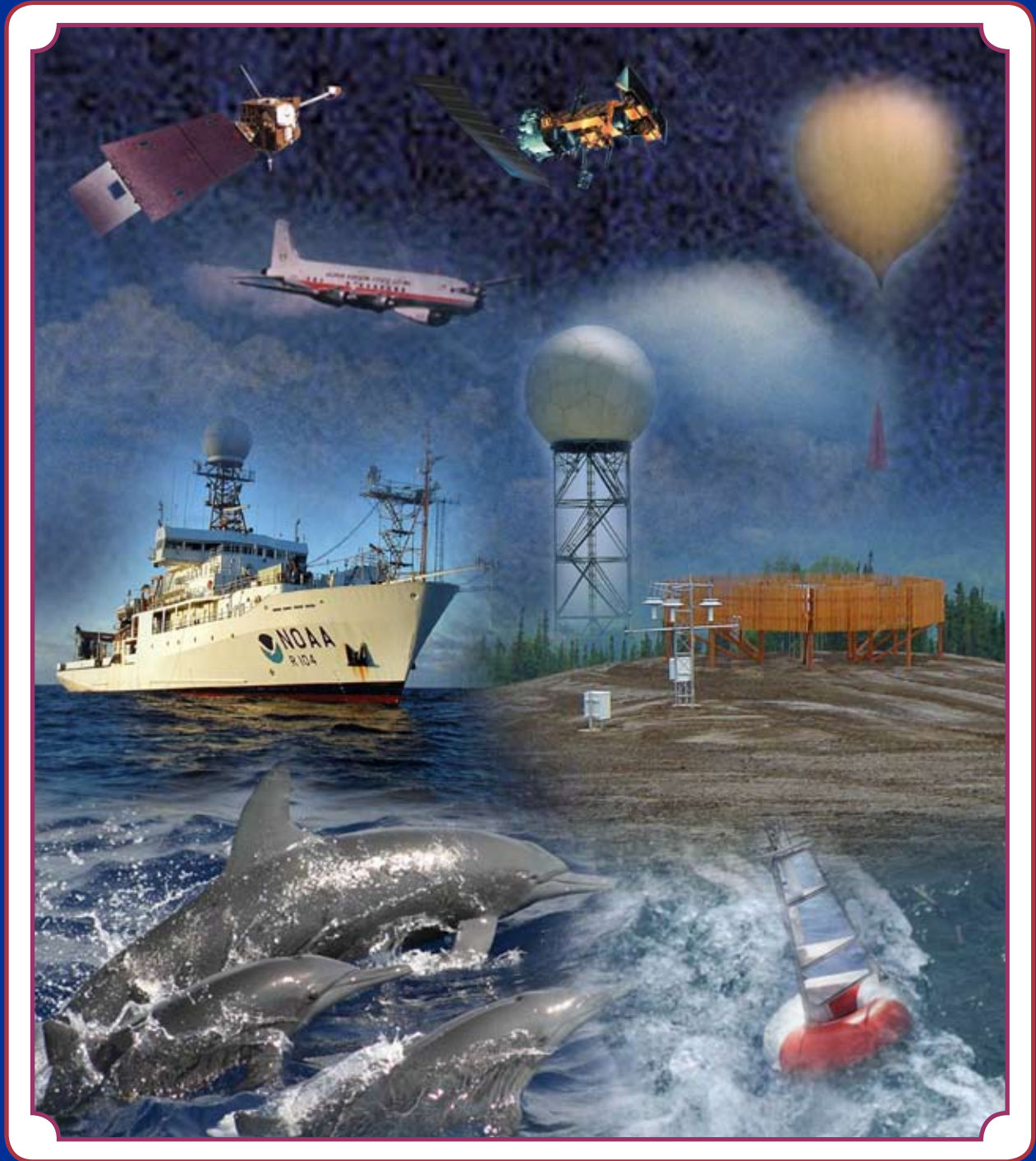


NOAA PROCEDURE FOR SCIENTIFIC RECORDS APPRAISAL AND ARCHIVE APPROVAL



Guide for Data Users and Producers



NOAA PROCESS STEPS

Identify Records

Initiation of Request

Receipt of Request

Appraise Records

Designate Appraisal Team

Preliminary Records Appraisal

Formal Records Appraisal

External Science Review

Assemble a Recommendations Package

Decision/Approval Process

Receipt of Recommendations Package

Office Director Decision

National Archives and Records Administration Coordination

Public Comment

NOAA Data Management Committee Reports and Process Tracking

NOAA Observing System Council Action

Implement the Decision

New Records

Existing Records

HOW DOES NOAA DETERMINE WHAT RECORDS TO ARCHIVE?

NOAA data managers use a four-step process to determine what scientific records are preserved in a NOAA archive. The process is depicted to the left and includes:

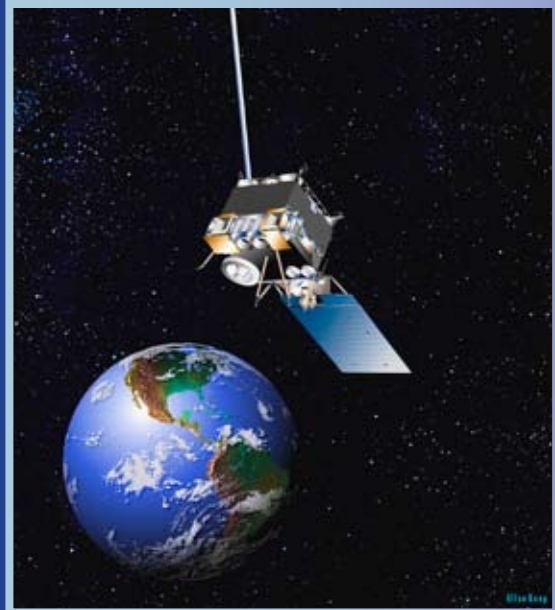
Identification Step: A NOAA agency or any individual or organization can identify the scientific records by sending the request to the NOAA office that has responsibility for the archive.

Appraisal Step: The NOAA Office Director responsible for the archive assigns an Appraisal Team to perform a preliminary appraisal with options to perform a formal appraisal and request an External Science Review.

Approval Step: Using the recommendation from the Appraisal Team, the NOAA Office Director makes the decision and then coordinates the decision with a National Archives and Records Administration records schedule. When needed and required, a Public Comment period is conducted and coordination occurs with higher level NOAA management.

Implementation Step: The NOAA Office Director responsible for the archive ensures that the decision is implemented.

PROCEDURE APPLIES TO FUTURE SCIENTIFIC RECORDS,



NOAA's next series of satellites will generate large volumes of new scientific records.

WHAT SCIENTIFIC RECORDS ARE AFFECTED BY THIS PROCEDURE?

The procedure applies to accepting or rejecting newly acquired scientific records into a NOAA archive and also to retaining or disposing of existing records held in a NOAA archive. These records include original observations, synthesized products, and experimental products generated by NOAA or any other organization or individual responsible for the creation, accumulation, or maintenance of scientific records. The procedure does not apply to non-scientific records such as those pertaining to NOAA finance, budget, and administration.

HOW DOES NOAA APPRAISE SCIENTIFIC RECORDS?

NOAA appoints an Appraisal Team which formulates the recommendation to add scientific records to or remove records from a NOAA archive based upon the facts gathered.

The Appraisal Team first performs a preliminary appraisal of the scientific records. In many instances, a preliminary appraisal will be sufficient for requests that are known to be within the scope of the NOAA collection requirements and resources, and for records that have legal mandates, which require their archiving.

An Appraisal Team can also perform a formal appraisal of scientific records for more complex archive requests or for collections that are not immediately identifiable as within the scope of the NOAA archive collection. To direct and facilitate the formal appraisal process, an appraisal questionnaire is used as summarized to the right. All questions have one or more references which better describe the basis for the question in terms of performing the appraisal process.

... and also, EXISTING HISTORICAL SCIENTIFIC RECORDS



HOW LONG DOES IT TAKE TO GO THROUGH THIS PROCEDURE?

The procedure is flexible in that it allows for expeditious decisions regarding scientific records that are known to be within the scope of the NOAA mission and resources. It also allows for a lengthier, more formal appraisal process for complex archive requests that could take many months to complete.

The information gathered during the appraisal process can be used as a basis for a future submission agreement for new records approved for a NOAA archive.

NOAA Formal Records Appraisal Questions

Mission Relevant?

1. Where in NOAA's mission?
2. Environmental or geospatial?
3. Legal Mandates?

Uniqueness, Provenance?

4. Unique? Duplicated elsewhere?
5. Relationship to other NOAA data?
6. Authentic, reliable, unaltered, and usable?
7. Original purpose? New purposes?
8. Records value (now, future)?

Nature of the Data?

9. Volume (bytes), growing or static?
10. Temporal and Spatial extent?
11. Data format?
12. Soley digital or does analog exist?
13. Physical condition? Deterioraton?
14. Is information retrievable?
15. Records location? Science center?

Metadata?

16. Does it exist?
17. Conformity to standard format?

Processing Level?

18. Completeness and quality?
19. "Raw", observational records?
20. If not "raw", level of processing?
21. Multiple versions?

R&D Records?

22. Unprocessed or processed?
23. NOAA-funded research?

Externally Reviewed?

24. Evaluation or peer reviewed?

Restrictions?

25. Proprietary, sensitive, classified?

Intrinsic Value?

26. Historic, aesthetic, artistic?

Resources?

27. Cost of long-term maintenance?
28. Resources for data stewardship?

Used in more complex archive decisions

The procedure described in this brochure was sponsored by the NOAA Data Management Committee (DMC) which is responsible for coordinating the development and implementation of data management policy across NOAA. DMC reports to the NOAA Observing System Council (NOSC). Further information on NOSC and DMC can be found at: <http://www.nosc.noaa.gov/>

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Photographs: NOAA sources; special thanks to the NOAA Photo Library

Brochure and Artwork Design: Deborah B. Riddle, NOAA

Published September 2008

What is the authority that requires NOAA to use this procedure?

The use of this procedure is described in a NOAA Administrative Order (NAO 212-15) entitled *Management of Environmental and Geospatial Data and Information*.

Storage Media Through the Ages Used by NOAA



How is Public Input Received?

Public input is a critical aspect in determining what scientific records are included in NOAA archives. Input from users and scientist has been integrated into all four steps of this procedure:

Identify: Anyone can identify scientific records for NOAA archives.

Appraise: The NOAA Appraisal Team can consist of external to NOAA scientists or users. An External Science Review can be conducted for more complex archive decisions.

Approve: A Public Comment and Appeal Period is incorporated for decisions resulting from formal appraisals and decisions resulting in records being removed from a NOAA archive.

Implement: Before executing a decision, the Information Provider is notified of the Comment and Appeal Period. Records to be removed from NOAA archives are offered to interested agencies.

Example issue: We are planning a new NOAA program that will produce scientific records. How do we use this procedure?

According to NAO 212-15 described above, NOAA programs that will generate scientific records are directed to develop a data management plan early in the planning process with the NOAA Facility that will archive the records. During the planning process, this procedure will be used to determine what scientific records should be preserved in a NOAA archive and whether there are adequate resources that will support that archive.

Where can I find more information on the NOAA Procedure for Scientific Records Appraisal and Archive Approval?

A more detailed NOAA Data Managers Guide is available at <http://www.nosc.noaa.gov/docs/products.html>. This Guide describes in detail the step by step procedure that NOAA data managers use to identify, appraise, and decide what scientific records are preserved in a NOAA archive. Also, included are sections which describe the Purpose, Authority, Scope, Definitions, Assignment of NOAA Roles and Responsibilities, References, Basis for the procedure, and the formal NOAA Scientific Records Appraisal Criteria Questionnaire.