

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: Sylvia W. Burns

Position title: U. S. Department of the Interior Chief Information Officer

Address: 1849 C Street NW
Washington, DC 20240

Office telephone number: (202) 208-6194

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

The Department of the Interior Senior Agency Official represents the component bureaus and offices in the table below (identified by Bureau/Office name and NARA Record Group).

TABLE 1

Department of the Interior	Department	RG
Department of the Interior	Office of the Secretary	RG048
Department of the Interior	Indian Arts and Crafts Board	RG435
Department of the Interior	Bureau of Indian Affairs	RG075
Department of the Interior	Bureau of Land Management	RG049
Department of the Interior	Bureau of Ocean Energy Management	RG473
Department of the Interior	Bureau of Safety and Environmental Enforcement	RG589
Department of the Interior	Bureau of Reclamation	RG115
Department of the Interior	National Park Service	RG079
Department of the Interior	Fish and Wildlife Service	RG022
Department of the Interior	Office of Special Trustee	RG075
Department of the Interior	Office of Surface Mining, Regulation and Enforcement	RG471
Department of the Interior	United States Geological Survey	RG057

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

The DOI implemented a solution to address OMB M-12-18 Goal 1.2 and was fully operational on January 23, 2013.

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.***

As of January 23, 2013, the DOI continues managing all inbound and outbound email, as identified in Question 1, Answer 1, Table 1. The DOI has met the 2016 OMB M-12-18 Directive Goal 1.2 of electronically managing email records. The DOI is in the process of implementing a simplified records schedule by developing a consolidated bucket approach utilizing mission lines of business. The DOI has further cross-walked existing NARA-approved records schedules to leverage auto-categorization of electronic email records through software modeling.

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

The Department has already completed the OMB M-12-18 Directive Goal 1.2.

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 DOI issued OCIO Directive 2015-003, "Notice of Official Requirements for Official Business Conducted Using Non-Official Electronic Messaging Accounts" as well as OCIO Directive

2014-003, "Acceptable Use of Bison Connect Electronic gChat Technology". The purpose and intent of these directives is included in both online, and instructor-led training.

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).

The DOI currently manages all email in support of OMB M-12-18 Goal 1.2. In support of this effort and the goal of OMB M-12-18 Goal 1.1, the DOI implemented an enterprise records management cloud program which incorporates training, auditing, tracking, access rights, version control, physical security, secure authentication, records schedules, and DRM integrated in a DoD 5015.2 records management system.

Additionally, DOI has revised the Departmental Manual for Records Management and developed Standard Operating Principles and Procedures (SOPPs) to address specific records management functions ensuring uniform management.

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 DOI has taken steps to meet this goal by beginning the consolidation of cross-walking approved NARA agency records schedules into lines of business buckets. This approach allows DOI to align related records schedules and consistently apply records retentions and controls leveraging auto-categorization of electronic email records through software modeling.

In 2014, the NARA approved the Administrative Departmental Records Schedule. In 2015, the DOI submitted the Policy Departmental Records Schedule and a portion of Mission Departmental Records Schedule for for approval.

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

The DOI plans to take action in the future to meet this goal by continuing its efforts in the consolidation of approved bureau office records schedules to a single Departmental Records Schedule. The intent is to complete this effort in FY2016.

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.*

In FY2012, the Department performed a data call to identify existing and/or legacy records management systems. This data call also included physical storage locations. In FY2016 and to support of OMB M-12-18 Goal 1.1, the Department issued a request to update the FY2012 data call.

To support OMB M-12-18 Goal 1.1, the DOI is working with bureaus to identify mission system records management strategies and establish migration or manage-in-place plans. These plans will address funding, policy, preservation and automation to ensure appropriate management, classification and accessing of identified records.

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

DOI plans to support OMB M-12-18 Goal 1.1. by addressing both permanent and temporary records. The DOI plans to leverage existing contractual offerings including enterprise digitization and shredding services. The DOI plans to work with bureaus and offices to ingest legacy electronic records into the DOI electronic records management system. Additionally, the Department plans to work with bureaus and offices to digitize non-electronic records and incorporate those records into the DOI electronic records management system. As a third alternative to digitization, or shredding, and where practical, the DOI plans to manage records in-place. Through these and other efforts, the DOI expects to add over one billion more electronic files and over 100,000 cubic feet of digitized paper by the end of FY2019.

DOI plans to work with bureau offices to prepare the migration and or management-in-place through the centralized enterprise records management cloud program for legacy records. In doing so, the DOI expects to be in steady-state by December 31, 2019.

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.

While NARA has developed new policies and guidance, it needs to be incorporated into a comprehensive plan for addressing and integrating policy for the sustainable management of electronic records. To date, NARA has not presented a comprehensive plan for development and integration of regulation, policy, requirement or guideline respective of the management of electronic records and the relation to OMB M-12-18. The processes and relationships related to the regulation, policy and guidance are essential in meeting the requirements outlined in the OMB Directive M-12-18, as well as in support of the overall DOI Records Management Program and long-term agency mission.

While NARA has worked with OMB to issue OMB Directive M-12-18 and established an SAO position, NARA continues to actively operate in a legacy management mode by measuring component office risk through a compliance snapshot. It would be more effective to implement continuous monitoring of records management risk through the implementation of the NARA records management maturity model. By implementing this model and utilizing the SAO, the component offices within those constructs (i.e., Bureaus) would report through a single hierarchical management structure. Case in point, the Records Management Self-Assessment (RMSA) for DOI is distributed to bureaus and not coordinated through the SAO or Departmental Records Officer. This approach poses potential conflict with OMB M-12-18 SAO approach. Under the auspice of a Departmental Records Schedule, Super Bucket or centralized schedule, the independent analysis currently used with the RMSA does not appropriately reflect an agency's overall records program. NARA should re-evaluate the RMSA distribution, collection and reporting requirements so that the reports generated from this audit supports the agencies processes, mission and the objectives of M-12-18 as a "centralized" solution for records management.

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 DOI issued a Memorandum on February 15, 2013, "Managing Federal Records and Documents for Departing Political Appointees".

The DOI has further developed and established a Standard Operating Principles and Procedures (SOPP) document to provide support details of the Exit Clearance Process as a part of the Departmental Records Management Program.

In addition to SOPPs, DOI requires records management training for all new DOI Staff (employees, contractors, interns, students and volunteers) and annual training for all DOI Staff. The Department provides online training, evaluates the understanding of records management training through testing, and requires a successful records management test score to attain a records management certificate for the corresponding year. In FY2015, DOI had a 99+% compliance for successful completion of online DOI records management training module.

The Department has also offered specialized electronic records management training for bureau and office designated records officers, designated records officer support staff and specific program staff requiring early and advanced case assessment. Early and advanced case assessment training attendees included Office of the Solicitor, Office of the Inspector General and records management support staff.

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.

In the future, the DOI will automate the records management of political appointees within the program to ensure that records are consistently identified, captured and preserved as a permanent record. DOI will also examine the current political appointee list and determine whether this list reflects high level officials for DOI records management purposes.