



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: **Paul D. Ledvina**

Position title: **Records Officer**

Address: **1201 New York Ave, NW, Suite 500, Washington, DC 20005**

Office telephone number: **202.482-9247**

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

U.S. Office of Government Ethics

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

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 new electronic communications (Email) policies in 2014 that incorporate processes required by staff using OGE's new email archiving application (to be implemented in late 2016);**
- **Designed OGE email archiving system enabling users to preserve (archive) a copy of each message created or received that constitutes a permanent Federal record, or any temporary email record appropriate for retention longer than 90 days. Archived email records (with associated metadata) will be maintained and manually managed on a dedicated file server to ensure full search capability and retrievability;**

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

- **Launch new email archiving application in late 2016;**
- **Re-issue updated electronic communications (Email) policies to reflect capabilities of the new email archiving application;**
- **Develop and present training module on using new email archiving application (agency wide, mandatory, staff participation).**

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

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

Email reminders were sent out to all staff.

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).

Standard Operating Procedures (SOPs) provide guidance covering executive electronic messages created or received that must be maintained in the proper permanent or temporary records series. The Director's Confidential Assistant ensures the SOPs are followed. The Records Officer monitors communications records placed in permanent files.

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

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

- **FY 2014 & FY 2015 conducted a detailed review of all existing paper and other non-electronic records located in file stations and the records staging room to ensure that all were covered under existing records schedules. Most records were scanned, the digital files OCR-enabled, and uploaded into the OGE e-Records Room application.**

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

- **Not applicable.**

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

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:*

- **All existing NARA-approved electronic records schedules have been under review and revision to reflect modifications to the software applications to support OGE’s “paperless” work environment;**
- **Nearly all OGE agency records, temporary and permanent, are now in digital format, maintained in the e-Records Room (PDF only) or in one of six other tracking or document storage applications. Some short-term electronic records are maintained on shared drives. Data in these applications is now accessible to OGE staff via their desktop workstations.**
- **Updated disposition practices are in place for all systems. Records appropriate for deletion are deleted manually by authorized staff. The OGE Records Officer coordinates the transfer of permanent records to NARA at the appropriate time.**

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

- **Continue progress preparing proposed revisions to existing schedules to cover electronic formats for records previously created or received in paper format, for submission to NARA in early 2017;**
- **Prepare and present series of training sessions customized to cover the types of Federal records created or received in each program division’s operations, providing SOPs to identify the long and short term preservation of digital files in accordance with program file plans and approved records disposition schedules.**

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.

The challenge implementing a transition to a fully digital records environment for a micro-agency of less than 70 FTEs is the limited resources available to cover costs of outsourced technology solutions or the agency staff with advanced technology skills to develop the applications. Minimizing the complexity of the solution appears to be the most cost-effective approach for a micro-agency. OGE's initial electronic records solutions will not include automated records categorization, retention or disposition capabilities. All agency electronic records will be maintained and disposed manually until a maturing records management technology is available to provide cost-effective solutions for micro-agencies.

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

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.*

Not applicable

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.*

Not applicable