



## ***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.

**Department of Education**  
**Senior Agency Official for Records Management**  
**2015 Annual Report**  
*Draft*

**Provide the following information (required):**

Name of SAO: Andrew Jackson

Position title: Assistant Secretary for Management, Department of Education

Address: 400 Maryland Ave., SW Washington, DC 20202

Office telephone number: (202) 453-5709

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

**Components of the U. S. Department of Education**

Office of the Secretary  
Office of the Deputy Secretary  
Office of the Under Secretary  
Office of Communications and Outreach  
Office of the General Counsel  
Office of Inspector General  
Institute of Education Sciences  
Office for Civil Rights  
Office of Legislation and Congressional Affairs  
Office of the Chief Financial Officer  
Office of Management  
Office of the Chief Information Officer  
Office of Planning, Evaluation, and Policy Development  
Office of Educational Technology  
Faith Based and Neighborhood Partnerships  
International Affairs Office  
Office of Innovation and Improvement  
Office of Special Education and Rehabilitation Services  
Office of English Language Acquisition  
Office of Elementary and Secondary Education  
Federal Student Aid  
Office of Career, Technical, and Adult Education

Office of Post-Secondary Education  
White House Initiative on Asians and Pacific Islanders  
White House Initiative on Educational Excellence for African Americans  
White House Initiative on Educational Excellence for Hispanics  
White House Initiative on Historical Black Colleges and Universities  
White House Initiative on American Indian and Alaskan Native Education

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,*

The Department has established a high-level steering committee to provide guidance and oversight of the Enterprise Electronic Records Management System (EERMS) IT initiative, and related policy and procedures for electronic records, including email records. The Office of Management, in conjunction with the Office of the General Counsel and the Office of the Chief Information Officer, issued guidance for managing text and instant messages in 2015.

- *use of any automated systems for capturing email,*

The Department uses the Symantec e-Vault application to manage email.

- *providing access / retrievability of your email,*

The Department uses the Symantec e-Vault application to access and retrieve email.

- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*

The Department has decided to follow a Capstone approach for managing its email. The Capstone approach establishes disposition practices for agency email (7 years for temporary email and permanent retention for Capstone officials).

- *possible implementation of the Capstone approach for applicable agency email.*

The Office of Management developed a Capstone approach for managing its email records that is currently in the internal review and approval process for Departmental records retention and disposition schedules. Once completed, the Department's Capstone package will be submitted to NARA for review and approval. We expect the package to be ready for NARA submission early in 2016.

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

The Department will submit its Capstone package to NARA in early 2016 calendar year. Upon NARA approval, Capstone will be implemented using the Symantec e-Vault email archiving application.

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 Records and Information Management Directive was revised to incorporate the 2014 Amendments to the Federal Records Act, including those relating to electronic messaging. Those changes are also included in the 2016 mandatory records management training module 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 messaging is managed as part of network operations. All email is captured in the Symantec e-Vault email archiving application. The Department issued guidance on texts, chats, and instant messaging in 2015, and is developing technical instructions for capturing texts, chat, and instant messaging in the email system.

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.*

All Departmental non-electronic records are currently covered by records schedules.

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

Unscheduled non-electronic records are identified and scheduled as part of the file planning process.

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*
- .

Phase 1 of the Department's enterprise electronic records management system (EERMS) IT initiative is underway, which includes requirements engineering and establishing a project management office (PMO) that complies with Project Management Institute best practices. Phase 1 also includes development of an acquisition strategy for acquiring the appropriate software and hardware to enable the transition to department-wide electronic recordkeeping.

Departmental electronic records management policies and procedures will be revised to reflect recent changes to the Federal Records Act for electronic messaging and to implement a Capstone approach to managing email. The EERMS will provide access, retrieval, and disposition of unstructured electronic records. The Symantec e-Vault email archiving application will provide access, retrieval, and disposition of email.

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

As noted above, Phase 1 of the Department's enterprise electronic records management system (EERMS) IT initiative is underway, which includes requirements engineering and

establishing a project management office (PMO) that complies with Project Management Institute best practices. Phase 1 also includes development of an acquisition strategy for acquiring the appropriate software and hardware to enable the transition to department-wide electronic recordkeeping.

One of the primary objectives is the ability to manage permanent unstructured data in an electronic format only. This system will be implemented in phases, but is intended to be fully implemented across the Department 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.*

The most significant obstacle to implementing the Managing Government Records Directive is a shortage of funds and records management staff, including the need for federal project management staff.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

X 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 Department has records management policies and procedures in place for all separating employees, including senior officials. All employees are required to sign non-removal forms for clearance.

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.*

Records Management will conduct group briefings for political appointees and other staff on the Department's policies and processes for clearing separating employees. Each Assistant Secretary or equivalent, and above will be briefed and cleared individually.