



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: Ruth Ann Abrams

Position title: Assistant Secretary

Address: 901 New York Avenue, NW Suite 200, Washington, DC 20268

Office telephone number: 202-789-6843

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

Postal Regulatory 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 Commission currently has an automated system in place to capture, access and retrieve email. In FY 2015, the Commission experienced a change in administration with a new Chairman and Secretary. As a result, we are taking a new look at approaches for management of email records. The Commission has this as a top priority for both the records management and information technology teams.

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

During FY 2016, the Commission is issuing an updated email policy, which will include revised guidance regarding the disposition practices for agency email.

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.

It is the Commission's policy that employees use only their official account for records. During FY 2016, the Commission plans to implement the 2014 amendments to the *Federal Records Act* within our updated email policy. The policy will provide clear instruction on the prohibition of non-official accounts for Commission staff.

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).

The Commission currently maintains all messages for senior leaders as the first step in the implementation of our email management policy. The disposition instructions will be addressed and implemented by the end of FY 2016.

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.*

All records schedules were submitted to NARA and were approved on May 21, 2014. All permanent records were transferred to NARA during FY 2015.

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 Commission currently has systems in place to manage our critical electronic records to include dockets email. During FY 2015, the records management team implemented mandatory training for all employees to begin the formal education process. The Commission plans to manage all permanent electronic records in an electronic format by December 31, 2019. Development and implementation of a comprehensive solution – including updated policies, systems and training - to encompass all electronic records will be implemented during FY 2016-2017. This solution is the priority of the records management and information technology teams. The Commission’s policies, on the management of permanent electronic records in an electronic format, will also be updated during this timeframe, to ensure that the systems align with the policy.

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

- FY 2016: The Commission will develop and implement an email records plan and training, using the Capstone Approach.
- FY 2016: Procure and implement a records management solution.
- FY 2016: Update the Commission Records Schedule as needed.
- FY 2017: Procure and implement an updated docketing solution.
- FY 2017: Integrate the docketing and records management solutions to ensure a holistic approach to the management of the records lifecycle.
- FY 2017-18: Implement training for Commission employees for the new systems and policies as they come online.

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 Commission is using the Directive as our road map for improvements and updates to our records management program. The most significant challenges are the cost factors involved to obtain the necessary electronic records management system and email management solutions, and the learning curve for our records management staff and senior leadership. With the full support of our senior leadership, our positive outcomes have included finalizing and implementing an updated and approved records schedule and the creation of file plans for the commission which are reviewed annually. Staff training on records management is a high priority and is conducted twice a year using the training materials provided to us by NARA. Our records management policies are in development and will be disseminated to Commission staff during FY 2016.

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 Commission will maintain the same process during the upcoming change in Presidential administration unless otherwise directed by NARA. The Commission has an exit interview process which is facilitated by the Senior Agency Official with respect to departing senior officials. Departing senior officials are required to complete a transfer of records certificate form specifying any files being transferred to another Commission employee. In addition, departing senior officials also complete the documentary materials removal/non-removal form where they sign off on the removal/non-removal of any materials. This process was updated in FY 2015 to ensure that the Directive was fully addressed.

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 Commission will continue to maintain the current process during the upcoming change in Presidential administration to ensure that federal records are not improperly removed from the Commission. Accordingly, we plan to follow our updated process and policies for exiting senior officials and will continue to review these on an annual basis.