



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: Daniel Rainey

Position title: Chief of Staff

Address: 1301 K Street, NW
Washington, DC 20005

Office telephone number: 202-692-5000

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

Please list them below: The National Mediation Board

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, Done*
- *use of any automated systems for capturing email, Decisions regarding Records/Document status are made by individual staff.*
- *providing access / retrievability of your email, Done*
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA) – Processes in place.*
- *possible implementation of the Capstone approach for applicable agency email. Those elements not currently consistent with Capstone (there are very few) will be in place during FY 2016.*

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

The agency will complete the transition to a Capstone system and will continue to provide records training to all employees.

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 agency has established clear records management policies and conducts regular records 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).

All employees, including Board Members and executives, are under the same requirements established in the records policy, and are subject to yearly audits to ensure compliance.

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 NMB has the first, and possibly the only NARA approved electronic records schedule in place.*

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

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, Done*

- *use of any automated systems for capturing electronic records, Automated systems in development.*
- *providing access / retrievability of your electronic records, they are currently accessible and searchable and*
- *establishing disposition practices for agency electronic records. Done.*

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal. The agency is continuing development of an automated case management system to capture records.*

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 NMB has had an electronic records schedule for the past five years, and all of the requirements for saving and retrieving records have been met.

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. All appointee records are currently captured in the electronic records system where they cannot be erased or altered and will be retained and maintained as agency records. The change of administration should be irrelevant.*

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.*