



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: Fred L. Ames

Position title: Assistant U.S. Trade Representative for Administration

Address: 1724 F Street, NW, Washington, DC 20508

Office telephone number: 202-395-5799

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

Please list them below:

Office of the U.S. Trade Representative

Executive Office of the President

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.*

Email for all EOP components is managed at the enterprise level by the Office of Administration, Executive Office of the President. EOP currently meets the Directive's goal of managing email in an accessible electronic format. EOP has established formal policies regarding email use and retention and has automated the email capture process. At this moment, the EOP has decided not to adopt the Capstone approach.

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

No action is required as EOP currently meets the Directive's goal.

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.

The policies and guidance are handled by the Office of Administration for the EOP agencies. All emails to and from an EOP email address are captured and archived. All USTR employees are instructed to only use their EOP email accounts, but if they must use a personal account, to forward the email(s) to an EOP account (own or another USTR employee).

USTR's Office of Public Affairs is additionally subject to guidance provided by the Office of the Chief Information Officer concerning Access to Social Media on USTR Blackberries and Desktops. A Records Management Plan is in effect for capturing and saving tweets and live posts to the USTR network share, and for daily backup of these records.

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).

All emails to and from an EOP mail address are captured and archived. The EOP has not implemented texting, chatting or instant messaging.

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.*

A draft records schedule has been developed and an initial review conducted with our NARA archivist.

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

Additional input must be made to complete the draft before a second review will be conducted by the Archivist. Once we have incorporated all changes into the draft and completed all internal and NARA archivist reviews, we will submit the agreed to document to NARA for review and consideration.

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 Office of Administration, Executive Office of the President, is responsible for managing user-generated electronic records on the EOP network. Each component's electronically stored information is captured, retained and backed up.

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

No action is required as EOP currently meets the Directive's goal.

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.

On March 19, 2015, President Barack H. Obama signed the Presidential Memorandum entitle Establishing the Director of White House Information Technology and the Executive Committee for Presidential Information Technology to promote the effective use of electronic information resources and information systems for the Executive Office of the President. Accordingly, the Director, Office of Administration is coordinating the EOP's effort to 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.*

Staff training was scheduled and conducted during December 2015. The next training will be conducted during the 2nd quarter of FY 16. Training is aimed to prepare all staff responsible for retiring records. The SAO is a member of the EOP transition planning team. The EOP is working closely with NARA in regards to the Presidential Transition. Any component-identified FRA records scheduled to go to NARA at the end of the administration can be transferred as part of the overall transfer of PRA 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.*

In addition to the PRA records, EOP will transfer the records identified by the FRA components as those scheduled for transfer based on the end of a Presidential administration.

An exit interview is conducted by the USTR Records Officer with each departing staff member. Staff must provide a full disclosure of the status of all paper and electronic records. Staff are informed that only personal records are to be removed and/or destroyed. All federal records to be retired must be appropriately boxed and labeled so that the Records Officer may review prior to the staff's departure. The Records Officer works with the Records Liaison for that staff's office to determine any process required for remaining federal files.