Senior Agency Official for Records Management
FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.

- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.

- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words "SAO annual report" and your agency's name in the subject line of the email.

- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

Name of SAO: Jeffrey Page

Position title: Chief Operating Officer

Address: 250 E St. SW, Washington, DC 20525

Office telephone number: 202-606-6632

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

>   *Please list them below:* Corporation for National and Community Service

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

<p align="center">☒ Yes   ☐ No</p>

> 2a)   *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your <u>progress</u> regarding:*
>
> - *establishing formally approved email policies*
>   CNCS has established an integrated project team/working group to support implementation of this Directive and begun drafting its policy for managing email records.
> - *use of any automated systems for capturing email,*
>   CNCS has implemented the technology that will be used to support electronic email records management (e.g., Microsoft Office 365) and will apply the business rules and management controls once CNCS has finalized its policy.
> - *providing access / retrievability of your email,*
>   CNCS has implemented the technology that will be used to support electronic email records management (e.g., Microsoft Office 365) including access/retrievability.
> - *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
>   CNCS is in the process of developing the policy and plans implementing the disposition of email records and transfer of permanent email records to NARA. CNCS is gathering information

regarding NARA's preferred electronic transfer protocols and will design/implement solution prior to the deadline.

- *possible implementation of the Capstone approach for applicable agency email.* Currently, CNCS is planning on implementing the Capstone approach. The CNCS IT Steering Committee (our senior IT decision making board) has approved of this approach. All policy drafts and technical plans support this approach to email records management.

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

- Socialize GRS 6.1 Concepts, and Classify Positions into Capstone Categories. (FY 16 Q2)
- Revise Records Management Policy to include Email Records Management (FY 16 Q2)
- Submit NARA Form 1005 – Verification for Implementing GRS 6.1 and Attain NARA Approval, Standard Form 115 - Request for Records Disposition Authority, and any other NARA forms applicable. (FY 16 Q2)
- Plan, Design, and Update Microsoft Office 365 Policies and Configuration to support Capstone Implementation (FY 16 Q3)
- Define Processes and Procedures for supporting the routine electronic transfer of permanent email records to NARA (FY 16 Q2)
- Train Agency Records Managers and Staff (FY 17 Q1)

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.

CNCS has both revised its IT Rules of Behavior and Records Management Policy establishing general prohibitions around using non-official email accounts (i.e., email, texts, chats, and instant messaging) except in rare circumstances, including requirements to copy or forward those emails to official accounts within established time frames.

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).

CNCS has implemented systematic controls as part of its standard email and office productivity suite (including instant messaging) services for all staff to manage communication records according to established policies. In the case of the Agency head and executives, those communications are retained for seven years and will be expanded as part of the Agency's implementation of the Capstone Approach.

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.*
CNCS has initiated a review of its current Agency unique schedules to determine whether to discontinue unique schedules in favor of General Schedules.

   5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*
   - Complete review of Agency schedules
   - Discuss Proposed Changes to Existing Schedules with NARA and submit formal documentation required.
   - Revise Records Management Policy
   - Communicate changes to Agency Records Managers and Staff

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:*

      - *establishing formally approved electronic records policies,*
        CNCS has established an integrated project team/working group to support implementation of this Directive. IT staff have proposed policy changes that seek to largely adopt General Records Schedule Management requirements and move away from CNCS specific schedule requirements which are under review by working group members.
      - *use of any automated systems for capturing electronic records,*
        CNCS is in the process of implementing the technology that will be used to support electronic records management (e.g., Microsoft Office 365, SharePoint Online/One Drive, and Records Center) and

will apply the business rules and management controls once CNCS has finalized its policy. CNCS is currently prototyping an IT solution oriented around the General Records Schedule. CNCS has also gathered electronic records management requirements to direct on-going grant and member management system modernization efforts.

- *providing access / retrievability of your electronic records, and* CNCS is prototyping the technology that will be used to support electronic records management (e.g., Microsoft Office 365) including access/retrievability.
- *establishing disposition practices for agency electronic records.* CNCS's OIT has begun planning and prototyping implementation of disposition policies and business rules to inform implementation of the final solution.

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

- Discuss Proposed Approach to Electronics Record Management using General Records Schedules with NARA. (FY 16 Q2)
- Revise Records Management Policy to include Electronic Records Management (FY 16 Q4)
- Submit Electronic Records Schedules to NARA and Attain NARA Approval. (FY 17 Q1)
- Plan, Design, and Update Microsoft Office 365 Policies and Configuration to support Final Electronic Records Management Approach. (FY 16 Q4)
- Define Processes and Procedures for supporting the routine electronic transfer of permanent records to NARA. (FY 17 Q1)
- Train Agency Records Managers and Staff on managing Electronic Records using the Technical Solution. (FY 17 Q3)
- Meet with individual owners of Systems of Records to ensure compliance with Electronic Records Management Requirements. (FY 17 Q4)
- Modify Contracts/Service Levels agreements to support implementation of system Electronic Records Management Policies, Processes and Procedures. (FY 17 Q4)
- Monitor the implementation on a system by system level. (FY 18 Q4)
- Plan, invest, and implement an IT Investment that will support the central management of information related to all CNCS electronic records whether email, structured, or unstructured data across multiple systems/repositories. (FY 18 Q4)

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

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

One of the biggest challenges has been understanding NARA's implementation requirements and attaining access to information and guidance. NARA has recently started publishing helpful guidance including GRS 6.1. However it would be helpful if there was a forum by which CNCS staff could consult with NARA experts to support implementation planning.

Staff and financial resource constraints have hindered the pace of implementation. As a small Federal Agency, CNCS relies on staff to wear multiple hats and in many cases Records Management is another duty as assigned. CNCS does not have departments or staff dedicated solely to Records Management.

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.*

CNCS currently has off-boarding procedures for all departing employees, both career and political appointees. (The current off-boarding procedure requires that Supervisors ensure and certify that office files are maintained and preserved. These off-boarding procedures exist and are adhered to regardless of the reason for leaving the Agency. These off-boarding procedures serve to ensure that Agency records are maintained and appropriately managed.

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.*

CNCS' Records Management workgroup is currently reviewing existing off-boarding procedures to ensure records management requirements are clearly specified and expectations are communicated to departing officials. With the adoption of NARA standards and implementation of the General Records Schedule, senior executives email shall be retained by the agency, safeguarded against improper destruction, an archived in accordance with the schedules we intend to adopt.