



Senior Agency Official for Records Management FY 2015 Annual Report Template

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 PDF 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. Let us know whether there is a specific justification as to why your report cannot be publicly shared.

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” 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: Stacy L. Murphy

Position title: Operations Manager/Acting Security Officer

Address: 1650 Pennsylvania Avenue, NW, Washington, DC 20504

Office telephone number: 202-456-6123

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

Please list them below:

Executive Office of the President, Office of Science and Technology Policy

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.*

Email for all EOP components is managed at the enterprise level by the Office of Administration, Executive Office of the President. EOP currently meets the Directive's goal of managing email in an accessible electronic format. EOP has established formal policies regarding email use and retention and has automated the email capture process. At the moment, the EOP has decided not to adopt the capstone approach.

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

No action is required as EOP currently meets the Directive's goal.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to forward electronic messages, (including email, texts, chats, and instant messaging) 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.

No action is required as EOP/OSTP does not authorize the use unofficial email accounts to conduct agency business. Since September 30, 2015, the EOP/OSTP had not implemented texting, chatting, or instant messaging.

4. Describe your agency's internal controls for managing electronic messages (including email, chat and text messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

All emails to and from an EOP email address are captured and archived. As of September 30, 2015, the EOP had not implemented texting, chatting, or instant messaging.

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.*

OSTP's records schedule was approved by NARA in 2014 and it identifies how all records are to be managed.

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

Again, OSTP's records schedule was approved by NARA in 2014 and it identifies how all records are to be managed. OSTP is currently working on an agency-wide clean-up plan that includes records to meet this goal by December 2016.

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 (either destroy in agency or transfer to NARA)*

No action is required as EOP currently meets the Directive's goal.

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

No action is required as EOP currently meets the Directive's goal.

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.

On March 19, 2015, President Barack H. Obama signed the Presidential Memorandum entitled Establishing the Director of White House Information Technology and the Executive Committee for Presidential Information Technology to promote the effective use of electronic information resources and information systems for the Executive Office of the President. Accordingly, the Director is coordinating the EOP's effort to transition to a digital government.

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.*

EOP is working closely with NARA in regards to the Presidential Transition. All EOP component-identified FRA records scheduled to go to NARA at the end of

the administration can be transferred as part of the overall transfer of PRA 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.*

In addition to the PRA records, EOP will transfer the records identified by the FRA components as those scheduled for transfer based on the end of a Presidential administration. OSTP will be holding a record clean-up for each division to ensure that permanent records are maintained. The cleanup will involve holding record briefings and assisting departing senior staff with records.