



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: Anthony Haywood

Position title: Chief Information Officer

Address: 800 N. Capitol Street, N.W., Washington, D.C. 20573-0001

Office telephone number: 202-523-5800

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

Federal Maritime Commission

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.*

The FMC plans to implement the Capstone or similar approach for the electronic management of email records at the agency and has formed an inter-agency working group to determine our compatibility of implementing Capstone with the agency's current cloud computing environment.

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

In 2016, the FMC will take the following actions to meet this goal:

- Decide if the Capstone approach is compatible with FMC's email/records management system and implement policies and technology to capture email and electronic messages for certain positions for permanent retention.
- Determine if our cloud based email repository can be configured capture metadata as required in 36 CFR 1236.22 and whether the agency's permanent email records contain the required metadata to transfer to NARA.
- Confirm that the agency's email repository has the appropriate security controls in place to manage email records and develop agency policy for the transfer of permanent electronic messages to NARA in accordance with the guidance.
- Develop training required to implement its email records management program for all FMC staff.
- Implement related requirements to meet M-12-18 by the target cutoff date.

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 FMC's established a working group to integrate programs across FMC to include Records Management, Legal and the Freedom of Information Act/Privacy. The working group is currently assessing records management policies and will recommend changes to ensure that all applicable laws, regulations and directives are implemented throughout the Commission.

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).

Currently the FMC places the responsibility on employees to manage their own email accounts and make decisions on an email-by-email basis to identify emails that are Federal records. Employees apply their own understanding of Federal records management to decide on which emails to retain as a record. Until the agency defines the best approach to managing email and identifies the accounts that most likely contain records that must be preserved as permanent, email messages of all top-level senior officials and key decision makers are being retained.

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 Commission is on schedule to submit records schedules to NARA by December 31, 2016. Bureau and Office Directors are currently reviewing their existing record schedules to determine if any revisions are warranted.

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

The Records Officer will schedule individual meetings with departmental representatives to discuss suggested revisions. Once the records schedules are revised, the Records Officer will review and approve records identified for disposition to ensure records are categorized appropriately and disposition periods are set correctly. The revised schedules will be reviewed by the Commission's working group for approval before transmission to NARA.

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.*

The FMC has created a Records Management Working Group to provide guidance, direction and coordination of the FMC's Records Management Program, including the management of all permanent electronic records.

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

The objective of the working group is to recommend and assist in the establishment of records management policies, procedures and requirements and to develop an implementation plan to meet the Directive Goal 1.1 by the implementation target date.

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

FMC's recent IT system upgrades, moving our data to a cloud-based computing environment and the resulting interoperability between the agency's different business systems is expected to help make the transition to digital government and greatly support the agency's records management programs.

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 Records Officer works directly with Presidential appointee staff to ensure that records are properly filed, stored or systematically maintained according to the current records schedule.

- 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.*

The working group is currently assessing all records management policies and will recommend changes as necessary to ensure the records of departing senior officials are managed properly.