



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: Joseph P. Loddo
Position title: Deputy Chief Operating Officer
Address: 409 3rd Street, SW Washington, DC 20416
Office telephone number: 202.205.7024

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

This report covers all program offices and components of the Small Business Administration (SBA).

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:*

- SBA has established a cross-functional working group for the purpose of developing and submitting for clearance, Agency policy and standards.
- The Office of the Chief Information Officer (OCIO) is migrating SBA's email system to a cloud-based platform for reduced costs and increased efficiencies. The new email platform, Office 365, is a FedRAMP certified system with approximately 3.6 million government users.
- SBA fully intends to implement the Capstone approach to managing Agency email and integrate the Capstone GRS into the email management system.

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

- The OCIO, an integral member of the working group, will implement the technology necessary for complying with the established Agency

standards and performing required disposition including the transfer of permanent email to the National Archives.

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

The SBA has implemented a 2-prong training program; one for senior officials and one for all other employees. The training includes dialog that covers this requirement. Additionally, the Agency Records Officer briefed the SBA Administrator and her senior staff on this very requirement in June 2015.

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).

The working group mentioned above is currently establishing policies, procedures and tools necessary to identify electronic communications, apply appropriate retention and preserve them for proper disposition including transfer for permanent electronic communications to the National Archives.

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.*

To accomplish this goal the SBA has undertaken a contractor working directly with the Agency records Officer to inventory, identify and draft retention schedules for all unscheduled Agency records.

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

The SBA plans to use the results of its inventory and identification project to submit retention schedules through NARA's ERA system by the December 31st deadline.

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:*

The SBA is moving in a positive direction to accomplish this goal by the deadline. Like most federal agencies, the SBA is challenged by competing priorities and available budgetary resources. Nevertheless we anticipate the appropriate systems and policies to be in place by December 31, 2019.

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

- The current records inventory project includes the identification of electronic records systems, even though they are not part of the December 2016 deadline.
- Drafting and submitting for NARA approval, retention schedules for electronic records systems.
- Establishing formal Agency policy and procedures for the transfer of permanent electronic records to the National Archives.
- Establishing Agency goals and technical criteria for managing electronic records including access, retrievability and dissemination.

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

The SBA is diligently working to develop technical requirements and expertise necessary to be a successful and compliant part of the digital government. Competing priorities and resources will continue to be a challenge as the SBA strengthens its infrastructure and implements digital solutions .

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

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.*

Three organizational components of the SBA are critical partners to the success of managing the records of departing senior officials. They are the Records Management Division, the Office of the Executive Secretariat and the OCIO. Preliminary discussions and planning have already begun to ensure the capture and preservation of these very important records. All three components fall under the supervision of the Chief Operating Officer.

- 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.*

- Identify all senior and other departing officials.
- Provide an initial briefing regarding records management requirements prior to their departure.
- Identify all records associated with each individual official.
- Capture and preserve all records in all formats.