The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) 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* 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 January 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to PRMD@nara.gov. Include the words "SAORM annual report - [Agency 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):

- John M. Fowler
- Executive Director, Advisory Council on Historic Preservation
- 401 F Street, NW, Suite 308, Washington, DC 20001
- 202-517-0191

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   Advisory Council on Historic Preservation

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

   X Yes
   ☐ No

   Please explain your response: We have developed and are currently finalizing electronic file plans for each record series and we have assigned responsibility to each office for managing the file plans and corresponding electronic records. We have advised and trained staff on transitioning to electronic records management and will continue to do so as file plans are created and use of print and file methods are discouraged.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

   ☐Y es
   X No

   Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives. We do not currently have the staff or resources to accomplish this digitization goal.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   X Yes

☐ No

Please explain your response: Our agency review did not result in major office reorganization. To account for new program functions and office responsibilities, however, we have requested approval from NARA to schedule several new records series. We are also working with NARA to develop a better approach to managing our email records.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

> X Yes
> ☐ No

> *Please explain your response* The SAORM approved the agency's new and updated records management policy, procedures, email policy, and vital records policy in 2016 and 2017. The SAORM supported the submission of a new agency records schedule to ensure all agency records are appropriately managed and accounted for.

6. **Have you, as the SAORM, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.**

> *****Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

> X Yes
> ☐ No

> Please explain your response: The Records Officer met with the Director of Administration to review records management requirements prior to his retirement in accordance with our agency records management policy and procedures. Such meeting was documented as complete in the exit checklist provided for each departing employee. The Records Officer is currently working with the Director of Preservation Initiatives in preparation for his upcoming retirement to ensure records are managed appropriately in accordance with agency schedule, policy, and procedures. The Records Officer will also meet with new incoming career federal employees to brief them on their records management responsibilities.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

    X Yes
    ☐ N o

    Please explain your response: The IRM plan is in development, and records management is included and considered as part of systems development lifecycle, risk management, and acquisitions processes.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

    Additional examples from other small agencies with limited resources would be helpful. It would also be helpful if NARA could provide guidance on transitioning to electronic recordkeeping without the use of additional software packages or email software (i.e., an approach that involves more end user participation and use of existing agency resources).