



## ***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](mailto: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: John M. Fowler

Position title: Executive Director

Address: 401 F Street, NW, Suite 308, Washington, DC 20001

Office telephone number: 202-517-0200

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

*Please list them below:* Advisory Council on Historic Preservation

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*)

X 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.*

-The ACHP is ready to approve an agency wide email policy to clarify the appropriate procedures for email management. This policy includes frequently asked questions and answers.

-The ACHP records officer is preparing to coordinate with office directors on electronic records management policy and procedures to support the email policy.

-The ACHP is considering the Capstone approach for its Executive Director.

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

- The Office of General Counsel has been and will continue to work with the Office of Administration to explore email management systems and protocols to help make records management more efficient.
- The ACHP is finalizing an electronic records transition plan to help it move from print and file management practices to permanent electronic records management.

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?

X Yes       No

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

The agency records officer has prepared and is ready to send updated guidance and instructions to all staff and Council members regarding the amendment to the FRA. This information is also included in revised agency policy and procedures.

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).

All ACHP employees and Council members are responsible for managing their own electronic messages in accordance with agency records management policy, procedures, and schedules.

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*)

X Yes       No

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

The ACHP completed an agency wide inventory and developed two new records schedules to account for all currently known records; NARA approved the records schedules in 2013.

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

The ACHP will continue to inventory its records regularly and as needed to ensure any new records are scheduled appropriately.

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*)

X 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*

-The ACHP records officer has drafted an electronic records transition plan and will be coordinating with office directors to finalize and implement this plan in the near future. The current agency records schedules already include the disposition of 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 agency records officer will continue to meet with the office directors to discuss approaches to electronic records management and implementation of the transition plan.

-The agency records officer will continue to meet with the Office of Administration to discuss the acquisition and use of automated systems for capturing electronic 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.*

As a micro-agency with less than 50 full time employees, it is challenging to meet the deadlines with limited staff and resources. Additional guidance from NARA regarding use of existing

resources, without the necessity of purchasing additional software or automated systems, would be helpful.

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.*

The ACHP policy-level leadership (Chairman and Vice Chairman) have terms that extend into 2017 and will not be departing at the end of the current Administration in January. They are also Special Government Employees that do not serve full-time and are not physically located in the offices of the ACHP. The ACHP maintains the records for their official actions in a manner that does not make such records accessible for removal by these appointees.

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.*