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NASA's Response to Managing Government Records Directive
Senior Agency Official (SAO) Annual Report – 2017

NASA is pleased to provide the Agency's SAO Annual Report for 2017.

NASA desires to preserve the legacy of America's aeronautics and space program by documenting our Agency's many valuable contributions that continue to feed into America's heritage. To that end, we strive to properly manage and protect our records, transferring large volumes of permanent records regularly to the National Archives. With your assistance, we continue to pursue ways of improving our records management approaches and processes.

NASA is proud to continue partnering with NARA in search for new potential electronic records management capabilities. We particularly appreciate your agency's review and affirmation of our algorithms to filter non-records from our archived emails of senior managers. We look forward to applying the tool and transferring the resultant records to the National Archives.

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

- Address   300 E Street SW, Washington, DC 20546

- Office telephone number   202-358-4934

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. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

   X Yes
   ☐ No

   Please explain your response:

   NASA Records Management personnel teamed with the Agency's Applications Program (AP) that conducts the annual NASA Information Technology Center Investment Reviews (ITCIR). This process identifies all IT applications in use across the Agency and maintains inventory data in the Agency's Application Portfolio Assessment Tool (APAT).

   In 2017, the team added Federal records attributes to APAT in support of the OMB/NARA *Managing Government Records Directive,* M-12-18, goal. These additional attributes identify whether an application contains Federal records, the applicable records retention schedule, and whether the records are disposed of in accordance with approved retention schedules.

   During FY2018, NASA Center Records Managers will collaborate with the Agency's APAT representatives to ensure accurate population of the attributes and will verify them annually as a part of the ITCIR process.

APAT Identification of the applications containing Federal records will facilitate evaluation of the respective applications' records management capabilities in 2018.

Mapping of records to the host applications will also allow analysis of permanent records holdings for potential opportunities of repository consolidations, and development of common approaches for records management or improved records management.

During FY2019, Agency personnel expect to identify and address records management challenges of applications and holdings, particularly with respect to the ultimate transfer of records to the National Archives.

3. **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 explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

As NASA has reported in SAORM reports every year beginning 2013, the Agency is not conducting an orchestrated Agency wide digitization initiative for all legacy hard copy or analog records. Rather, both temporary and permanent records are being digitized through independent activities at NASA Centers. Such efforts are generally, though not always, initiated and funded by organizations or programs with operational requirements for digital access to their records.

The Agency lacks the financial and human resources necessary to digitize all its legacy permanent records. A streamlined NARA approval process would greatly facilitate Agency transfer of permanent records already digitized and the destruction of the legacy formats.

NASA provides the following examples of initiatives planned or underway. Glenn Research Center began a multi-year effort in 2015 to digitize its collection of permanent photo negatives. By the end of FY2017, digitization of approximately 273,000 negatives, or 96%, was complete.

Armstrong Flight Research Center (AFRC) is preparing a FY2018 initiative to send to the NASA Shared Services Center (NSSC) approximately 1200 cubic feet of legacy records from

the Center Historian's archives for digitization. AFRC completed the first year of a planned 10-year project to digitize its legacy imagery, dependent upon necessary annual funding.

Marshall Space Flight Center (MSFC) initiated a major effort to digitize up to 800 boxes of Saturn-Apollo Program engineering drawings and associated documentation. These exist as microfilm frames mounted on aperture cards and are currently located at the Southeast Regional Federal Records Center (FRC). MSFC records management personnel will confer with NARA Electronic Records Archive (ERA) personnel in FY2018 to ensure acceptable file formats and technical standards are met in order to transfer the resulting digital records to the ERA. Approximately 100 boxes were already digitized when they were retrieved as reference requests from the FRC. Because of resource restrictions, MSFC tentatively plans a 100 box/year effort that would be complete in April 2024.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

        X Yes
        ☐ No

   Please explain your response:

As a matter of their business processes, NASA Center Records Managers always work closely with new or closing organizations at NASA installations. This ensures that new organizations address records management upon creation and that records of closing organizations are properly transferred to new organizations or disposed.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

        X Yes
        ☐ No

   Please explain your response
The SAORM empowered the Program Executive for the NASA Information Management Program to plan, request, and obtain funding for moving records management forward. The SAORM approved specific funding for the filtering of senior executives' email records.

6. **Have you, as the SAORM, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.**

   *Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

   X Yes
   ☐ No

   Please explain your response:
   The SAORM tasked NASA's Records Officer with instituting briefings of incoming senior officials as to their records management responsibilities. Incoming officials in the past year were successfully briefed, as were outgoing officials to ensure proper capture of appropriate official records. Additionally, the SAORM approved issuance of a tri-fold brochure explaining management responsibilities for records management. The Center Records Managers have provided brochures to senior officials.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)?**

   X Yes
   ☐ No

   Please explain your response:
   A rigorous Information Technology (IT) Business Services Assessment (BSA), concluded in 2016, resulted in the establishment of six programs within the Office of the CIO (OCIO). , Two of these programs, in OCIO's Enterprise Services and Integration Division, include Applications and Information Management. The Agency adopted an integrated approach to records management that cuts across these two programs, IT Security, and Agency Data Management initiatives. The approach addresses management of information from creation throughout its life cycle as it flows through Agency applications. Records Management principles are considerations of each of the OCIO's six programs to ensure records are managed appropriately.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

Guidance from NARA on best practices not only for managing electronic records, but also of techniques for auditing successful e-records management, will be valuable aids for agencies.

A streamlined and expedited process is necessary for agencies to obtain NARA approval of considering as official records the digital results of records scanning initiatives, and permission to dispose of as duplicative the legacy analog originals that have been digitized.