



Senior Agency Official for Records Management FY 2015 Annual Report – National Transportation Safety Board

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

National Transportation Safety 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*)

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:*

The NTSB implemented MS 2010 Exchange Server across its enterprise. Exchange 2010 supports eDiscovery, retention tags and policies which provides the NTSB the capability to capture, identify, retrieve and retain email records.

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.

All NTSB officials were briefed on Federal records in government and the use of personal email accounts where if the email is government business it must be forwarded to the NTSB email account, which assures retention of the record. In addition, in an issue of a periodic agency-wide newsletter, the NTSB Office of General Counsel disseminated written guidance to all personnel informing them of the requirement that all emails concerning agency business must be forwarded to NTSB email accounts.

Currently, NTSB is actively moving to MS Office 365, which meets the goals in the Directive and agency policies will be developed.

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).

NTSB staff do not use instant messaging or chat applications. The NTSB maintains a policy of requiring any emails on personal email accounts that contain NTSB records or discuss NTSB activities must be forwarded to NTSB email accounts to assure appropriate retention.

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*

NTSB developed a records inventory database (RID) to capture all records. NTSB records management supervisor and other NTSB staff met with NARA staff to discuss the schedule for drafting records schedules, to be approved by NARA.

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

Records Liaisons will be trained and input the information into the RID. Record schedules will be written and information updated in the RID with the schedule date. The NTSB Records Management Division will maintain the system.

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 NTSB has a docket management system which captures electronic records which staff easily input information/access while following the agency policies. The NTSB's newly established record inventory database contains fields into which records management liaisons will assist in documenting the existence of electronic records.

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

NTSB recently met with NARA to discuss permanent electronic records. The NTSB is currently assessing its electronic databases to ensure compliance with NARA standards concerning the retention of required metadata. In addition, records management liaisons will input the appropriate information to identify all electronic records. Record schedules will then be written for these permanent records and processed accordingly.

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.

NTSB implemented an enterprise information management system that meets the Managing Government Records Directive. Although the system provides the records management functionality, it currently seems that it is technically overwhelming for the users.

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 NTSB Records Management Division has met with appropriate staff in Human Resources concerning the out-processing of personnel, including senior officials. The NTSB has also created a detailed policy concerning the handling of records upon the departure of personnel, including senior officials.

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 NTSB will disseminate the policy concerning departing employees to all NTSB personnel. The NTSB will also provide required records management training to all personnel before the upcoming change in Presidential administration.