

APR 18 2019



**NASA's Response to Managing Government Records Directive
Senior Agency Official (SAO) Annual Report – 2018**

NASA is pleased to provide the Agency's SAO Annual Report for 2018.

Preserving the legacy of the work of our Agency does for the benefit of future scientists and researchers is one of our highest objectives. Therefore, we seek to continually improve our management and protection of our records, transferring large volumes of permanent records regularly to the National Archives. We appreciate your assistance toward our progress in records management approaches and processes.


NASA remains proud to partner with NARA in search for new potential electronic records management approaches.

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
Office:	Office of the CIO
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

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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)**

- Yes
- No

Please explain your response:

NASA Records Management (RM) personnel are teamed with IT personnel to work toward this goal. The Agency has identified all its permanent electronic records (e-records), their associated schedule items, and their locations. NASA is working to a plan to, by the end of 2019, to assess basic RM functionalities and shortcomings of each repository containing the records.

Records Management staff will identify optional actions that records owning organizations may take provide any necessary supplementation of system functionalities to ensure proper management of the records in each phase of their lifecycle. Staff will also analyze the repositories Agency wide to identify opportunities for consolidation for enterprise management and control of records created and managed by common software solutions.

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
- No

Please explain your response:

The Agency has evaluated the health of our RM program using NARA's published Criteria for Successfully Managing Permanent Electronic Records. NASA is largely meets the success criteria across the key aspects of records management policies, systems, access and disposition, though we recognize there is room for enhancement across the board.

Using NARA's success criteria, we have identified opportunities for improvement in each of the key aspect areas, as well as in several of the operational activity tasks called out in the criteria. Because of resource restrictions, our Agency recognizes it will not accomplish all desired improvements before the end of 2019, but our assessment using the published criteria allows us to chart a course with goals and milestones to make better position NASA for improved Agency management of permanent e-records over their entire lifecycle.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

Please explain your response (include specific goals and example metrics):

[Digitization of permanent records](#)

Glenn Research Center completed a multi-year effort to digitize its collection of approximately 284,000 permanent photo negatives.

Meanwhile, Centers are continuing with additional isolated efforts to digitize permanent records.

The Armstrong Flight Research Center (AFRC) is continuing with its 10-year initiative reported last year to have the NASA Shared Services Center (NSSC) digitize its approximately 1200 cubic feet of legacy records from the Center Historian's archives for digitization.

Marshall Space Flight Center (MSFC) continues a major effort to digitize Saturn-Apollo Program engineering drawings and associated documentation stored in the SE Regional FRC as microfilm frames mounted on aperture cards. Through further analysis of the records in 2018, roughly 40% of the collection has been identified as either unnecessary as reference by current design efforts or as duplicative material of other records in the collection, resulting in 420 cubic feet of aperture cards to be digitized. While MSFC has begun digitization, due to financial and human resource restrictions, the Center now estimates that the initiative may not be completed until well after the original 2024 target.

Direct transfers of records from NASA Centers

Several NASA Centers have stepped up direct transfers to the National Archives from their NASA installations over the past several years as indicated in the table below showing volume of NASA direct transfers:

Year	# Accessions	Volume transferred
2016	27	519
2017	103	2,185
2018	99	1,525

Primarily based on its FRC holdings of permanent records, NASA had voiced concern to NARA about the likelihood of meeting its 2022 date to stop acceptance of analog records.

NASA Centers are finalizing annual goals to transfer their known permanent analog records from NASA installations toward either the National Archives or Federal Records Centers (FRCs) by December 31, 2022. However, some Centers report that financial and human resource restrictions will prevent transfer of significant percentages of their on-site holdings of permanent records by the end of 2022.

Additionally, due to diminishing Archives physical space at Morrow, Georgia, NARA personnel there have informally advised that they can only accept small, well-described records sets of clearly historically valuable NASA. This would preclude transfer of large records sets from the FRC or from NASA to at least that Archives facility.

The Agency knows of no instances where records are not currently born digital and the NASA Records Management community is taking action to ensure that all organizations cease practices of printing and retaining hard copies as official records.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

X No

Please explain your response:

To our knowledge, the Agency has not utilized Schedule 36 in procuring services to aid in electronic records management. Several NASA Centers have possessed bulk digitization capabilities for some time that are used for digitizing collections of documents.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure 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.

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response:

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

No

Please explain your response:

NASA reported last year that the SAORM empowered the Program Executive for the NASA Information Management Program (IMP) to plan, request, and obtain funding for moving records management forward.

During 2018, NASA hired a permanently assigned employee to that position who has brought excellent depth of data management experience to the job. He is conducting a thorough review of all NASA information management disciplines, including records management, to identify areas for improvement and opportunities for greater

integration of records and information management into IT systems and processes. With full support of the SAORM, he is assessing priorities of the RM program for transformation to facilitate proper electronic records management.

- 8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes
 No

Please explain your response:

NASA has training for Records Liaison Officers, program/project personnel responsible for records, whether contractors or civil servants.

- 9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes
 No

Please explain your response:

NASA Records Management staff is finalizing a high-level checklist of records management functionality for use in assessing the management of electronic records beginning with its permanent e-records. This assessment tool will be further matured and the team is planning development of more detailed checklists for use at key decision points in the development or acquisition of NASA information systems.

Additionally, the NASA Office of the Chief Information Officer incorporated assessment of records management into the regular functional reviews it conducts at each NASA Center to evaluate their compliance with regulatory, FISMA, and Agency requirements for IT and information management functions.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes
 No

Please explain your response:

NASA has had difficulties since October 2016 in meeting NARA requirements to transfer a digitized collection of permanently valued history records.

It would be helpful if NARA will provide a simplified approach to transforming to media-neutral Agency retention schedules approved by NARA prior to December 17, 2007. NASA's experience of the process has been unnecessarily lengthy and cumbersome in terms of human resource demands. It would seem intuitive that records considered historically significant in hard copy formats would still be historically significant after being digitized or created digitally. Thus, perhaps NARA can provide a streamlined process to expedite conversion of those older permanent records schedules to be media-neutral.