt;</p> <p><b>* PERMANENT *</b> TRANSFER ONE COPY ANNUALLY TO NARA. &lt;DA: N1-255-94-1&gt;</p>
	New	(c) 2003 - Continuing	Transfer to NARA with STI publications of Item 8C1(c).

Previous authority applies. N1-255-94-1

<u>AFS #</u>	<u>ITEM</u>	<u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u>	<u>RETENTION</u> <Authority>
2220	8	<p><b>SCIENTIFIC AND TECHNICAL INFORMATION PUBLICATIONS AND MATERIALS</b></p> <p><b>A. <u>PUBLICATIONS AND MATERIALS MAINTAINED BY OPR</u></b></p> <p>Published and processed documents prepared by NASA, such as technical reports, historical volumes, and informational materials.</p> <ol style="list-style-type: none"> <li>The office of primary responsibility will maintain one copy of each published or processed document together with related background papers reflecting a basis for the issuance or that contribute to the content of the publication, including coordination papers and comments.</li> </ol> <p>NOTE: It is the responsibility of the OPR to send/submit one record copy to CASI. See Sub-element C. of this Item.</p> <ol style="list-style-type: none"> <li>Working papers such as notes, rough drafts, background reports, and other such papers (exclusive of those described under Item 1.)</li> <li>All other offices/printed copies.</li> </ol> <p><b>B. <u>PUBLICATIONS AND MATERIALS NOT HELD AT CASI (CENTER FOR AEROSPACE INFORMATION)</u></b></p> <p>Record copy if maintained in duplicating or distribution unit, i.e., Education Office; Public Affairs; Mission Office(s), of each pamphlet, report, leaflet, poster, chart, booklet, regulation or similar or other published or processed documents, or the last manuscript report if not published.</p> <ol style="list-style-type: none"> <li>Record copy with the supporting papers which document the inception, scope, and purpose. (This item does not cover copies and related material retained in originating office.)</li> <li>All other office/copies.</li> </ol> <p><b>C. <u>PUBLICATIONS AND MATERIALS HELD/MAINTAINED AT CASI</u></b></p> <p>Record copy of scientific and technical publications, such as Technology Surveys, Technical Reports, Technical Notes, Technical Memoranda, Contractor Reports, and Special Publications. These are examples only and records should not be limited to this selection.</p>	<p>RETIRE TO FRC AT END OF SECOND FISCAL YEAR AFTER DOCUMENT IS PUBLISHED. DESTROY WHEN 10 YEARS OLD. &lt;DA: N1-255-94-1&gt; (N 1-28)</p> <p>DESTROY 1 YEAR AFTER DOCUMENT IS PUBLISHED. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN REFERENCE VALUE CEASES. &lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT * TRANSFER TO NARA WHEN 10 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN SUPERSEDED, OBSOLETE, NO LONGER NEEDED, OR WHEN 3 YEARS OLD, WHICHEVER IS LATER &lt;DA: N1-255-94-1&gt;</p> <p><i>Previous authority applies: N1-255-94-1</i></p>

<u>AFS #</u>	<u>ITEM</u>	<u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u>	<u>RETENTION</u> <Authority>
	8	<p>1. Office of primary responsibility (CASI).</p> <p>(a) Microfiche copies <b>This is a CLOSED SERIES. Microfiche production discontinued at the end of 2002. For Post-2002 records see Item 8.1.c</b></p> <p>(1) MASTER</p> <p>One silver original and one diazo copy. (Starting - Post 1993)</p> <p>(2) ALL OTHER COPIES</p> <p>(b) Paper copy. <b>This is a CLOSED SERIES.</b></p> <p>(1) Pre-1958</p> <p>(2) 1958 - 1978 (That have not been microfilmed.)</p> <p>(3) 1979 - 1993 (That have not been microfilmed.)</p> <p>(4) 1994 to present that have not been microfilmed.</p> <p>(5) Paper copies that have been microfilmed dated 1958 to present.</p>	<p>* PERMANENT * TRANSFER TO NARA WITHIN 1 YEAR AFTER FILMING &lt;DA: N1-255-94-1&gt; (N 23-7)</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN REFERENCE VALUE CEASES. RECORDS CANNOT BE RETIRED TO AN FRC. &lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT * A SEPARATE SF-115 MUST BE SUBMITTED TO NARA AFTER COMPLETION OF COMPREHENSIVE INVENTORY IN FY-1996. &lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT * TRANSFER TO NARA WHEN 25 YEARS OLD (2003) OR SOONER. &lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT * TRANSFER TO NARA WHEN 10 YEARS OLD (2003) OR SOONER. &lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT * TRANSFER TO NARA WHEN 1 YEAR OLD. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY (AFTER VERIFICATION OF MICROFILM) WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 60 YEARS OLD, WHICHEVER IS SOONER. RECORDS CANNOT BE RETIRED TO AN FRC. &lt;DA: N1-255-94-1&gt;</p>

Previous  
authority  
applies:  
N1-255-94-1

<u>AFS #</u>	<u>ITEM</u>	<u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u>	<u>RETENTION</u> <u>&lt;Authority&gt;</u>
	8  New	(c) Portable Document Format (PDF) Searchable Image Exact (or Other NARA Approved Electronic Format) Copies.  2003 - Continuing	*PERMANENT*  TRANSFER TO NARA ANNUALLY IN ACCORDANCE WITH NARA APPROVED TRANSFER GUIDANCE.
/		<p>D. <u>DOCUMENT AVAILABILITY AUTHORIZATION (DAA) RECORDS</u></p> <p>1. Papers submitted for approval of and released through scientific and technical organizations EXTERNAL to NASA.</p> <p>(a) Documentation consists of the original paperwork submitted for each paper:</p> <ul style="list-style-type: none"> <li>⊙ NF 1676 (or old FF427), "NASA Scientific and Technical Document Availability Authorization (DAA)";</li> <li>⊙ Abstract of the paper cited on the NF 1676 (or old FF427);</li> </ul> <p><u>JSC ONLY</u></p> <p>In addition to the above documentation, JSC authors are required to provide:</p> <ul style="list-style-type: none"> <li>⊙ JSC Form 548, "Approval and Funding for Technical Presentations, Technical Papers, and Journal Articles for External Audiences."</li> </ul> <p>(b) All other copies/centers.</p> <p>2. Papers submitted for publication in the NASA Scientific and Technical Reports Series.</p> <p>(a) Records document both Center and NASA Headquarters approval of reports by civil servant and contractor authors for publication in the NASA STI Report Series. Documentation consists of:</p> <ul style="list-style-type: none"> <li>⊙ FF427 (DAA);</li> <li>⊙ Report Documentation Page (SF 298); or an Abstract of; or an Introduction to the Report;</li> </ul> <p><u>JSC ONLY</u></p> <p>In addition to the above, JSC authors (as opposed to a contractor author) are required to provide:</p> <ul style="list-style-type: none"> <li>⊙ JSC Form 155, "Processing Scientific &amp; Technical Publications."</li> </ul>	<p>DESTROY 2 YEARS AFTER MEETING OR PUBLICATION DATE CITED ON THE FF427 (DAA FORM) OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE USE OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY NO LATER THAN 5 YEARS AFTER DATE OF PUBLICATION OR WHEN 6 YEARS OLD, WHICHEVER IS SOONER. &lt;DA: N1-255-94-1&gt;</p>

Previous authority applies:  
N1-255-94-1

<u>AFS #</u>	<u>ITEM</u>	<u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u>	<u>RETENTION</u> <u>&lt;Authority&gt;</u>
	8	<p>(b) All other copies/centers.</p> <p><u>E. AUTHOR'S FILES/RECORDS</u></p> <p>1. <u>AUTHOR'S WORKING PAPERS</u></p> <p>Working papers relating to the publication, such as feeder reports, background materials, interim reports, notes, correspondence, and related papers.</p> <p>2. <u>SPECIAL AUTHOR FILES (GRC)</u></p> <p>(a) Edited manuscript copy, galley proofs, blue lines, and dummy layouts for each technical report.</p> <p>(b) Camera-ready copy of text and figures and related negatives, supporting papers which document the inception, scope, and purpose, including editorial notes.</p> <p><u>F. EDITED MANUSCRIPT FILES</u></p> <p>1. <u>HQ STI FILES</u></p> <p>(a) Edited manuscript copy, galley proofs, blue lines, and dummy layouts for each publication.</p> <p>(b) Camera-ready copy of Special publications, including original art, figures, cover design, and title page.</p> <p>2. <u>E-FILES (GRC STI FILES)</u></p> <p>(a) Edited manuscript copy, galley proofs, blue lines, and dummy layouts for each technical report.</p> <p>(1) 1981-1983</p> <p>(2) 1984-1989</p> <p>(3) 1990-1993</p> <p>(4) 1994 and Continuing.</p>	<p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE USE OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 15 YEARS OLD &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 2 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY 20 YEARS AFTER SEPARATION, TRANSFER, OR TERMINATION OF EMPLOYEE. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 2 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p>TRANSFER TO FRC 6 MONTHS AFTER DOCUMENT IS PUBLISHED. DESTROY WHEN 3 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 1996. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 1997. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 1998. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 2 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p>

Previous  
authority  
applies:  
N1-255-94-1



<u>AFS #</u>	<u>ITEM</u>	<u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u>	<u>RETENTION</u> <u>&lt;Authority&gt;</u>
	8	<p>(b) Camera-ready copy of text, figures, related negatives, and supporting papers which document the inception, scope, and purpose, including editorial notes.</p> <p>(1) 1981-1983</p> <p>(2) 1984-1989</p> <p>(3) 1990-1993</p> <p>(4) 1994 and Continuing.</p> <p>G. <u>OTHER STI PUBLICATION FILES</u></p> <p>1. Other locally published reports NOT included in the "formal" series list above.</p> <p>2. GLENN - Locally published Reports NOT included in FORMAL series.</p> <p>(a) B-FILES</p> <p>(1) Edited manuscript copy, galley proofs, blue lines, and dummy layouts for each technical report.</p> <p>(2) Camera-ready copy of text, figures, related negatives, and supporting papers, which document the inception, scope, and purpose, including editorial notes.</p> <p>(b) RECURRING B-FILES</p> <p>(1) See Description in a.(1) above.</p> <p>(2) See Description in a.(2) above.</p>	<p>DESTROY JANUARY 1996. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 1999. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 2003. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 10 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN REFERENCE VALUE CEASES. &lt;DA: N1-255-94-1&gt; (N 23-8)</p> <p>DESTROY 2 YEARS AFTER PUBLICATION. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 10 YEARS OLD. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY 2 YEARS AFTER PROGRAM TERMINATION, CANCELLATION, COMPLETION, UPON FACILITY CLOSURE, OR WHEN 5 YEARS OLD, WHICHEVER IS LATER. &lt;DA: N1-255-94-1&gt;</p> <p>DESTROY 10 YEARS AFTER PROGRAM TERMINATION, CANCELLATION, COMPLETION, UPON FACILITY CLOSURE, OR WHEN 15 YEARS OLD, WHICHEVER IS LATER. &lt;DA: N1-255-94-1&gt;</p>

Previous  
authority  
applies:  
N1-255-94-1

<u>AFS #</u>	<u>ITEM</u>	<u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u>	<u>RETENTION</u> <Authority>
	8	<p>(c) PROJECT-RELATED FILES</p> <p>(1) See Description in a.(1) above.</p> <p>(2) See Description in a.(2) above.</p> <p>H. <u>ALL OTHER OFFICES/COPIES</u></p>	<p>DESTROY 2 YEARS AFTER PROJECT TERMINATION, CANCELLATION, OR COMPLETION. &lt;DA: NI-255-94-1&gt;</p> <p>DESTROY WHEN REFERENCE VALUE CEASES OR WHEN 20 YEARS OLD, WHICHEVER IS SOONER. &lt;DA: NI-255-94-1&gt;</p> <p>DESTROY WHEN REFERENCE VALUE CEASES OR WHEN NO LONGER NEEDED. &lt;DA: NI-255-94-1&gt;</p>
2220	9	<p><b>STI DATABASE ACCESSION SERIES – ELECTRONIC</b></p> <p>A. <u>STAR, IAA, LSTAR, CSTAR</u></p> <p>These files consist of documentation and material related to the STI databases: Scientific and Technical Aerospace Reports (STAR), International Aerospace Abstracts (IAA), Limited Scientific and Technical Aerospace Reports (LSTAR). These are the on-line bibliographic files to the NASA STI accessioned series.</p> <p><b>This is a CLOSED SERIES.</b></p> <p>B. <u>RECON/ARIN</u></p> <p>RECON, ARIN, or any other library management or bibliographic information system currently supporting CASI or any other NASA libraries, or any that will be developed EXCLUDING full text or image. (This is RESTRICTED to NASA only and does not include other organizations full-text databases, i.e., on-line newspapers, or reference documents.)</p> <p><b>This is a CLOSED SERIES.</b></p> <p>C. <u>IAA / IAA ALTERNATE FILES</u></p> <p>These files consist of electronic records and documentation related to the STI databases. [International Aerospace Abstracts (IAA)]</p> <p><b>This is a CLOSED SERIES.</b></p>	<p><b>* PERMANENT *</b> PRODUCE IN TAPE FORMAT AND TRANSFER TO NARA EVERY 5 YEARS BEGINNING IN 1995. &lt;DA: NI-255-94-1&gt;</p> <p>DELETE WITH RELATED RECORDS OR WHEN THE AGENCY DETERMINES THAT THEY ARE NO LONGER NEEDED FOR ADMINISTRATIVE, LEGAL, AUDIT, OR OTHER OPERATIONAL PURPOSES, WHICHEVER IS LATER. [GRS 20-9]</p> <p>DESTROY WHEN REFERENCE VALUE OR AGENCY NEED CEASES. &lt;DA: NI-255-94-1&gt;</p>
	New	<p>D. <u>NASA STI DATABASE</u></p> <p>Metadata records that contain abstracts and summarize record copy materials transferred to CASI under Item 8.c.1.c.</p>	<p><b>*PERMANENT*</b> TRANSFER TO NARA ANNUALLY</p>

Previous  
authority  
applies:  
NI-255-94-1

Attachment A: Technical Evaluation of Potentially Permanent PDF Records

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**Basic Descriptive Information**

1. Title of records: NASA Scientific and Technical Information
2. Organization unit responsible for creating the records: NASA Center for Aerospace Information
3. Legal authority which specifically authorizes or requires the creation or maintenance of the records: NASA Procedures and Guidelines NPG: 1441D NASA Records Retention Schedule AFS 2220 Item 8C
4. Are there restrictions on access? If yes, please describe. Can the agency make a public use version of the records? Is the agency aware of the security implications associated with PDF files? No
5. Arrangement: By year by document identifier
6. What is the content of the records and which agency programs does it support? Scientific and Technical Information. It supports the NASA STI Program.
7. Unit of analysis: (one record is created for each...) What is the unique identifier for each record (e.g., case file number, etc)? Each record will include a unique Document Identifier Number
8. Inclusive dates of records: Starting in 2004 there will be an annual transmittal of the previous year's accessions of all the NASA unlimited and unclassified documents in PDF Searchable Image Exact.
9. Number of records: The number of records will not be known until the transmittal tape is created. The number of records per year is expected to be between 5,000 and 8,000.
10. File size of proposed transfer in megabytes or gigabytes: At around 1.75 megabytes per record, the file size of the transfer is between 8.75 gigabytes and 14 gigabytes.
11. Volume (annual accumulation): At around 1.75 megabytes per record, the file size of the transfer is between 8.75 gigabytes and 14 gigabytes.
12. Are all the records in PDF or are the records in mixed formats? What are the other formats? How are the records related and how are they linked? All records are in PDF Searchable Image Exact.
13. When are the records eligible for transfer to NARA? Every January the prior year's accumulation of STI records will be eligible for transfer.

Attachment A: Technical Evaluation of Potentially Permanent PDF Records

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PDF Specific Questions

14. PDF file specification: version 1.0 1.1 (1.2) (1.3) (1.4) (1.5) or other \_\_\_\_\_.
15. Are links to external information included in the PDF records? If yes, is the linked information considered a necessary part of the permanent record? If yes, the linked information will have to be transferred with the records. (See Section 3.2.2.1 of the NARA PDF transfer instructions) No links to external information are included.
16. Are there any comments or annotations on the records? Do they enhance the value and affect the appraisal of the records? If yes, the comments or annotations will have to be transferred with the records. (Section 3.2.2.1) No.
17. Are there objects that are attached to the PDF document (e.g., MS Word files, MS Excel files, etc.)? If yes, please describe formats, volume. (Section 3.3) No.
18. Are keyed form data contained within the PDF records? If so, is it part of the PDF file or is it in a corresponding database, or both? [Note: form data can be exported from a PDF document and stored as a .FDF file. These data could be imported into a database]. No.

PDF Guidance Requirements

19. Do the PDF records comply with the following sections of NARA's PDF transfer instructions? If not, please explain the deficiencies. Could these issues be corrected by the agency before transfer?
- a. Do the PDF records contain any security settings? If yes, please describe. (Section 3.2.1) No.
  - b. Can the agency deactivate all security settings for documents created after April 1, 2004? (Section 3.2.1.) N/A
  - c. If the links were determined to be part of the permanent record during the appraisal, how will the agency transfer the linked documents, files or sites? (Section 3.2.2) N/A
  - d. Are keyed form data records being transferred as part of the PDF file or in a separate database or information system? (Section 3.2.2) No.
  - e. Do the PDF records contain embedded fonts? If yes, has the agency embedded all fonts, including the "base 14"? If not, can the agency embed the required fonts prior to transfer? (Section 3.3.1) No.

# NARA Staff Guidance for the Appraisal of Portable Document Format (PDF) Records

## Attachment A: Technical Evaluation of Potentially Permanent PDF Records

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- f. Do scanned images of textual paper records converted to PDF adhere to the requirements in NWM 02.2003, MEMORANDUM TO AGENCY RECORDS OFFICERS: Expanding Acceptable Transfer Formats: Transfer Instructions for Scanned Images of Textual Records, dated December 23, 2002? (Section 3.4.1) Yes.
- g. Did the OCR process use compression to reduce file size? No. If yes, what process was used? Was the compression method lossless (i.e., no loss of data) or lossy (i.e., involves some data loss)? (Section 3.4.2)
- h. Have the PDF records been compressed or aggregated for transfer? (Section 4.2) No.

### Finding Aids and/or Related Records

- 20. Are there any finding aids, indexes, or metadata for the PDF records? What is the format? Are they scheduled? Yes, a file containing the document identifier and the title will be included. This can be used as a finding aid.
- 21. Do the scanned or image records contain embedded searchable text based on Optical Character Recognition (OCR)? Yes. If yes, are there finding aids created from the OCR'd text? No. If yes, was there any "clean up" performed on the OCR'd text?
- 22. Are there any external applications or executable programs used to navigate either within large PDF records or between multiple PDF records maintained as a collection? No. If yes, describe the application and how it is used. Can the records be viewed independent of the application? If not, can the application be transferred with the records in an approved format?

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