



JAN 27 2016

**NASA's Response to Managing Government Records Directive  
Senior Agency Official (SAO) Annual Report – 2015**

NASA is pleased to provide the Agency's SAO Annual Report for 2015.

NASA has a rich history to be preserved. Because of this, a large volume of our records are transferred to the National Archives and we continue to try and find ways to continue to improve our records management. Towards that end, NASA will continue to partner with NARA in your development of new General Records Schedules, new guidance to agencies, and testing of other new electronic records capabilities.

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

**Agency Records Officer:**

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Regards,

Renee P. Wynn  
NASA Chief Information Officer

**Provide the following information (required):**

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1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

*The SAO is responsible for the entire Agency.*

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes       No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- Established formally approved email policies.
- On January 29, 2014, NASA published [NPR 1441.1](#), NASA Records Management Program Requirements. It contains a chapter entitled Requirements for Management of Records in E-mail, Cloud, and Social Media. It addresses policies regarding “e-communications,” but was actually written before the December 2014 issuance of Presidential and Federal Records Act Amendments of 2014. The NPR:
  - Provides guidelines for determining when communication is a Federal record.
  - Requires preservation of content and metadata of messages qualifying as records.
  - Explains NASA’s current approach to email archiving for selected senior managers (a quasi-Capstone approach).
  - Outlines requirements for managing message records with retentions longer than 180 days.
- Since 2009, NASA has employed Mimosa email archiving to capture email of senior managers whose positions fall under an approved permanent NASA

retention schedule. This archiving functionality forms the basis of NASA's approach to the Capstone guidance provided in GRS Transmittal 25.

- NASA is able to retrieve filter captured senior managers' email for responsiveness to FOIA and discovery requests.
- In conjunction with Mimosa, the Agency implemented a process of transferring email of departed managers to their NASA Center Records Managers to hold until NARA can accept them.
- NASA has formed a project to transition the Agency's email system to M/S O-365 which has a number of the foundational components to further automate management of email as records.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- Complete identification of Capstone positions consistent with GRS Transmittal 25.
- Complete and submit form NA-1005 to NARA for approval of Capstone approach in NASA.
- Update NASA records management directives or handbook documents further, as related to Capstone.
- Submit updated directives to NARA and OMB, post to agency website.
- Collaborate with other agencies to capitalize on existing initiatives/capabilities.
- Review and select records management software in conjunction with Agency's on-going email system upgrade.
- Integrate project costs into annual Agency budget cycle.
- Develop training for both management and employees on how to manage and disposition email records.
- Provide access/retrievability of email.
- Establish disposition practices/functionality for email (either destroy or transfer to NARA).

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes       No

*Please provide a brief description of the actions taken, such as establishing policies and providing training.*

- **NASA Policy provides that:**

“NASA business communications that rise to the definition of Agency records of retention value greater than 180 days shall not be created using instant messaging and text messaging services. In the event that communication of longer retention value is created, the sender and recipient have responsibility for capturing the content of and attachments to the message, together with date/time sent and distribution metadata, and saving it in the same system in which their related non-e-mail official records are stored or in systems/locations where their protection, retention, and recovery can be ensured.”

- **SAO distributed a memorandum to all email users in the NASA community on May 26, 2015** informing employees and contractors:
  1. of the above policy regarding texting and instant messaging, and
  2. that “employees may not use non-official government electronic messaging accounts to conduct official government business unless they copy an official messaging account at the time of transmission, or forward a copy to the official account within 20 days after sending.”
- NASA has drafted a policy encompassing the May 26, 2015 memorandum that will be approved during FY16.

4. Describe your agency’s internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

NASA employs controls over the capture, retention, and management of senior manager’s email messages.

- Authorization of capture – No senior manager’s email is included in or eliminated from the group of senior managers whose emails are captured by Mimoso without email authorization from the Agency Records Officer.
- Security/access control – Access to captured senior managers’ emails are limited to the application administrators, NASA Center Records Managers upon a senior manager leaving his or her position, and those authorized NASA Center Information Security Officers who may request information from systems in order to respond to requests to meet FOIA, Legal, Congressional inquiry, etc. purposes.
- Retention/disposition – After a senior manager leaves the selected position, his email records are transferred to the appropriate Center Records Manager for inactive storage, and ultimate transfer to the National Archives.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes       No

5a) Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.

- Identified 12 non-electronic records series Agency-wide that lack retention schedules.
  - Have submitted for NARA approval schedules for three of the 12.
  - Extensive work completed on schedules for six more of the 12 unscheduled series.
  - Initiated retention schedule discussions with functional owners of two of the series.

5b) Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.

- 2Q FY2016 – Submit for NARA approval schedules for five unscheduled series
- 3Q FY2016 – Draft schedules for remaining four unscheduled series.
- 4Q FY2016 – Submit for NARA approval schedules for remaining four series.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes       No

6a) Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:

- Established formally approved electronic records policy in NPR 1441.1.
- Reached agreement with Agency records management community on approach for identifying and inventorying locations and formats of permanent records.
- Established an Information Management framework through which, together with use of established portfolio management practices, NASA will identify all assets related to permanent electronic records. Follow efforts will focus on management using a standard portfolio management approach for all information.

6b) Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.

- 2Q FY2016 – Issue Agency action to identify by series permanent electronic records across the agency, their locations and formats.
- Investigate and assess software and other options to implement records management functionalities.
- Involve NASA CIO community in identification of permanent e-record repositories.
- Issue CIO direction to “owners” of records collections to implement records management functionality.
- Implement portfolio management of information and information assets to include records management.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government. *mary.a.bents@nasa.gov*

*Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.*

For over a decade, NASA has been moving to consolidate Agency-wide business functions through digital tools and services at two separate NASA Centers – the Marshall Space Flight Center (MSFC) in its NASA Enterprise Applications Competency Center (NEACC) and the NASA Shared Services Center (NSSC).

#### MSFC's NEACC

The NEACC operates and maintains a broad spectrum of NASA's Enterprise Applications, with an emphasis on fully integrating business process expertise with application and technical expertise. Eleven lines of business (LOBs) are served by over 50 applications and a multitude of integration services.

The NEACC initiated efforts in 2003 to transition away from paper-based to electronic data/record keeping. A few examples of NEACC applications that are currently all electronic are:

- NASA Staffing and Recruitment System (StaRS) – handling resumes for potential civil servants and used by Human Resources personnel to assess and process position requisitions.
- NASA Electronic Forms (NEF) –web-based electronic forms solution allowing users Agency wide to search and retrieve NASA master forms.
- NASA Access Management System (NAMS) – web-based centralized system for request, approval and provisioning of NASA applications, buildings and other assets.
- Web-based Time and Attendance Distribution System (WebTADS) – facilitates civil servant timekeeping and automates Telework Agreements, Voluntary Leave Bank Program and other Office of Personnel Management (OPM) mandates.

While records in existing NEACC applications have/were addressed to varying degrees, the NEACC continues working other initiatives with greater emphasis on e-records, including the Procurement LOB Contract Management Transformation (CMT) project. This transformation will leverage SAP's end-to-end Procurement for Public Sector (PPS) contract management solution to increase NASA transparency and efficiency by fully integrating contracting and financial business processes and enable the Agency to meet records archival and destruction

requirements, as well as regulatory reporting and data management requirements under the Data Act.

#### The NASA Shared Services Center

The NSSC was opened in March 2006 to streamline Agency wide services and reduce costs. Over the last 9 years, financial, procurement, human resources, and enterprise communications functions with their records have been transferred to the NSSC from the NASA centers.

A huge benefit has been elimination of paper records, most of which the NSSC digitized. The NSSC destroyed 1.1 million legacy paper records that were transferred from other NASA centers, but still stores 1.6 million legacy paper records, awaiting scheduled disposal.

The NSSC currently has 6 million electronic records in three applications storing service requests and transactional records. One major application holding 4 million of the 6 million records had no records management (RM) capability and was recently replaced, that involved two challenges. The first challenge was incorporating RM functionality into the chosen new application for transactions. RM staff were deeply involved with the service provider to ensure successful development and implementation of records destruction capability in accordance with appropriate schedules, and retention of proper records metadata.

The second challenge was storage of the 4 million legacy e-records that were incompatible with the new application. RM staff led the effort to successfully capture the 4 million legacy e-records, incorporating them into one of the other two existing NSSC applications with excellent RM functionality. Now these records are managed as such with greatly improved usability through a records Search Manager, significantly reducing document research by the NSSC.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes       No

8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

- We have identified all 19 NASA employees whose employment will be likely impacted by the change in Presidential administration.

8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

- Prepare and issue records management reminder announcement email to NASA appointees and their direct assistants who will help gather their records.
- Schedule appointments with potentially impacted personnel 3Q and 4Q FY2016 to discuss capture of their Federal records.
- Execute records capture upon employee separation.