



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: Frederick Lindstrom

Position title: Assistant Secretary

Address: 401 F Street, NW suite 312, Washington, DC 20001

Office telephone number: (202) 504-2200

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

Please list them below:

The entirety of the U.S. Commission of Fine Arts (12 FTEs and 7 Presidential appointees)

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 CFA has officially informed its staff that, since unscheduled records are considered permanent until scheduled, they are to retain all non-spam email until a schedule can be established. All staff email is organized into subject matter directories within the email environment (i.e. Office 365). Archiving rules within Office 365 have been established. The Records Officer has initiated market research into current solutions within the present email environment and also third-party solutions, including the Capstone approach.

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

- Conclude market research in the first quarter of the calendar year and make a decision on a solution.
- Integrate the solution into the re-bidding process for Email as a Service
- Schedule email records as part of an overall effort to review and update current agency-wide records schedules.

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.

Following the SAO meeting of April 6, 2015, the SAO and Records Officer advised the Agency Head of the amendment to the Federal Records Act. At that time, the Agency Head confirmed that he does not use personal email, chat or messaging accounts for government business. The Agency Head serves as the primary point of contact for Commission members (i.e. the seven Presidential appointees); therefore, all their electronic communications pertaining to government business are recorded in the Agency Head's government account. As part of an ongoing review of records management practices, Commission members and staff will continually be more formally advised of the 2014 amendment.

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).

As a general practice, the CFA relies primarily upon email for electronic communications. While there are no prohibitions on texts, chats and instant messaging, those methods are not really inherent in the culture of the agency. However, as part of an ongoing review and enhancement of records management practices, formal training and certification of training received, emphasizing proper use of electronic communications resources, will be implemented.

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.*

Building upon the fulfillment of Directive Goal 2.2, the Records Officer is continually inventorying agency holdings to determine which records may be disposed under the GRS and which need to be integrated into agency-specific records schedules.

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

As a result of inventorying agency holdings, it has been determined that existing non-electronic records, both scheduled and unscheduled, fall under either existing agency-specific schedules or the GRS. All holdings will be integrated into the review and update of agency specific schedules.

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.*

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

Despite the “No” answer above, it is possible that we will meet this goal, given the small size of the agency and the relatively small volume of electronic records, many of which are not media-specific. The Records Officer participated in the NARA training, *Electronic Records Management*. Apart from email management, we simply have not had sufficient time and personnel resources in the past year to devote to this question. Electronic records management will be included in the ongoing review and update of the CFA’s records management programs, as we strive to meet the Directive’s goals as far as we able.

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.

We have found the Directive to be a valuable tool in crystallizing the importance of records management and in laying out clearly defined goals, for both NARA and agencies, towards an effective records management program. The Directive envisions a records management program that incorporates the management of present and future record formats, while still accounting for long-standing textual formats. Despite the length of time, measured in years, allotted for the fulfillment of the goals, an agency our size still finds it very difficult accomplish work toward requirements within the Directive's timetables. Our challenge remains the allocation of sufficient staff and financial resources towards even the planning stages of Directive mandates.

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.*

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 Secretary, Assistant Secretary and all other staff of the Commission of Fine Arts are full-time, permanent federal employees whose status does not change with Presidential administrations, therefore, no additional records management considerations are needed. However, in light of the 2014 amendments to the Federal Records Act, education and implementation of proper uses of electronic communications will be communicated to Commission members who otherwise do not create or generate federal records.