



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):

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Position title: Chief Of Staff

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

Answer: This report covers the National Indian Gaming Commission in its entirety.

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:*

- *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.*

Answer: During FY 2015, the NIGC expanded the agency's electronic email archive capacity while it continued to review various pathways towards achieving compliance with *Directive Goal 1.2*. Moreover, the agency's electronic communications system was fully upgraded and its email data, along with metadata, was successfully migrated from a 2003 MS Exchange Server to a more stable 2013 environment. Email data remains fully accessible for various business purposes. In order to accommodate the needs of the agency's FOIA/PA office, procedures were established that now allow designated personnel to obtain targeted access, search capability, and retrievability of email data across all divisions and legacy archives. Finally, anticipating that the agency will be shifting towards electronic recordkeeping tools and procedures, as mandated *SAO for Records Management FY 2015 Annual Report*

under the *Managing Government Records Directive*, the NIGC has moved its Record Management Program into a newly elevated Division of Technology and, as of September 2015, began interviewing candidates for the newly created Records Management Specialist position.

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

Answer: In early 2016, the newly created Records Management Specialist position was filled and the incumbent has had preliminary discussions with senior management regarding strategies for reaching the goals of Directive Goal 1.2. The NIGC will likely be adopting the Capstone approach and in planning for its implementation, a number of actions will need to be taken, including: identifying and scheduling email accounts most likely to contain records that should be preserved as permanent; scheduling the remaining (non-Capstone) email as temporary and retaining them for a set period of time based on agency business needs (i.e., fulfilling agency responsibilities to respond to congressional, FOIA, and discovery requests); and, developing the technological infrastructure and agency procedures that will ensure the proper capture, retention, searchability and final disposition of all emails.

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.

Answer: NIGC employees do not use non-agency electronic communication networks when conducting agency business. In any case, in FY 2016, the NIGC plans to develop and promulgate a formal policy that makes clear that all employee electronic communications must reside on the agency's network.

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).

Answer: Currently, political appointees and senior managers have full access to, and control over, all of their email messages for the length of their terms of service. Upon departure from the NIGC, these messages are maintained and continue to be readily searchable by authorized personnel for specific business purposes. In FY 2016, the NIGC plans to apply the Capstone approach.

Text messages that are sent via an agency assigned cell phone are stored with the agency's private network provider (Verizon). The NIGC is investigating potential methods by which this data can either be captured or transferred to the agency for records retention and disposal.

Chat and instant messaging services that are available to the NIGC are currently inactive, and have never been activated.

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.*

Answer: In FY 2015, the NIGC stabilized the flow of non-electronic records and maintained a customized electronic management system (EMS) that is specifically designed to track, and account for, non-electronic records. The EMS has built-in security features which include microchip technology and security sensors and it operates in tandem with a dedicated and secure centralized physical space at NIGC headquarters where staff are able to divert and assess unscheduled physical records flows for inclusion in the upcoming 2016 records retention review.

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

Answer: Already, in 2016, the NIGC has hired a Records Management Specialist and initiated discussions with the agency's NARA Appraisal Officer about conducting a far-reaching inventory assessment of all NIGC holdings (across all field offices). It is expected that this assessment will be immediately followed by a comprehensive review, and update, of the agency's retention and disposition schedules. To facilitate this project, a current ARCIS report was recently obtained and reviewed for unscheduled storage records. Further actions the agency plans to take to meet Directive Goal 2.5 include:

- revitalizing the agency's record liaison network to provide inventory and records analysis assistance
- meeting with program representatives for assistance in determining appropriate scheduling and disposition controls
- obtaining approval from all of the agency stakeholders of the proposed schedule
- submitting the proposed schedule to NARA for input and possible recommended changes

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,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

Answer: In FY 2015, NIGC senior management concluded that, in order to meet the goals of the *Managing Government Records Directive*, and in particular, *Directive Goal 1.1*, it would be necessary to make some significant changes to the NIGC Records Management Program. First, the program was moved into the agency's Division of Technology so as to ensure that agency electronic recordkeeping functions would be fully integrated into the Technology infrastructure and contribute to resource decision-making. Second, a Records Management Specialist position was created and emphasis was placed on applicants who had technical knowledge and demonstrated experience in designing and managing electronic document management systems. In addition to these steps, discussions were held in regards to developing formal electronic records policies and procedures and, moreover, processing and archiving of electronic records on shared resources were better organized and made more readily accessible.

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

Answer: As the NIGC conducts a comprehensive review / update of its retention schedules it will, simultaneously, begin to shift, as possibilities arise, its various schedules into electronic format. This will require the NIGC to identify the business logic required to capture, control, maintain and dispose of electronic records in conformance with federal recordkeeping statutes and regulations. Actions that follow from this goal will be: defining the scope of covered records; consulting with stake-holders regarding current business practices; reviewing infrastructure / IT Architecture for Electronic Records Management system integration; and,

developing policies and procedures that will enable records users to file/retrieve needed records while records managers continually monitor their life-cycle.

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.

Answer: Since August 24, 2012, when the *Managing Government Records Directive* was released, the NIGC has been through many changes. At that time, the agency was in the process of undergoing a reorganization and, soon after this, its Washington, D.C. headquarters was physically uprooted and relocated. These changes delayed implementation of necessary records management upgrades but, ultimately, reinforced among NIGC senior leadership an appreciation for the vital role that records management plays in sustaining the agency. This resulted in discussions that focused on improving the Records Management Program and, eventually, a decision to transfer the program into the Division of Technology so that it could better harness the agency's technological resources and better support the agency's goal to modernize its workflows around paperless processes, which is in keeping with the aspirations that underlie *Managing Government Records Directive*.

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.*

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.*

Answer: Unlike many departments and agencies within the federal family, the terms of service of the NIGC's political appointees and its top leadership are independent of election cycles. Although the NIGC is categorized, for administrative purposes, within the Office of the Secretary at the Department of the Interior, it is, by law, an independent agency and derives its operating funds not from the General Fund but, rather, from fees assessed on gaming-regulated tribes. As such, it is not expected that the immediate aftermath of the upcoming elections will

have any direct impact on the NIGC's Records Management Program and there are no specific actions being prepared for the upcoming change in Presidential administration.