



## ***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: **Mary James**

Position title: **Deputy Chief Information Officer/ Deputy Assistant Executive Director/  
Senior Agency Official for Records Management**

Address: **4330 East West Highway Bethesda, MD 20814**

Office telephone number: **301-504-7213**

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

*Please list them below:*

**U. S. Consumer Product Safety Commission (CPSC)**

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.*

**Response:** The CPSC

- drafted policy guidance for email retention and disposition
- implemented technical capabilities for capturing and retaining all agency email

- has in place current embedded capabilities for accessing and retrieving email as well as additional search and retrieval software to support discovery requests
- evaluated the current email platform for the ability to implement disposition rules once policy is completed
- is considering the Capstone approach as part of its policy solution for meeting the Directive requirements

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

**Response:** In 2016 CPSC

- intends to continue progress toward the requirements of M-12-18
- is planning to complete policy to guide implementation actions
- evaluate existing technical capabilities to identify potential gaps with finalized policy
- identify gaps in records program skills and staffing needs
- provide planning and development for training and awareness necessary for agency implementation

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.*

**Response:** CPSC developed and implemented policy restricting the use of personal electronic messaging accounts or devices to create federal records, in accordance with the Federal Records Act (44 U.S.C. 2911 as amended by Pub. L. No. 113-187). If a personal account or device is used to create federal records, employees are required to forward a complete copy of the message to their official CPSC electronic messaging account immediately, or as soon as reasonably possible, but no later than twenty (20) days after the message was created. This policy has been included in CPSC’s Rules of Behavior, as part of CPSC’s annual security training requirement.

In addition, the CPSC’s Chief Information Officer issued policy on the limited use of text messaging on government issued and personal devices. CPSC policy restricts the use of text messaging for official government business to emergency situations only, when no other means of communication is available. If a text message is necessary, employees are required to forward a complete copy of the text message to their official CPSC electronic messaging

account immediately, or as soon as reasonably possible, but no later than twenty (20) days after the text message was created.

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).

**Response:** Currently all CPSC e-mail messages are collected and retained for all employees including the CPSC Chairman and all senior agency officials. Additionally as a management control the CPSC's Chairman and the Chairman's staff have been briefed on the Federal Records Act (44 U.S.C. 2911, as amended by Pub. L. No. 113-187) with particular attention to Section 10 (Disclosure requirement for official business conducted using non-official messaging account.) to increase awareness of the need to include formal communications in agency systems of records.

CPSC's Rules of Behavior and limited use of text messaging for official business are additional controls. This information is also included in CPSC's annual security training requirements for all employees.

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.*

**Response:**

- CPSC Records staff completed NARA training on Records Scheduling
- Records staff and management are assessing resource requirements to meet the goal
- Records staff met with key CPSC program area staff to communicate actions necessary to meet the goal

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

**Response:**

- Identify additional required resources
- Develop records schedule policies
- Inventory all CPSC records
- Review CPSC holdings currently at the Federal Records Center for scheduling

- Draft and submit updated agency records schedules for approval

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.*

**Response:**

- CPSC has drafted policy guidance for email retention and disposition
- CPSC has identified several areas for consideration in revision of or creation of new records management policies as a result of the transition to an electronic records oriented policy framework including clarification of roles, impacts to other associated programs (such as FOIA, discovery, knowledge management)
- CPSC has upgraded many of its information technology systems to include significant electronic records management capabilities including records retention and storage
- These same tools also incorporate search and viewer capabilities to provide access and retrievably
- The tools implemented to date provide disposition capability based on disposition practices that will need to be formalized through policy revision

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

**Response:** CPSC intends to

- develop records retention and disposition policies
- provide training to staff on managing records electronically, using electronic record-keeping systems

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.*

**Response:** CPSC's primary challenge to implementing the *Managing Government Records Directive* continues to be limited resources. Increased availability of records for agency use and the ability to provide greater consistency of records management rules can provide value beyond compliance. There is broad recognition of the potential benefits of managing traditionally paper-based records in an electronic format to promote clarity about agency decisions, increase timeliness of response to document requests and to promote knowledge sharing.

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.*

**Response:**

- CPSC has reviewed and updated employee departure processes and procedures with respect to records of departing senior officials
- CPSC has confirmed that these processes and procedures address management of such records

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.*

**Response:**

- CPSC's Records Officer will provide formal guidance to incoming executive staff outlining responsibilities and actions required for properly managing agency records and their responsibilities for ensuring transfer before departure
- Records Management staff will work with departing senior officials to help facilitate the identification and transfer of agency records prior to appointee departure dates