

## 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 <a href="mailto:prmd@nara.gov">prmd@nara.gov</a>. 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: Martha M. Gagne

Position title: Deputy Associate Director, Office of Management & Administration, ONDCP

Address: 750 17th Street, NW, Suite 325, Washington, DC 20503

Office telephone number: 202-395-4622

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

Please list them below: EOP/ONDCP

The SAO represents the agency as the Senior Official for any matters relating to Records Management.

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*)

🛛 Yes No

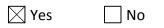
- 2a) Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your <u>progress</u> regarding:
  - *establishing formally approved email policies,*
  - use of any automated systems for capturing email,
  - providing access / retrievability of your email,
  - establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and
  - possible implementation of the Capstone approach for applicable agency email.

Email for all EOP Components is managed at the enterprise level by the Office of Administration, Executive Office of the President. EOP currently meets the Directive's goal of managing email in an accessible electronic format. EOP has established formal policies regarding email use and retention and has automated the email capture process. At the moment, the EOP has decided not to adopt the Capstone approach.

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

No action is required as EOP currently meets the Directive's goal.

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?



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

Both the Office of Administration for the EOP and ONDCP has established policies and provided staff information regarding the 20 day time frame (specifically on April 16<sup>th</sup> and May 13<sup>th</sup>). As well, all emails to and from an EOP email address are captured and archived.

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).

All emails to and from an EOP email address are captured and archived. The EOP has not implemented texting, chatting or instant messaging.

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 <u>have taken</u> to meet this goal.

Reviewing the existing schedule and file plan.

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

Re-write a schedule, file plan implementations

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

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🖂 Yes	No
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- 6a) Provide a list of the actions your agency, components, or bureaus <u>have</u> <u>taken</u> to meet this goal. Include specific information on your <u>progress</u> regarding:
  - establishing formally approved electronic records policies,
  - use of any automated systems for capturing electronic records,
  - providing access / retrievability of your electronic records, and
  - establishing disposition practices for agency electronic records.

The Office of Administration, Executive Office of the President, is responsible for managing user-generated electronic records on the EOP network. Each component's electronically stored information is captured, retained, and backed up.

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

No action is required, as EOP currently meets the Directive's goal.

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.* 

On March 19, 2015, President Barack H. Obama signed the Presidential Memorandum entitled Establishing the Director of White House Information Technology and the Executive Committee for Presidential Information Technology to promote the effective use of electronic information resources and information systems for the Executive Office of the President. Accordingly, the Director is coordinating the EOP's effort to transition to a digital government.

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 <u>have</u> <u>taken</u> to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration. Staff training was scheduled and conducted December 9, 2015. The next training will be conducted during the 3<sup>rd</sup> quarter of FY2016. Training is aimed to prepare all staff responsible for retiring records. The SAO works closely with the EOP transition planning team. ONDCP is working closely with OA in regards to the Presidential Transition. All ONDCP's FRA records scheduled to go to NARA at the end of the administration can be transferred as part of the overall transfer of PRA records. ONDCP plans to reschedule records to incorporate records created by the current administration.

8b) Provide a list of the actions your agency, components, or bureaus <u>plan to</u> <u>take</u> 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.

EOP/ONDCP is working to create guidance and a check-list for departing employees and their responsibilities. OA transfers component-identified records required to go to NARA at the end of the Presidential administration as part of the overall transfer.