



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: Cynthia A. Metzler

Position title: Chief Administrative Services Officer

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Office telephone number: (202) 357-9697

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

This report covers the General Services Administration.

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,*
- *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.*

- 2a) GSA IT and the Office of Administrative Services are working together to implement the Capstone approach for saving email records in an accessible electronic format by December 31, 2016. The following steps have already been taken:

- 1) A license for the system in which the email will be stored (Google Vault) was purchased and implemented in July 2015.
- 2) A Capstone policy has been drafted and shared with internal stakeholders and NARA for review and comment. Revisions will be made to the draft based on that review. A draft was sent to NARA, for approval in November of 2015.
- 3) Internally, GSA's Office of Human Resource Management is

working to identify which employees will be in the category of “Capstone Officials” and how to manage changes to the list as time progresses.

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

- 2b) GSA plans to complete its implementation of the Capstone approach by the end of December, 2016. This plan includes:
- implementing Google Vault as the technical solution (already completed)
 - designating GSA Capstone Officials,
 - finalizing and implementing the GSA Capstone policy.

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.

GSA’s mandatory, annual records management training was updated in 2015 to specifically address this topic. GSA is drafting an update to its Records Management Policy (OAS P 1820.1) to provide more detailed guidance on the requirement for 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.

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).

GSA uses primarily Google Gmail for email and Google Hangouts for chat functions. At present, GSA is working to implement the Capstone approach to email management as described by the National Archives and Records Administration in NARA Bulletin 2013-02 (<https://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html>). The implementation process will be complete by the end of this year (2016). Once fully implemented, GSA will have the email of the GSA Administrator and other executives retained permanently with transfers of email to NARA when they become 15 years old. With regard to chat dialogues via Google Hangouts, those messages are not preserved.

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.*

5a) In FY2015, GSA submitted components of a new, flexible bucket schedule to NARA that will provide records schedules for all existing paper and other non-electronic records. We anticipate that GSA will receive NARA's approval on that flexible schedule by deadline of December 31, 2016.

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

5b) GSA believes that actions we have taken, once approved by NARA, will suffice to meet the goal.

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.*

6a) GSA is in the implementation phase of an Electronic Document Management System (EDMS). In recent months, GSA has:

- 1) Completed documenting business requirements
- 2) Held a competition and selected a software product (Alfresco).
- 3) Created a product development environment for testing components as they are developed.
- 4) Selected a vendor to do the implementation.

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

6b) Working with its contract vendor, GSA will be phasing in the EDMS solution over the next three years with the goal of being completed 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.

GSA has or will have implemented the appropriate parts of the *Managing Government Records Directive* prior to the time frames outlined in the directive. One challenge GSA has had is identifying and sending permanent records which are 30 years or older to NARA. However, it is anticipated that this process should be completed by March 2016.

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.*

8a) GSA provides on its On-Line University regarding how records are to be managed, including those of senior officials. This training is mandatory for all GSA employees and is required to be taken on a yearly basis. GSA will remind all departing senior officials of their obligations.

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.*

8b) GSA plans on creating an on-line training course that focuses specifically on the requirements a senior official must meet in regards to records management when leaving the government. This course will be required to be taken prior to leaving government service. As noted above, departing officials will be reminded of their obligations regarding records.

GSA's Office of the Inspector General's Response to the SAO Report

The GSA Office of Inspector General (OIG) has a separate email system, which it administers without GSA assistance. OIG also has some separate file storage systems which GSA has no control over or insight into. OIG thereby supplements the GSA SAO report submission with the following:

The OIG is working towards achieving the goal of the *Managing Government Records Directive (M-12-18)* to manage email records in an accessible electronic format by December 31, 2016. We are in the process of taking action to implement the 2014 amendments to the *Federal Records Act* regarding forwarding electronic messages to official accounts within 20 days, and we are establishing controls for managing electronic records of the IG and other executives.

The OIG met the M-12-18 goal to submit records schedules to NARA in May, 2015, and intends to meet the goal to manage all permanent records in electronic format by December 31, 2019.