MAR 15 2017

NASA's Response to Managing Government Records Directive
Senior Agency Official (SAO) Annual Report – 2016

NASA is pleased to provide the Agency's SAO Annual Report for 2016.

NASA is very proud of our Agency's many contributions to America's heritage. To help preserve the legacy of America's space program, we strive to properly manage and protect a large volumes of our permanent records are transfer them regularly to the National Archives. With your assistance and pursuit of new ideas, we continue to seek ways to improve our records management techniques.

Thus, NASA is proud to continue partnering with NARA in your development of new General Records Schedules and guidance to agencies, as well as searching out/testing new potential electronic records capabilities.

You may contact the NASA Records Officer, Patti Stockman, with any questions concerning our submitted SAO Report.

Agency Records Officer:

Name:	Patti Stockman
Agency Name:	NASA
Component:	Headquarters
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Title:	Agency Records Officer
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Regards,

Renee P. Wynn
NASA Chief Information Officer

Provide the following information (required):

- Name of SAORM Renee P. Wynn
- Position title NASA Chief Information Officer
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1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

The SAO is responsible for Records Management in the entire Agency.

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

X Yes
☐ No

If No, please list and explain which part of your agency or components did not meet the deadline?

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

X Yes
☐ No

If No, please list which part of your agency or components did not and why?

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

X Yes
☐ No

If Yes, please describe this progress.

In 2016, NASA concluded a rigorous IT Business Services Assessment (BSA) that resulted in the establishment of six programs within the Office of the CIO, two of which include Applications and Information Management. These two programs will address management of the information that flows through Agency applications, including disposition of information in the form of official records. Records Management principles will be considerations of each of the six programs to ensure records are handled appropriately.

The Agency has conducted its first pass at inventorying all collections of permanent electronic records across NASA Centers. This initial inventory is currently being compared to, and incorporated into, the Agency's application inventory. During the remainder of FY2017, further information about the permanent records and the systems and applications in which they reside will be catalogued as records management staff work with Applications program staff as part of the Agency's BSA portfolio management initiative.

Once that activity is completed, the Agency will undertake a more complete mapping of records data to the application inventory which is expected to be complete by the end of CY2017. While the application inventory fidelity is expected to improve each year, the improved mapping of records to the host applications, will allow analysis of permanent records holdings for potential opportunities of repository consolidations, and development of common approaches to accomplish records management or improved records management.

NASA anticipates the planned analysis will also identify holdings that represent records management challenges, particularly with respect to ultimate transfer to the National Archives. For example, we expect to better scope the magnitude within the Agency of permanent 3D engineering model records holdings, the long-term storage and retrievability of which are a big challenge to both NASA and NARA.

If No, please list which part of your agency or components did not and why?

5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

X Yes
☐ No

Please describe your specific plans or actions.

As reported in our 2013 SAORM report, NASA has isolated instances of digitization efforts at various Centers of both temporary and permanent records. However, we do not currently have an Agency plan orchestrating conversion of all legacy permanent hard copy records to digital. Generally, NASA only digitizes such records when Agency organizations or programs have operational requirements for the records in digital form. It is the need or anticipated Agency need of the documents for reference or operational purposes that largely drives the several initiatives.
Some of the digitization initiatives involve NASA imagery at four NASA Centers, including still, video, and film formats. The Armstrong Flight Research Center (AFRC) photo laboratory is digitizing the approximately 250,000 black and white and color negatives of its still imagery taken from 1946 to 2006. The scanned .tif files vary from 28mb to 125mb each, depending upon the original format. A large percentage of these are permanent records of mission related programs or projects, as well as permanent non-program imagery.

Likewise, the Kennedy Space Center (KSC) is digitizing to MP3 format all of its 7,600 Shuttle era documentary video tapes dating from 1959. These are also permanent records under NASA Records Retention Schedules (NRRS) 8/item 101.

There are at least two other examples of digitization of permanent records underway. KSC is digitizing the active collection of its permanently valued facility drawings and their changes over the years for all KSC facilities. Records are being converted from both microfiche and aperture cards. NASA will plan to transfer them to the Archives, by facility, whenever facilities are decommissioned.

Since fiscal year 13, the Jet Propulsion Laboratory has digitized nearly 780,000 pages of permanent legacy paper mission oriented program and project records, including documents such as program reviews, reports, etc., as well as engineering drawings.

Almost half that total were digitized during 2016. These records may not yet be transferred to the National Archives because they have not undergone export control review and it is highly probable that many of them are subject to Export Administration Regulations or International Traffic in Arms Regulations, or both. The Archives will not accept the records until we can definitively indicate whether they are controlled.

6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

X Yes
☐ No

If Yes, please describe what steps have been taken.

Many of the OMB A-130, 5.h requirements set forward good records management practices that have logically followed from existing requirements of 36 CFR Chapter XII. Thus, NASA's records management program had already addressed numerous A-130 aspects as a matter of its practices over time and the revised A-130 did not require new steps for the Agency.

In accordance with not only OMB A-130, but also the 2011 Presidential Memorandum – Managing Government Records and the subsequent OMB M-12-18 Managing Government Records Directive, NASA has had a designated senior agency official for records management (SAORM) since November 2012. We also continue commitment to an effective records management program that provides for the management of all NASA records across the Agency's field Centers and cross-cutting institutional functions and mission programs.

We are taking numerous actions to ensure management and retrievability of records throughout their life cycle, regardless of format or medium, including our growing reliance on born-digital records. Those actions include:

- Initiatives across the Agency (and discussed in response to Question 5 above) to digitize a number of collection of legacy records previously existing in hard copy formats.
- Submission to NARA of several "Notifications for Previously Scheduled Permanent Records" indicating our implementation of electronic recordkeeping for records covered by previously approved permanent schedule items.
- Conversion to digital forms to provide forms completion, signing, maintenance, and disposition – all digitally, documenting Agency transactions as part of NASA's digital conduct of business processes. One good example, found within the records

management function itself, is provision for digital signatures on our NASA Form 1786 that documents Intra- or Inter-agency transfers of records.

- Inventorying and analyzing Agency holdings of electronic permanent records, discussed in more detail in Question 4 above.
- Providing for management of NASA email records, discussed more fully in our 2016 Federal Email Records Management Report.

NASA is very active in seeking NARA approval of records retention schedules. During Calendar Year 2016, NASA proposed ten new or revised retention schedules for previously unscheduled or newly identified Federal records. In 2016, NARA approved six proposed NASA schedules. It should also be noted that our Agency collaborates heavily with NARA on their development of all new General Records Schedule (GRS) items that will cover NASA records. NASA volunteers have joined NARA teams in development, and others provide the GRS team with significant feedback during pre-publication schedule reviews.

Concerning records disposition, in 2016 NASA submitted for NARA approval Transfer Requests (TRs) for the transfer of 588 collections of permanent records to the National Archives, 31of which were for the transfer of records directly from NASA Centers to the Archives. Of the 558 TRs, a total of 352 were approved by NARA during 2016 and the Archives accepted physical custody of 48 accessions of permanent records, 22 directly from NASA Centers.

NASA has online Records Management 101 training required of all employees, including all new hires within their first year of employment. It is recommended training for all NASA contractors, but cannot be required unless addressed in their existing contracts. The training covers all facets of records and management, regardless of their format or media, through their lifecycle and disposition. In addition, NASA email users receive periodic reminders of their records management responsibilities.