



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: Mr. Edgar Bennett

Position title: Budget Director

Address: 1200 K Street NW, Washington, DC 20005

Office telephone number: 202-326-4000 Ext. 3127

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

Pension Benefit Guaranty Corporation (PBGC)

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 PBGC engaged a core team (to include the Records Management Program Manager, Records Officer, representatives from the Office of the General Counsel, and the Office of the Chief Information Officer) to develop an approach and policies/procedures for managing both permanent and temporary email records in an accessible electronic format*
- *In May 2015, PBGC Senior PBGC leaders approved the implementation of Capstone*
- *PBGC is using NARA's Capstone General Record Schedule 6.1 disposition authority and has submitted a list of PBGC positions identified for permanent Capstone account status to NARA*
- *Email records in identified Capstone accounts are being captured using journaling*

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

- *Update PBGC's records management directive*
- *Conduct agency wide communication awareness campaigns and workshops*
- *Update mandatory records management training to include Capstone policy and guidance*
- *Conduct union negotiations on changes that may impact bargaining union employees*
- *Conduct training for all employees on Capstone policy and guidance*

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

- *In 2015 all PBGC employees and contractors were reminded that PBGC prohibits the use of personal email to conduct official business*
- *NARA Bulletin 2015-2 that contains guidance on managing electronic messages including the 20 day requirement to forward or copy electronic messages to their official accounts was posted on the agency intranet*

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).

- *An email was sent to senior agency executives that it's prohibited to use personal email accounts to conduct agency business*
- *Chats are being captured in the agency's official email system*
- *Senior executives were briefed by the records management program manager on how email messages are being captured via Capstone*
- *Conducting records management reviews to ensure records management policies and procedures are followed*

- *Conducting market research to identify automated solutions for the capture of text messages on mobile devices*
- *Gained executive approval for the implementation of Unified Messaging which is utilized to capture voice mail and chat/instant messages*

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.

- *PBGC has an approved record schedule that is media neutral*
- *PBGC conducted Records Identification Workshops with Departments to ensure that records are identified and that they are mapped to an approved disposition schedule*
- *In December 2015, each business unit updated their departmental file plans. The file plans were reviewed by the RM Team and feedback will be provided*

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

- *The PBGC will continue annual reviews and updates to departmental file plans to ensure that any unscheduled records are identified and any required record schedule updates are submitted to NARA*
- *Update record schedule, as needed*

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:

- *In August 2015, PBGC issued a Records Management Directive*

- *PBGC released an updated Records Management Training Course for all employees which included specific instructions for managing all permanent electronic records in an electronic format*
- *In December 2015, all departmental file plans, which included locations of permanent records were updated*
- *Action items have been identified for all departments managing permanent records in electronic format*
- *Starting in 2016 the Records Management Team will work with each department to assist with migration activities for any permanent records*

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

- *In FY16, PBGC will migrate unstructured electronic data to a cloud-based solution. This will include content on the networked shared drives, current collaboration tools, PBGC Intranet and in-house SharePoint 2010*
- *PBGC is planning to implement automated workflows to facilitate the management of electronic records across the agency*
- *Schedule meetings with each PBGC Department with paper based permanent records and develop a migration strategy for their 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.

PBGC has made significant progress toward implementing the Managing Government Records Directive and transitioning towards a digital government including:

- *In addition to creating mandatory online Records Management Training, PBGC continued conducting Records Management Workshops as a way to engage different areas of the agency in meeting the directive requirements*
- *In addition to the PBGC Records Officer, two additional PBGC employees completed the NARA Records Management Training and certification*
- *Departmental file plans are being regularly reviewed for unscheduled records*
- *PBGC is planning for the conversion of permanent paper records to a digital format to ensure the directive 2019 goals are met*

The NARA provided tools and guidance have been extremely useful including:

- *Updated bulletins*
- *Videos*
- *Capstone Guidance*
- *NARA's Records Express Blog*
- *Bridge and SAO meetings*
- *Creation of the Federal Records Officer Network (FRON) has been useful for collaborating and sharing between agencies.*

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.

- *Require all PBGC Senior Officials to take annual mandatory Records Management Training. The training highlights roles and responsibilities for managing PBGC records*
- *Senior Leaders are frequently reminded that it's prohibited to use personal email accounts to conduct agency business*
- *Journaling of Capstone email accounts for Senior Officials*
- *Departing Senior Officials are required to participate in a Departure Ethics Briefing that includes unauthorized removal of 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, including ensuring that federal records are not improperly removed from the agency.

- *Increase awareness and communications with agency staff and Senior Officials on the prohibition of removal of agency records*
- *Update mandatory training to remind all employees including senior officials that records are not to be removed from PBGC upon separation*
- *Review separation procedures and update, if needed, to ensure official records or copies of records are not being removed without authorization*

