DEPARTMENT OF DEFENSE
WASHINGTON HEADQUARTERS SERVICES
1155 DEFENSE PENTAGON
WASHINGTON, DC 20301-1155

May 28, 2008

Mr. Laurence Brewer
National Archives and Records Administration
Director, Life Cycle Management Division
8601 Adelphi Road, 2200
College Park, MD 20740-6001

Dear Mr. Brewer:

In accordance with 36 CFR § 1228.31(b)(1)(i), the Office of the Secretary of Defense is notifying NARA of the electronic conversion of the program records of the Washington Headquarters Services, Directives Division. The records produced by the Directives Division are in support of the Director, of Administration and Management and are scheduled as permanent, see NARA job number NC1-330-78-7. To improve their business process and reduce storage space, the Directives Division acquired a records management application (RMA) to maintain the "Federal" record copy in electronic form and is requesting NARA's approval to destroy about 325 cubic feet of permanent paper records. The approximate size of the permanent electronic record is 5.5 gigabytes.

These program records date back to 1951 and have been scanned, converted to portable document format (PDF), and are maintained in the RMA. Please note that as part of the business process a portion of the older issuances were signed by the agency head. In the current business process the Secretary of Defense signs an estimated ten issuances per year, most are signed by the Deputy Secretary of Defense or OSD component head, as policy dictates. Note these records were discussed with Mr. Sam Welch on April 17, 2008, in order to notify NARA stakeholders about the possible intrinsic value of the signed documents.

Upon NARA concurrence the division will transfer eligible electronic records directly to NARA and pre-accession in five or ten year blocks closed files not eligible for direct transfer. Attached is the completed PDF Technical Review to assist you in your evaluation. If you have any questions, please contact me at (703) 696-4959.

Sincerely,

Ms. Luz D. Ortiz
OSD Records Manager
Records and Declassification Division

Enclosures:
As stated

Technical Evaluation of Potentially Permanent PDF Records

Basic Descriptive Information

1. Title of records: **Directives Division Files**

2. Organization unit responsible for creating the records: **Director, Administration and Management, Department of Defense**

3. Legal authority which specifically authorizes or requires the creation or maintenance of the records: **NC1-330-78-7, AI 15, FN 213-01 Directives Section Files**

4. Are there restrictions on access? **No**

5. Arrangement: **Numerically**

6. What is the content of the records and which agency programs does it support? **DoD Directives, DoD Instructions, DoD Publications, Administrative Instructions, amendments and other policy issuances under the DoD Directive System, and supporting documentation.**

7. Unit of analysis: (one record is created for each...) What is the unique identifier for each record (e.g., case file number, etc)? **Issuance number**

8. Inclusive dates of records: **1951-Present**

9. Number of records: **6089**

10. File size of proposed transfer in megabytes or gigabytes: **5.5 GB**

11. Volume (annual accumulation):

12. Are all the records in PDF or are the records in mixed formats? **PDF only**

13. When are the records eligible for transfer to NARA? **Closed files from 1951-1977 are available immediately, approx 3 gigabytes.**

   PDF Specific Questions

14. PDF file specification: version 1.0 1.1 1.2 1.3 1.4 1.5 or other .
      Answer: **1.5.**

15. Are links to external information included in the PDF records? Answer: **No**

16. Are there any comments or annotations on the records? **Only as a scanned image, does not exist separately from the PDF file.** 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)

17. Are there objects that are attached to the PDF document (e.g., MS Word files, MS Excel files, etc.)? **Answer: 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]. **Answer: 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) **Answer: 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? **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) **Answer: 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) **Answer: The PDFs do contain embedded fonts and include the "base 14". Under the Acrobat Distillery, "embed fonts" was selected to ensure that they were embedded**

   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) **Answer: All images were scanned using Scandall 21 Version 4.2 to create TIFF images at 240 dpi and no more than 300 dpi. All files were**

uncompressed to ensure the quality of each document during transfer and constant utilization of images.

    g. Did the OCR process use compression to reduce file size? 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) **Answer: The Directives were scanned using searchable Image-exact which uses JBig2 compression. We used Acrobat6.0 which uses JBig2 lossless for Image-Exact files – approved according to section 3.4.2.1.**

    h. Have the PDF records been compressed or aggregated for transfer? (Section 4.2) **Answer: The directives have not been compressed or aggregated for transfer. We delivered the documents via external hard drive, allowing us to provide documents "as is" without having to condense or combine to decrease file size for space purposes.**

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? **Will have finding aids**

21. Do the scanned or image records contain embedded searchable text based on Optical Character Recognition (OCR)? If yes, are there finding aids created from the OCR'd text? If yes, was there any "clean up" performed on the OCR'd text? **Answer: The PDFs were created using searchable image exact (same as image+ text). Tthey do contain embedded searchable text but finding aids were not created from the OCR'd text and document clean up was not necessary for these files.**

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**

Person(s) to contact regarding information on these questions	Telephone	Email

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