



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: Michael Graham

Position title: Senior Vice President for Management and Chief Financial Officer

Address: 2301 Constitution Ave. NW, Washington, DC 20037

Office telephone number: 202-429-3836

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

The United States Institute of Peace

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.*

In FY 2015 the Institute implemented a cloud-based solution (Microsoft Office 365) that allows for automated capture of all email and provides access and retrievability of email in the system.

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

In FY 2016 the Institute will most likely implement the Capstone approach for agency email (pending approval of the approach from senior agency officials). That implementation process will include the establishment of formal email policies and disposition practices.

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. No such policies or training have been provided to 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).

At this time all agency email is retained in the cloud-based email system. Other types of electronic messages are not retained or managed.

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.*

The Institute's Records Officer has worked with our NARA archivist to get approved an additional schedule for a major Institute initiative (the building of our headquarters building).

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

The Institute's Records Officer will continue to work with NARA to write additional schedules – plans are already underway to schedule board materials in FY2016. Additional schedules will follow but are unlikely to all be completed by the December 2016 deadline given the time required to complete the full review and approval process with NARA.

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.*

The Institute has a formally approved records policy that is format neutral and covers both paper and electronic records.

The Institute has also completed or is currently implementing several new systems for capturing electronic records, including cloud storage of staff email and documents and automated travel and financial systems that automate capture of a variety of electronic records such as Travel Authorizations and Vouchers.

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

The Institute will need to work in the future to establish disposition practices for agency electronic records. The first step will be to complete records schedules for remaining unscheduled records.

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 Institute has adopted a cloud solution for managing email and personal staff documents. This technology allows for some records management functions such as legislation holds. The Institute is also in the process of moving to an integrated paperless system for travel and other financial processes that will make record keeping more streamlined.

Positive outcomes from the transition to the cloud have included increased efficiencies for both program and administrative staff, and ease of access to email and documents for staff working remotely.

Challenges in implementing the *Managing Government Records Directive* have included limited resources for records management, and insufficient consideration of records management requirements in new technology project implementations.

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.*
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