



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: Kermit Jones

Position title: Chief of Staff

Address: 1401 S. Clark St. Suite 715, Arlington, VA 22202

Office telephone number: 703 603 2120

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

U.S. AbilityOne Commission

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,*
The Commission is exploring options for sorting email and expects to establish approved email policies during FY 16.
- *use of any automated systems for capturing email ,*
The Commission will use In-Place Archiving as part of Archiving in Office 365.
- *providing access / retrievability of your email,*
The Commission will use Office 365 with eDiscovery.
- *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.*

The Capstone approach, though untried at this point, remains a viable option for the Commission; expect to resolve, then implement in 4th Quarter, FY 16

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

- **Configure automated archiving for all employees using Office 365 and a third party solution for Records Management**
- **Use Cloud-based storage from Microsoft to store archived records.**
- **Set-up policies for data loss prevention for sensitive data**
- **Use the Office 365 Import Service to import PST files to Exchange Online mailboxes**

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.

We have archived our Senior Staff emails since 2015 and made it accessible. We used a manual approach to archive the emails. Secondly, we moved our Messaging system to the Microsoft Office 365 cloud system which is capable of automated archiving. All senior managers are routinely advised (at weekly Senior Staff meetings) of the requirement to forward federal records from their non-official accounts to official accounts within 20 days.

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).

Commission's agency head and executive staff members don't use texts, chats and instant messaging services.

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.*

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

Agency is undergoing an almost total transformation, including the addition of an Office of Inspector General and doubling of FTEs. The Commission plans to meet the goal by finalizing records schedules for existing paper and other non-electronic records and submitting them by the 4th Quarter of FY 16.

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.*

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

The Commission will use Office 365 compliance policies to manage archiving of mailboxes, eDiscovery cases, auditing reports, and retention and deletions policies. (eDiscovery is the process of identifying and delivering electronic information that can be used as evidence in legal cases.) We are also researching a suitable management system which assist sorting federal and non-federal 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 Commission continues to research and explore for systems that will enable it to automate the sorting of emails; a solution is not yet decided.

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.*

No departures are anticipated as a result of the change in Presidential administrations.

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.*

All senior officials will be reminded of their responsibilities concerning management of records. There are only a small number of officials that could possibly depart, but who are not anticipated to do so. Close monitoring in a very small agency like the US AbilityOne Commission is more easily accomplished than a large cabinet-level department,