



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: Shirley Hines

Position title: Records Manager

Address: 1335 East West Highway, Suite 4300, Silver Spring, MD 20910

Office telephone number: 301-563-3958

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

Please list them below:

US Election Assistance 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, - **Working with General Counsel and IT to put a formal plan in place; attending training on Feb., 25th for more guidance***
- *use of any automated systems for capturing email, **Pending***
- *providing access / retrievability of your email, **Pending***
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and **Pending***
- *possible implementation of the Capstone approach for applicable agency email. **Pending; Will review Capstone and other programs suggested by our IT, for the best fit for the USEAC***

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

-Attend Government E-mail and Records Management Training (Feb. 25th) – myself, General Counsel and Dir. Of IT

-Work with General Counsel and IT Director to put a formal plan in

place to manage all email records in an accessible electronic format
-Send an e-mail to all employees to inform them of this plan and train all employees on the use and logistics of the plan
-Assist employees on getting their records up to speed and updating the new e-mails going forward
-Will schedule a meeting with the Archivist, from the National Records Center, to come to the USEAC and information/clarification on any questions we may have

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.

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). ***Pending***

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.*

Working with dept. heads and Archivist to get this completed.

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

Complete schedules for Testing and Certification, Policy and Research

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, **Pending***
- *use of any automated systems for capturing electronic records, **Pending***
- *providing access / retrievability of your electronic records, and **Pending***
- *establishing disposition practices for agency electronic records. **Pending***

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

- Attend Government E-mail and Records Management Training (Feb. 25th) – myself, General Counsel and Dir. Of IT***
- Work with General Counsel and IT Director to put a formal plan in place to manage all email records in an accessible electronic format***
- Send an e-mail to all employees to inform them of this plan and train all employees on the use and logistics of the plan***
- Assist employees on getting their records up to speed and updating the new e-mails going forward***
- Will schedule a meeting with the Archivist, from the National Records Center, to come to the USEAC and information/clarification on any questions we may have***

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. **Pending***

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.*
-Hard copy records, for departing senior officials are inventoried and reviewed and the appropriate records are sent to the records center for storage

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.*

-Hard copy records, for departing senior officials are inventoried and reviewed and the appropriate records will be sent to the records center for storage