

Wheeler, Carissa Smith (LARC-H104)

From: Heimerl, N Lynn (LARC-B7)
Sent: Monday, April 22, 2013 11:38 AM
To: Wheeler, Carissa Smith (LARC-H104)
Cc: Heimerl, N Lynn (LARC-B7)
Subject: FW: HQ Request - Item 2 on List

Importance: High

From: Heimerl, N Lynn (LARC-B7)
Sent: Tuesday, March 19, 2013 2:14 PM
To: Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]
Cc: Heimerl, N Lynn (LARC-B7); Kamenitzer, Eric E. (LARC-B7)[Chugach Federal Solutions, Inc.]; Johansen, Laurie W. (LARC-B7)
Subject: HQ Request
Importance: High

Ann:

I have been asked by HQ to determine how long it would take and what the cost would be to go through the NASA documents on NTRS to ensure that only those that have a NF-1676 (or an earlier version of it IF there is an export control signature) remain on NTRS.

I know that there is no current way to search for NF-1676s other than manually and no way to determine in the DAA field if it is a NF-1676 or an older version (with or without an export control signature), so I believe this would be a document by document manual request.

[By the way, I have elevated all of this to our Agency senior management]

Regards,

Lynn

Wheeler, Carissa Smith (LARC-H104)

From: Heimerl, N Lynn (LARC-B7)
Sent: Monday, April 22, 2013 11:39 AM
To: Wheeler, Carissa Smith (LARC-H104)
Cc: Heimerl, N Lynn (LARC-B7)
Subject: FW: Estimate on NTRS Item 3
Attachments: HQ Request; NTRS Reinstatement Proposal_032113.pdf

Importance: High

-----Original Message-----

From: Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]
Sent: Thursday, March 21, 2013 12:35 PM
To: Heimerl, N Lynn (LARC-B7); Johansen, Laurie W. (LARC-B7)
Cc: Genuardi, Michael (LARC-B7)[Chugach Federal Solutions, Inc.]; Kamenitzer, Eric E. (LARC-B7)[Chugach Federal Solutions, Inc.]
Subject: RE: Estimate on NTRS
Importance: High

Lynn - Chugach proposes that NTRS be brought back online using a 3-phased approach as discussed in the attached document. We describe each phase and its estimated number of records, the timeframe to reinstate and cost. Phase 2 is the review of documents on the NTRS with 1676 or equivalent forms for which you asked for a cost ROM. Eric, Mike and I will address any questions you have at our 2:30 tag-up today.

Ann E. Dixon, PMP
Chugach Federal Solutions, Inc.
Program Manager, NASA CASI contract
7115 Standard Drive, Hanover, MD 21076
Office: 443-757-5813; Cell: 703-623-6473; Fax: 443-757-5814

-----Original Message-----

From: Heimerl, N Lynn (LARC-B7)
Sent: Wednesday, March 20, 2013 7:03 PM
To: Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]
Cc: Heimerl, N Lynn (LARC-B7)
Subject: Estimate on NTRS

Ann:

I apologize; I know we are throwing a lot at you right now, but I was just notified that I need to give HQ an estimate on time and cost to get NTRS back up (meaning with only those documents with NF-1676s).

Can you get me something by mid-afternoon or so, please?

Thanks.

Good Morning Jeff,

The contractor has finished the review of 36,591 documents that were on NTRS with a DAA [NF-1676]. Of that set, they have confirmed that 31,511 (86%) of the DAA's contained the Export Control approval to release to the public.

These will be reinstated to NTRS. In addition, there is an estimated 815,578 records that are of various flavors (516,122 are NIX records that are metadata with a link to the image that resides at the NASA Centers; the remainder are a variety of records that are without full-text or records with full-text that don't require a DAA, e.g., Open Literature of journal articles, preprints, etc., Spinoff Articles, published Tech Briefs, JPL Documents released on their public server, Issued NASA patents, general awareness publications, NACA documents that have been approved for release, and a few other types of records). Once we go back up on April 30 (earlier if possible) there will be an estimated 847,089 records reinstated. We will have a more firm number once the contractor re-indexes.

Those documents that do not have a DAA will have to be reviewed by Export Control (either at HQ or at the originating Center) before they can be re-instated. There are approximately 5,000 documents from the documents referred to above that will need a review. In addition, there are approximately 248,000 documents that have full-text and no DAA or they have a pre-1997 Authorization Form that requires review by Export Control.

This is the next phase of this process and STIPO will be working with HQ Export Control to develop a plan to get all of those reviewed so that they can be re-instated.

Let me know if you need anything else.

Thank you
Laurie [Johansen]

NTRS REINSTATEMENT PROPOSAL: 3/21/2013

Phase Number and Description	Estimated Number of Records	Estimated Reinstatement Date	Chugach Cost
<p>Phase 1: Records without full-text and records with full-text that don't require DAA forms per the 1/22/13 Dissemination Policy. These include:</p> <ul style="list-style-type: none"> • Open literature (journal articles, reprints, conference papers and proceedings) • Spinoff articles • Tech Briefs (if published) • JPL documents released on their Public Server or website • Issued NASA patents (not applications) • NP's (NASA Publications; a general awareness type of publication), EP's, Congressional/Presidential Reports • NACA documents on the spreadsheet that Tim Woods, ECA, approved (this is a small subset of the entire NACA collection) • STI from other Federal agencies • E-Books in the public domain • ASK magazine articles • NIX records • Items in certain basic research areas such as astronomy, astrophysics, planetary and solar, life sciences, etc. (CASI would work with STIPO to determine the categories). 	820,000	Within two weeks after STIPO authorization to proceed.	No cost
<p>Phase 2: Records with full-text and DAA's (1676 and equivalent) that require a CASI verification to confirm that in DAA block 8 (Export Control Administrator Confirmation) that the "Public Release is Approved" box is checked and there is a signature in the "Center/HQ Export Control Administrator Name" box.</p>	37,408	May 31, 2013 (assumes a May 1 start)	\$37,023
<p>Phase 3: Records with full-text and no DAA or a pre-1997 Authorization Form that requires review by the Export Control Office</p>	248,000	On-going as CASI receives reviewed items from Export Control (NOTE: CASI will release these records directly to NTRS as appropriate without an internal review).	No cost

Wheeler, Carissa Smith (LARC-H104)

From: Heimerl, N Lynn (LARC-B7)
Sent: Monday, April 22, 2013 11:45 AM
To: Wheeler, Carissa Smith (LARC-H104)
Cc: Heimerl, N Lynn (LARC-B7)
Subject: FW: IMPORTANT - NTRS - Bringing it Back Online Item 6

From: Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]
Sent: Monday, April 01, 2013 3:34 PM
To: Heimerl, N Lynn (LARC-B7)
Subject: RE: IMPORTANT - NTRS - Bringing it Back Online

Yes, thanks so much.

Ann E. Dixon, PMP
Chugach Federal Solutions, Inc.
Program Manager, NASA CASI contract
7115 Standard Drive, Hanover, MD 21076
Office: 443-757-5813; Cell: 703-623-6473; Fax: 443-757-5814

From: Heimerl, N Lynn (LARC-B7)
Sent: Monday, April 01, 2013 3:33 PM
To: Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]
Cc: Heimerl, N Lynn (LARC-B7)
Subject: FW: IMPORTANT - NTRS - Bringing it Back Online

Ann:

So the issue is that the form has to have an export control approval and signature.

Hope that this clarifies.

Regards,

Lynn

From: Hall, John F. (HQ-TH000)
Sent: Monday, April 01, 2013 3:17 PM
To: Heimerl, N Lynn (LARC-B7)
Cc: Flynn, David Thomas. (HQ-TH000); Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]; Kieffer, Margaret (HQ-TH000); Condes, Albert (HQ-TA000)
Subject: RE: IMPORTANT - NTRS - Bringing it Back Online

Yes, Ma'am. Thanks.

JFH.

From: Heimerl, N Lynn (LARC-B7)
Sent: Monday, April 01, 2013 9:17 AM
To: Hall, John F. (HQ-TH000)
Cc: Flynn, David Thomas. (HQ-TH000); Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]
Subject: IMPORTANT - NTRS - Bringing it Back Online
Importance: High

Hi, John:

My understanding is that any version of the NF-1676 form that has an export control approval and signature showing there was an export control review is acceptable.

Do you concur, please?

Thanks.

Regards,

Lynn

From: Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]
Sent: Monday, April 01, 2013 8:21 AM
To: Heimerl, N Lynn (LARC-B7)
Subject: RE: NTRS - Bringing it Back Online
Importance: High

Good morning, Lynn. Hope you had a nice weekend.

I just wanted to remind you about this outstanding issue. Mike, Jen and Tony worked over the weekend to do the prep work for this project and there's going to be a kick-off mtg @ 10am today. As soon as it's over, our CM staff will begin work on the phase 2 review. It would be great to have an answer by then so we don't have to put in a place a temporary work-around.

Ann E. Dixon, PMP
Chugach Federal Solutions, Inc.
Program Manager, NASA CASI contract
7115 Standard Drive, Hanover, MD 21076
Office: 443-757-5813; Cell: 703-623-6473; Fax: 443-757-5814

From: Heimerl, N Lynn (LARC-B7)
Sent: Friday, March 29, 2013 2:43 PM
To: Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]

Cc: Heimerl, N Lynn (LARC-B7)
Subject: RE: NTRS - Bringing it Back Online

Ann:

I have not heard back from John Hall but he may be in Easter break.

Hopefully, you folks can begin with locating the actual NF-1676s with the export control approvals and public availability as a start? I will get your clarification asap once he responds but want to be sure we completely understand his requirements.

Hope you have good Easter.

Thanks.

Best regards,

Lynn

From: Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]
Sent: Friday, March 29, 2013 11:31 AM
To: Heimerl, N Lynn (LARC-B7)
Subject: RE: NTRS - Bringing it Back Online

Lynn – Before we begin the review, I want to confirm two points.

1. Our review will confirm the existence of two things:
 - a. There is a name or signature in block 8 (Export Control Review) of the 1676
 - b. The "Public Release is Approved" block has been checked. This is what signifies "Export Control approval".

2. You previously informed us that the following 1676 equivalents would be acceptable for new STI processing. Are they acceptable for this project?
 - i. NF1676 (Hardcopy versions ca 1997, 2001, 2005 and 2010)
 - ii. NF1676-A (Agency E-DAA version A)
 - iii. NF1676-B (Agency E-DAA version B)
 - iv. C22 (Versions ca1997 forward)
 - v. LF99 (Hardcopy ca1999, Electronic ca2000)
 - vi. Langley NF1676L (Electronic ca2010 to present)
 - vii. JSC 548 (Hardcopy ca2000)
 - viii. JSC 548 (Electronic ca2006)
 - ix. JSC 1676 (Electronica ca2007 to present)

Note, following are the older versions of the forms which you said previously were not acceptable and therefore we will not accept these for this project.

- x. NASA Form 427 – This form immediately predates the modern NF1676 and has the title "Document Availability Authorization".
- xi. Facility Form 545 Document Release Form

- xii. [Facility Form 864 Blanket Release Form](#)
- xiii. [NASA Form C22 Technical Publications Approval Form](#) [*Note: Some versions of the C22 prior to 1997 do contain a valid Export Control approval and can be used as a valid DAA. See Lead staff if there are questions.*]
- xiv. [NASA Office of Scientific and Technical Information Document Transmittal Form](#) (several versions have been encountered – ca1962 and ca1963)
- xv. [Center Specific forms – Other](#) (older) form of Center dissemination approval
- xvi. [Email or Other Written Verification](#) - Notices from a Center that the document has been previously released and to whom. Most of these email notifications do not have Export Control signoff. If in doubt, see Lead staff.

Please confirm or correct our understanding. Thanks,

Ann E. Dixon, PMP
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From: Heimerl, N Lynn (LARC-B7)
Sent: Friday, March 29, 2013 9:33 AM
To: Dixon, Ann E. (LARC-B7)[Chugach Federal Solutions, Inc.]
Cc: Kamenitzer, Eric E. (LARC-B7)[Chugach Federal Solutions, Inc.]; Johansen, Laurie W. (LARC-B7)
Subject: NTRS - Bringing it Back Online
Importance: High

Hi, Ann:

If you could have CASI begin on the NTRS review project as soon as possible, we would appreciate it.

CASI shall review the existing NASA and NACA full-text documents on NTRS to determine if they have a current NF-1676 with an export control approval and signature or if they fall in the approved categories below. No previous versions of the NF-1676 may be used.

CASI shall notify STIPO when this review has been completed. STIPO will then certify to the Agency Export Control Administrator that this review has been done and we comply and once ECA approves, NTRS can come back online. All other documents that do not meet the above criteria shall remain in NA&SD restricted to US Government Agencies and US Government Contractors.

This summarizes what we currently have approval for for NTRS.

- Any documents with a NF-1676 (NOT earlier versions) with an export control approval and signature.
- NACA documents from the Tim Woods spreadsheet
- Spinoff articles
- Tech Briefs (only if published)

- JPL documents from their TRS or public website
- NPs (NASA Publications)
- EPs
- E-Books
- ASK magazine article
- Metadata (just got an ok from John Hall 5 minutes ago)

We do **NOT** currently have approval for:

- NIX (I know we only have metadata but that links back to the image at the Centers; we have been told that if the image is STI, it requires a NF-1676; if not, it is ok. Issue is having to make that determination.
- Open literature – UNLESS there is a valid NF-1676
- NASA STI from other agencies, UNLESS THERE IS A VALID NF-1676
- Items in certain basic research areas
- NASA SP-4000 (unless they have a NF-1676 with ECA approval)
- Videos (if the videos are not STI, they can be put back on; however, if they are STI, they require a NF-1676)

Please let me know if you would like to discuss.

Thanks.

Regards,

Lynn