



**NASA's Response to Managing Government Records Directive
Senior Agency Official (SAO) Annual Report – 2019**

NASA is pleased to provide the Agency's SAO Annual Report for 2019.

Our Agency has long been on a path toward digital government increasingly deploying enterprise-wide systems that enable better management of the records within them. Managing our information resources well is one of the mandates of the Space Act of 1958, NASA's birth certificate. Therefore, we appreciate our partnership with your agency as we work to improve the management and protection of our records, transferring even larger volumes of permanent records to the National Archives.

Thank you for your efforts to collaborate with agencies towards our mutual goal of better preserving the legacy of our government.

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
Email Address:	Patti.Stockman@nasa.gov
Mailing Address:	Office of the CIO 300 E Street SW Washington, DC 20546
Phone Number:	202-358-4787

Regards,

Renee P. Wynn
NASA Chief Information Officer



*Senior Agency Official for Records Management
2019 Annual Report*

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 (RM) in the entire Agency.

- 2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
 No

Please explain your response:

NASA's permanent electronic records are managed electronically throughout their life cycles, though most systems/applications in which they reside have not intentionally addressed electronic records management requirements. Very few instances exist in which some records are printed for wet signatures, then scanned to become signed PDF records. NASA is working to replace this practice with electronic signatures, consistent with OMB Guidance, the 21st Century IDEA Act, and Federal CIO Council Guidance.

- 3. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

- Yes
 No

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

For many years, NASA has been transitioning to employ digital processes to accomplish its business and mission work. In connection with this transition, the

Agency is continuously implementing enterprise wide systems containing electronic records.

NASA often transfers permanent e-records, together with required metadata, to the National Archives.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

- Yes
 No

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

Each NASA Center has established quarterly milestones through December 2022 with targeted volumes of both permanent and temporary analog records to disposition from onsite storage areas. Some Centers expect to fully divest themselves of all temporary analog records. However, other Centers have identified large numbers of onsite long-term temporary analog records with disposition dates well past 2023, but which have legitimate reasons to hold locally.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

- Yes
 No

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

The Space Act of 1958 that established NASA provides a mandate for properly managing all its data, including records, and sharing our information as widely as possible. Specifically, the Space Act says the Agency will, “provide for the widest practicable and appropriate dissemination of information concerning its activities and the results thereof.”

The NASA Office of the Chief Information Officer (OCIO) uses its Information Technology (IT) Strategic Plan to guide the direction, mission alignment, investments, and accountability of NASA’s IT community in supporting the achievement of strategic information resources management. NASA takes a holistic approach to all data management in its strategic plan, including records and all its other information.

NASA has set the goal of eliminating all legacy analog records by December 31, 2022, to the greatest extent possible. As stated in response to question 4, NASA Centers are working toward accomplishing quarterly objectives of this goal. The Agency also strives to transfer all permanent records from Federal Records Centers identified as eligible in each Annual Move exercise led by NARA. The NASA Records Officer

ensures the modification of existing, or development of new, schedules as unscheduled records are identified.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

- Yes
 No

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

NASA has identified its only agency-operated records center that was built to be fully compliant with all CFR records center facility specifications. In fact, NARA applauded the center's opening.

We have several other areas of records storage in the Agency from which we will not fully disposition all analog records by 2023. NASA will provide NARA this calendar year a request for exception, together with submission of NASA's plan for to meet the objective holding only digital records.

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*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
 No

Please explain your response (include specific details of procedures):

Each NASA Center has a checkout process for all separating employees, including senior officials, and records management (RM) is one of the checkpoints in the process. Employing completion of forms and personal verification with outgoing employees, records management personnel ensure no records removal without authorization, and that records are turned over to new custodians to ensure appropriate management and/or proper disposition.

8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

- Yes

No

Please explain your response (include details of specific challenges, if applicable):

For years, NASA has been increasingly moving towards digital processes and electronic creation/management of resulting records. While NASA has not deployed records management software, the software and systems implemented accomplish many functionalities required for effective records management. A survey of all identified NASA repositories of permanent e-records reveals that most employ administrative processes external to the systems to accomplish records management functions where system software falls short.

However, the Agency would like to incorporate formal and comprehensive RM into increasing numbers of enterprise-wide systems that hold records. NASA will also assess software that facilitates management of records in systems where they sit.

Comprehensive RM is hampered by several sets of factors within NASA:

- As an Agency, NASA has developed with disparate approaches of selecting and implementing systems and applications across NASA Centers, Directorates, and Missions. These disparate approaches complicate implementation of comprehensive RM approaches across multiple applications. The Agency is working to address and correct its inconsistencies in system selection and implementation.
- It is a challenge to apply records management principles and practices to all systems because IT Systems are no longer just small systems with a single or few servers.
 - Rather, the boundaries of an IT System can span a significant scope of IT infrastructure, as well as scope of services/applications hosted within a single “system boundary.” It is difficult to successfully identify records and their locations for management within such broad “systems.”
 - Other Enterprise Resource Planning systems, e.g., Systems Applications and Products (SAP), contain data that are not records in themselves, but that are used to create records (e.g., financial plans and statements).
- Plans for managing data through their life cycle have not been consistently addressed by NASA systems during the system development process. NASA is taking steps this year to apply standard procedures to better plan for data and records management.
- Older retention schedules: NASA has 52 NASA schedule items for permanent records approved by the Archivist prior to December 2007. The Agency considers nearly every one of the items to accurately describing the nature of the records in and their use by NASA even in digital form and, thus applicable to the records. However, NARA automatically considers the schedules to be non-applicable to e-records and requires NASA to undertake additional actions to have the schedules recognized by NARA as applicable to all records, regardless of format and media

- Finally, Agency will not be able to move from NASA prior to 2023 some analog records stored onsite at NASA facilities. The Agency will address the reasons in NASA's plan for analog records and our request for NARA exception.

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

- Yes
 No

Please provide details on what support is needed:

- Simplified schedule update process. NARA provision of a simplified and streamlined process to convert older retention schedule items that still accurately describe records and their use to media-neutrality would be a very significant contribution to NASA's ability to transfer permanent digital records.
- NARA issuance of digitization standards for permanent records. For agencies to have made significant progress on digitizing permanent records, a standard from NARA should would have been helpful a year ago.
- NARA provision of process for agencies seeking exception to full ERM by 2023.