

Department of Commerce

Fiscal Year 2015 Senior Agency Official (SAO) Report

Provide the following information (required):

Name of SAO: Steve Cooper

Position title: Department of Commerce Chief Information Officer

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

- Bureau of Economic Analysis (BEA)
- Bureau of Industry and Security (BIS)
- U.S. Census Bureau (Census)
- Economic Development Administration (EDA)
- Economics and Statistics Administration (ESA)
- International Trade Administration (ITA)
- Minority Business Development Agency (MBDA)
- National Institute of Standards and Technology (NIST)
- National Oceanic and Atmospheric Administration (NOAA)
- National Technical Information Service (NTIS)
- National Telecommunications and Information Administration (NTIA), including FIRSTNET
- United States Patent and Trademark Office (PTO)
- Office of the Secretary (OS)
- Office of the Inspector General (OIG)

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

Note: Commerce will meet the deadline. The Commerce implementation date is conditional on NARA's approval of the Department's Capstone schedule(s). If NARA changes the size and scope of what Commerce applies for the Capstone schedule, or NARA delays approval, this will impede Commerce progress and ability to meet the deadline of December 2016.

2a) Provide a list of actions your agency, components, or bureaus have taken to meet this goal:

	a) Completed	b) Planned
Email by 2016	FY/Quarter	FY/Quarter
CAPSTONE SCHEDULE		
Esatablish Enterprise Capstone Approach		
<i>NARA released Capstone</i>	FY15/Q4	
<i>Joint meeting DOC/NARA / define expectations</i>		FY16/Q1
<i>Datacall to bureaus</i>		FY16/Q1
<i>Mapping to baseline application materials</i>		FY16/Q3
<i>Application to NARA</i>		FY16/Q3
<i>Assumed Approval by NARA, no later than</i>		FY16/Q4
Policy - DOC OCIO & DOC OGC Partnership		
<i>Define scope of policy</i>	FY15/Q1	
<i>Draft policy</i>	FY15/Q1	
<i>Vet policy within DOC OCIO</i>	FY15/Q3	
<i>Vet policy OS</i>		FY16/Q3
<i>Policy Clearance/OGC</i>		FY16/Q4
<i>Policy Executed w/signature & date</i>		FY17/Q2
Establish Triggers - Partner with HR		
<i>Establish working relationship with HR</i>		FY16/Q2
<i>Define triggers</i>		FY16/Q3
<i>Test triggers</i>		FY16/Q4
<i>Implement triggers</i>		FY17/Q1
IMPLEMENT CHANGES TO EMAIL SYSTEM AND/OR ADMINISTRATION		
NOAA (technology acquired in 2015)		FY17/Q1
Remaining Bureaus: Implement administrative procedures		FY17/Q1
CAPSTONE OUTREACH		
Define training messages	FY16/Q1	
CLC Training Module Added to RM 101 for All Hands		FY17/Q1
MAX/All Hands		FY16/Q4
Handouts / New Employee / All Hands		FY17/Q1
PowerPoint / Capstone Officials		FY16/Q3

CAPSTONE SCHEDULE: NARA rolled out the Capstone General Records Schedule for email in September 2015. Commerce is pursuing an enterprise-wide Capstone

schedule for email. NARA approval of a Commerce Capstone Email Schedule is a prerequisite of the Commerce implementation of the Capstone approach in the bureaus.

IMPLEMENT CHANGES TO EMAIL SYSTEM AND/OR ADMINISTRATION: Commerce has nine email systems across twelve bureaus. Commerce bureaus will implement changes to their existing email systems and/or administration of the email systems, to meet a Capstone approach. NOAA acquired an automated solution in FY 2015. As shown in the chart above, this will be implemented before the end of FY 2017/Q1. The remaining Commerce bureaus plan to manage emails through a combination of automation and administrative processes. These will be implemented following NARA approval of the Capstone schedule. This has a target of the end of FY 2017/Q1.

CAPSTONE OUTREACH: Commerce outreach to staff will include user responsibilities for managing their email under Capstone. It will also address other email responsibilities such as the Commerce prohibition against using personal email for business purposes (2014 Amendments to the Federal Records Act); and a policy to prohibit use of texts, instant messaging, and chat for transmitting official records (policy in process).

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

See answer for 2a), above.

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

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).

During FY 2015, Commerce policy for managing email was print and file in accordance with NARA's General Records Schedule. The largest bureaus NOAA, PTO and Census, augmented with additional policies for print and file for email.

In FY 2016, Commerce will implement a policy to prohibit against use of texts, chat and instant messaging for the capture of records. Commerce will provide outreach to staff through various mediums of online training, handouts, online information, and reaching out through meetings.

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.

	a) Completed	b) Planned
Records Schedules by 2016	FY/Quarter	FY/Quarter
Policy & Guidance		
Evaluate existing policy	FY 2013/2014	
Draft guidance & outreach tools		FY 2016/Q2
Go live with guidance & outreach tools		FY 2016/Q4
Ensure bureaus have records schedules		
NARA Electronic Records Archive (ERA) roll out to all bureaus	FY 2013/ 2014	
All DOC bureaus have records schedules posted on Archives.gov	Ongoing	Ongoing
Review Records in Long Term Storage at FRC		
Annual review of FRC reports with FRC POC	FY 2013/Q2-Q3	
Annual review of FRC reports with FRC POC	FY 2014/Q2-Q3	
Annual review of FRC reports with FRC POC	FY 2015/Q2-Q3	
Annual review of FRC reports with FRC POC		FY 2016/Q2-Q3
Review Records in bureaus		
Ongoing monitoring of records in bureaus	Ongoing	
Ongoing monitoring of records in bureaus		Ongoing

POLICY AND GUIDANCE: Commerce requires all bureaus to follow the laws, regulations, and guidance provided by NARA to ensure that records schedules exist for Commerce records. The Commerce plan for FY 2016 includes developing online pages for records officers and

system owners to help them research their existing records schedules ensure, they know who to call if they have questions, and provide a tool to help them create a new schedule.

ENSURE BUREAUS HAVE RECORDS SCHEDULES: NARA has stated that the Electronic Records Archive (ERA) is the official system for application of all new records schedules. Commerce rolled out the NARA ERA system across the enterprise in 2013 and 2014. This provides Commerce bureaus the functionality to create and negotiate new schedules with NARA, going forward. In addition, Commerce has confirmed that our existing schedules are posted on Archives.gov.

REVIEW RECORDS IN LONG TERM STORAGE AT FRC: Commerce has a process to review records in long-term storage to ensure identify unscheduled records and arrange for them to be scheduled. Annually, the DOC Records Officer and the Records Officers for each of the bureaus teamed with the Federal Records Centers (FRC) to identify unscheduled records in long term storage. This process started in 2013, and takes place annually, between the months of March through May.

REVIEW RECORDS IN BUREAUS: Commerce bureau Records Officers have internally reviewed records inventories against their schedules, and records schedules have been created to cover all known deficiencies. This is continuous monitoring, for all years.

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

See answer for 5a), above.

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.*

	a) Completed	b) Planned
Permanent Records by 2019	FY/Quarter	FY/Quarter
Policy		
Inserted Records Management into the Department's Enterprise Architecture	FY14/Q2	
Distribution to bureaus: Bulletin 2015-01: Scheduling Guidance on the Appropriate Age for Legal Transfer of Permanent Records to the National Archives of the United States	FY15/Q3	
Distribution to bureaus: Bulletin 2015-02: Guidance on Managing Electronic Messages	FY15/Q4	
Distribution to bureaus: Bulletin 2015-03: Guidance on Managing Digital Identity Authentication Records	FY15/Q4	
Distribution to bureaus: Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records	FY15/Q4	
Draft DOC minimum requirements for ERMS	FY16/Q1	
Go-live with DOC minimum requirement for ERMS		FY16/Q4
Identify permanent records series maintained by the agency		FY17/Q3
Update older records schedules as media neutral schedules		FY17/Q4
Acquisition of New Automated Records Management Systems		
NOAA pilot in regional office	FY14/FY15	
Implement NOAA enterprise-wide solution for managing records		FY19/Q4
Leverage Existing RM Systems		
IT Asset Inventory		FY16/Q3
Survey bureaus to support conversion of paper to electronic, when appropriate		FY18/Q2
Disposition		
Disposition	Ongoing	Ongoing

POLICY: Commerce policy is to meet NARA requirements for electronic records management systems, and NARA retention requirements. Throughout FY 2015, the Department distributed NARA Bulletins with guidance regarding electronic systems to the bureaus timely. To supplement the NARA Bulletins, Commerce has drafted set of minimum Records Management requirements for records management systems. The draft set includes system requirements, functional requirements, and NARA metadata requirements for permanent records. To ensure permanent records schedules can support electronic systems, Commerce is identifying permanent records series, updating older schedules as media neutral schedules, and evaluating paper records for conversion to electronic.

ACQUISITION OF NEW AUTOMATED RECORDS MANAGEMENT SYSTEMS: NOAA has decided to pursue an automated solution. They have a pilot in the field. This section will be updated as new acquisitions for automated systems are identified.

LEVERAGE EXISTING RECORDS MANAGEMENT SYSTEMS: In FY 2016 Commerce is focusing on requirements refinement, gap analysis, and architecture. The DOC Records Officer and bureau Records Officers will evaluate the IT Asset Inventory to determine which systems hold permanent records. The DOC Records Officer and the bureau Records Officer will map the permanent records to IT systems, and identify which permanent records need an automated solution by 2019.

DISPOSITION PRACTICES: Commerce disposes of permanent records in an ongoing basis. This includes response to FRC reports and requests for disposition of permanent records in long term storage at the Federal Records Centers.

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

See answer for 6a), above.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

One of Commerce's challenges and opportunities is to figure out ways to deliver better service, but do it in a more economically sustainable way. Commerce is focusing on creating records in electronic format, using them electronically, and disposing electronically. This includes encouraging the use of workflows, development of a digital signature policy, collaboration workspaces, and strong cyber-security.

Commerce assesses converting legacy paper records on a case by case basis. The digitization of legacy paper considers the length of the remaining life of the paper record, anticipated access needs over the remaining life of the record, and the cost of digitization.

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.

		a) Completed	b) Planned
Change of Administration		FY/Quarter	FY/Quarter
	Bureau briefing materials and tools for senior leaders	Ongoing	
	Separating Employee DAO 202-299, version Apr 2009	FY09/Q3	
	Form CD 126 Separation Clearance Certificate, version Jul 2011	FY11/Q4	
	Establish collaboration area sharing training materials between bureaus	FY13/Q3	
	Enterprise-wide virtual RM training for All Hands in Learning Center	FY14/Q2	
	Review and update senior leader briefings		FY16/Q2
	Identify mass briefing opportunities senior leaders exiting & onboarding		FY16/Q3
	Coordination with HR on triggers for senior leader changes		FY16/Q4

The Commerce approach to managing records during the change of administration is through policy, user-certification that no records are removed, and training.

Commerce Department Administrative Order (DAO) precludes separating employees from removing Government property, records or documents. Separating employees certify via a mandatory Separation Clearance Certificate.

Bureaus have briefing materials and tools for senior leaders. At an enterprise level, Commerce supports the bureau education and outreach through onboarding briefings, virtual Records Management 101 training, speaking at Commerce events, and providing a collaboration space where bureaus are sharing their training materials and tools.

Commerce is using the change of administration to review the baseline materials and update them.

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.

See answer for 8a), above.