



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: Sarah Maloney

Position title: Assistant Inspector General for Management and Support Directorate

Address: 2530 Crystal Drive, Arlington, VA 22202

Office telephone number: 703-545-6000

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

Please list them below: Special Inspector General for Afghanistan Reconstruction

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.*

SIGAR has a formally established email policy that is introduced to new employees during their in processing at the agency. It is also available on our intranet site for all employees to access. SIGAR's Information Technology directorate has created a storage and archiving system to ensure that email records are maintained in an accessible electronic format. We have recently implemented an archiving system which maintains emails in PST form so that they can be easily maintained on the agency share drive, and copied to compact disks when ready for transfer to the National Archives. SIGAR is

still considering whether the Capstone approach is a viable option for management of agency email records.

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

SIGAR is completing an agency wide survey of current and past records, to optimize records maintenance.

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.

SIGAR's current policy regarding use of wireless devices is that all business should be conducted from land lines and/or networked computers unless there are mitigating circumstances. SIGAR is reviewing current policies to address the 2014 amendments laid out in the *Federal Records Act*.

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).

SIGAR's policies state that electronic messages are to be handled under the legacy GRS N1-GRS-95-2 item 14, reflected in the current GRS item 20, section 14. SIGAR's Information Technology directorate has conducted training and informational sessions to inform SIGAR employees of the proper ways to maintain and archive electronic messages. During in-processing at the agency, new employees are instructed on proper usage for all government issued devices, and the importance of maintaining electronic message records. SIGAR ensures that the out-processing includes the archiving of each employee's email accounts in the form of a PST file. These files are maintained in an electronic form in accordance with Directive Goal 1.2.

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.*

SIGAR has a current approved schedule and is conducting an annual review of agency records. This review will allow SIGAR to submit records schedules to NARA for all existing paper and other non-electronic records, as described in Directive Goal 2.5.

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

As part of our annual review process, SIGAR is conducting an agency wide records survey and is consulting with NARA.

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.*

SIGAR has a robust system in place to maximize accessibility of our electronic records. As part of scheduling our records, disposition practices for electronic records are included. Under current regulations SIGAR is aligned with the US ARMY Joint Service Provider, which maintains daily backups of SIGAR share drives for up to 30 days. Due to these regulations SIGAR cannot implement its own automated system for capturing electronic records. Although we do not employ an automated system for capturing electronic records, trainings on the importance of records management are mandatory for all employees at SIGAR.

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

As mentioned above SIGAR is conducting an annual records review, which will be aimed at solidifying the agency's progress towards meeting all of the *Directive* goals.

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 transition to a digital government, and the use of systems such as share drives, have created the possibility of greater access for our employees, as well as a more streamlined system to share information within our agency. However, in the case of handwritten notes, it can be difficult in some cases to maintain clarity and readability when documents are scanned, in order to work within the transition to a digital government.

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.*

SIGAR has in place records schedules for senior officials, which ensures that their records are properly maintained during their tenure at the agency.

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.*

SIGAR has begun the planning process for the upcoming change in Presidential administration, and will be acting in accordance with our approved disposition instructions.

- **Finalize plans for change in Presidential administration**
- **Meet with RLOs for senior officials**
- **Organize and box past FY records**
- **Maintain a system for the easy archiving of documents**