NATIONAL
ARCHIVES

OFFICE *of the*
CHIEF RECORDS
OFFICER

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: William J. Bosanko

Position title: Chief Operating Officer

Address: Archives II, 8601 Adelphi Road, Room 4200, College Park, MD 20740

Office telephone number: 301-837-3604

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

    The Senior Agency Official has direct responsibility for ensuring records management related strategies and plans are implemented throughout all organizations of the National Archives and Records Administration (NARA).

    Please list them below:
    - Office of the Archivist of the United States
    - Deputy Archivist of the United States
    - Congressional Affairs Office
    - Equal Employment Opportunity Office
    - General Counsel
    - National Historical Publications and Records Commission
    - Office of Inspector General
    - Office of the Federal Register
    - Office of Strategy and Communications
    - Chief Operating Officer
    - Agency Services
    - Research Services
    - Legislative Archives, Presidential Libraries, and Museum Services
    - Information Services
    - Business Support Services
    - Office of Human Capital
    - Office of Innovation

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:*

The National Archives and Records Administration (NARA) implemented a system for managing all of its email records electronically in January 2013. The email system ensures the agency's email records are properly managed under a Capstone approach. NARA's email system consists of two separate cloud-based COTS products that work together to manage all NARA email.[1]

On February 2, 2015, NARA 861, Email Records Management, was issued. This policy formalizes NARA's implementation of the Capstone approach for managing NARA email records (including email messages and attachments, calendar appointments, and tasks).

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

NARA will use the new GRS 6.1 records schedule for its email records and has submitted the required NA Form 1005 listing its Capstone officials for approval.

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.

NARA 861, Email Records Management, states: "NARA staff should use their NARA email accounts for all business-related activities. When circumstances require the use of personal or other non-NARA email accounts to transact NARA business, NARA staff must 'carbon-copy' (cc) their NARA accounts to ensure the email record is captured and managed." It also states: "Personal devices, including laptops and mobile devices, should not be used to store agency records." Moreover, the directive states that the email system "may also be used to capture some types of non-email records, such as telephone calls or Google 'chat' conversations that are not automatically captured. For managing these types of records: "staff may request the Office of Information Services to convert voice messages into email files … and instant messages or SMS texts on mobile devices issued by NARA that are records

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[1] While NARA recognizes that the OMB/NARA Directive nor the Capstone Bulletin require the use of a DoD-5015.2 v3 certified Records Management Application (RMA), NARA's email archiving system is certified to this standard.

must be saved and sent to your NARA email account." NARA 861 will be updated in 2016 to include e-messaging requirements.

As part of our outreach efforts, in December 2015 and January 2016 NARA transmitted weekly records tips to NARA staff on the revisions to the Federal Records Act (FRA) and electronic messaging. The tips provide guidance on how to manage electronic messages for text messaging, chat/instant messaging, and voicemail. In addition, NARA's mandatory records management training course is being updated to address e-messaging requirements.

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).

NARA 861 contains policy on managing email and other electronic messages as described above. NARA provides weekly records tips to its records and information management network on a variety of subjects, including a series on electronic messaging that ran in December 2015 and January 2016. NARA included in its email management workshops information on capturing chats and the requirement to cc or forward emails from personal email accounts within 20 days. The Spring Information Management Officer/Records Custodian (IMO/RC) seminar also included a briefing on the topic. The materials from these sessions were posted on the Corporate Records Management website.

In addition, NARA email records are managed according to the Capstone approach. A list of Designated Capstone Officials is verified on the first business day of every quarter. NARA works with its contractor who provides monthly reporting statistics to verify the proper management of all email. As NARA looks to acquire tools to allow us to capture texts, chats and instant messaging, the agency will build internal controls to measure the progress for the relevant categories based on 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.*

NARA has developed an action plan for scheduling identified unscheduled paper and other non-electronic records by December 31, 2016.

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

In FY 2016, NARA will implement the action plan in 5a) above. NARA will take the following actions to identify all of the unscheduled records that have not been properly scheduled in the agency:

- Review and target the list of unscheduled records currently stored in Federal Records Centers,
- Identify current owners of unscheduled records currently maintained in offices,
- Meet with program offices to identify business needs to determine retention periods, and
- Draft and submit SF-115s to NARA for approval.

NARA is in the process of conducting research to develop big bucket dispositions to cover granular records series. These efforts will provide the foundation to implement a revised, modernized, and easy-to-use records schedule which will satisfy the MGRD 2.5 requirements.

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:*

NARA has established a 1.1 Electronic Records Management (ERM) Working Group, including NARA's Records Officer and Chief Information Officer, to provide senior leadership with a strategy and plan to manage all NARA permanent electronic records. To date, the working group has created a plan for developing the agency's strategy. The group is in the process of identifying requirements for system(s) to manage electronic records based on record/data type and has begun conducting market research by holding a series of vendor product demos. NARA records managers are also part of all new IT investment reviews to ensure that records management functionality is part of any new system. NARA has also submitted an Administrative (Non-Mission) big bucket schedule to simplify recordkeeping of these records.

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

In FY 2016, NARA plans to develop and implement a shared drive policy, procure a case management/workflow system to capture case-based electronic records, issue a Statement of Objective for a social media capture tool, and continue developing a strategy to implement enterprise-wide electronic records management solutions for all record types.

The 1.1 ERM Working Group will continue to meet.

Records management staff members will continue to participate in the Capital Planning and Investment Control (CPIC) review/approval process for new IT projects to ensure that records management requirements are built into the systems.

NARA will continue to work on its records re-scheduling project. The revised schedule will support NARA in meeting the MGRD electronic recordkeeping goals 1.1, and 1.2. NARA plans to expand the use of the Capstone approach to manage other electronic messages such as text, chats, voice mail, and social media records for senior officials.

The NARA Records Officer, Chief Information Officer, Chief Operating Officer (Senior Agency Official), and the Deputy Chief Operating Officer will meet monthly to report on progress, exchange ideas, and develop policies in meeting the 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.

   <u>*Background*</u>
   The current version of the NARA Records Schedule was first drafted in 1986 soon after NARA became an independent agency. It was approved by the Archivist in 1988.

   Although there were efforts over the years to keep the schedule current, the continual addition of new records series plus the granular nature of the schedule made updates difficult. There are now entire NARA programs whose records are either only partially covered by the schedule or not at all. In addition, the granular nature of the records schedule makes NARA's transition to electronic recordkeeping and managing electronic records difficult.
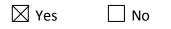
   <u>*Challenges*</u>

Most records represented in the schedule were in analog format when the schedule was approved. Since many records are now created and maintained digitally, they need to be re-scheduled in accordance with media neutrality requirements. Moreover, because the schedule is out of date, both general NARA staff and records management staff find it difficult to implement.

Positive outcomes
NARA is currently in the process of developing a revised and updated records schedule that will satisfy the MGRD goal 2.5. In addition, this revised schedule will also support NARA in meeting the MGRD electronic recordkeeping goals 1.1 and 1.2.

The revised records schedule which will include email, e-messaging, social media, and accounts for all permanent and temporary records will lead to organizations reducing paper and embracing the use of electronic recordkeeping.

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

$\boxtimes$ Yes $\qquad$ $\square$ No

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

NARA has in place a manual process to identify senior departing officials. This process consists of closely monitoring all internal communications channels including NARA notices that announce the departure and appointment of senior officials. Once a departing official is identified, interviews are set up and held to ensure that the official fully understands that Federal records are not to be removed from the agency. The NARA records management official then clears the official's departure from a records perspective.

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

We intend to move parts of the exit clearance process to an online form. If the employee is a senior official, notification will be sent to the records management official automatically. The records management official will then set up and conduct the required exit interview as outlined in 8a above.