



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: Marie Lennon

Position title: Director of Management Services

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Office telephone number: 202-203-4515

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

Please list them below:

The Broadcasting Board of Governors (BBG), which includes four major components:

- Voice of America;
- Office of Cuba Broadcasting;
- International Broadcasting Bureau; and
- Office of Technology, Services, and Innovation.

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,*
- *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 BBG has developed a draft policy on email records management for inclusion in the Broadcasting Administrative Manual (BAM), which is the collection of all

agency-wide policies. The BBG's draft policy is based on NARA's sample Email Management Directive and would implement a Capstone approach to email management. Agency stakeholders are currently reviewing the draft policy. Once this policy is formally approved and incorporated into the BAM, the BBG will configure its cloud email archive to implement the policy and provide employees with training and supplementary guidance on how to manage their email accounts in accordance with the policy. In the interim, the BBG will identify Capstone positions, and the personnel occupying those positions will be provided training on email management for Capstone officials. The BBG expects it will formally approve an email records management policy by December 31, 2016.

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

The BBG plans to:

- Approve and implement an email records management policy;
- Identify Capstone positions within the BBG; and
- Train personnel occupying Capstone positions on email management for Capstone officials.

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.

The BBG drafted an email records management policy that addresses the 2014 amendments to the *Federal Records Act*. The BBG plans to address requirements to forward or copy federal records from non-official accounts to official accounts as part of training for Capstone officials in 2016, and ultimately for all employees.

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).

Electronic messages for all Agency personnel are managed in the same manner. Currently, electronic messages on agency-provided communication tools (e.g., email and instant messaging) are managed by the account holder, who is responsible for conforming to retention requirements in the GRS or BBG-specific records disposition schedules relevant to his or her line of business.

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 BBG has:

- Worked with its appraisal archivist to identify all unscheduled records;
- Drafted records schedules for submission in ERA;
- Provided NARA's KA training to staff within the Office of Administration to help records management staff identify records that do not fall under any existing records disposition schedule; and
- Designated records liaisons within its major components (i.e., Voice of America, Office of Cuba Broadcasting, International Broadcasting Bureau, and Office of Technology, Services, and Innovation) to assist managers in those components with their records management responsibilities, including identification of unscheduled records.

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

The BBG plans to provide records management training to its records liaisons, so that records liaisons can then train additional employees within each of the agency's major components to identify unscheduled records.

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.*

The BBG has formed a Business Systems Integration group that is working on a number projects to improve agency business processes. This group plans on addressing the agency's document management processes, beginning in FY 2016.

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

The BBG plans to:

- Establish policies regarding the management of permanent electronic records; and
- Train employees on how to handle electronic permanent records once policies are established.

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.

BBG has had some trouble accessing key NARA personnel to receive guidance on accessioning electronic records. Specifically, BBG needs to know which digital formats NARA prefers when electronic records are transferred.

Expedited procedures for requesting and receiving NARA approval for records disposition schedules, would help the BBG meet the requirements set by the *Managing Government Records Directive*.

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 BBG Board has been instructed to use agency-provided devices (e.g., computers, phones, etc.) and agency-provided email accounts, rather than their personal devices or accounts, when conducting official business.

- 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.

The BBG plans to train any newly appointed personnel on proper records management.