



Senior Agency Official for Records Management 2018 Annual Report

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 rmselfassessment@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):

- Name of SAORM John M. Fowler
- Position title Executive Director
- Address 401 F Street, NW, Suite 308,
Washington, DC 20001

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Please provide list: 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)**

- Yes
 No

Please explain your response: The ACHP's Record Management Officer created file plans for each office to cover the entirety of the agency's records schedules. Each office director has been briefed on these file plans and they have been added to the agency's X drive (shared network). All agency staff received training on the file plans and managing electronic records on 10-17-18. While some offices have begun populating the folders with permanent (and temporary) electronic records, other offices are still finalizing naming conventions and the development of sub-folders. The ACHP's records management program is implemented by individual users and we do not have an automated records system so ongoing staff training and assistance is necessary. We are currently developing a new policy on maintaining permanent electronic records in electronic format for accessioning to NARA and expect to complete this plan in FY19.

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response: This is an ongoing process and our policy is under development. The ACHP has formal policies and procedures in place that address electronic records management generally. We manually implement our records management procedures with individual user control of records in a shared drive. This is guided by annual overall staff training as well as individual and group specific training as needed. We do not have an automated system. Access to records is open among the staff but protected from outside, unauthorized use or intrusion via IT security systems. The ACHP is operating in accordance with its records management schedules. The ACHP's

Records Officer discusses records management needs and IT solutions with the agency's IT office routinely.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes

No

Please explain your response (include specific goals and example metrics): The ACHP Records Management Officer will be meeting with office directors in the next few months as we develop the plan to meet this goal. The Records Management Officer has been in contact with the agency's NARA appraisal archivist to ask for recommendations and guidance to comply with this deadline. Staff will be reviewing those permanent paper records that are stored in agency office space to expand the types of records that will be transitioned to the Federal Records Center (utilizing an existing interagency agreement), as well as continue to implement the electronic records management via a shared drive and agency file plans. The ACHP's Federal Agency Program office continues to expand the electronic means for agencies to submit required information to our agency and the ACHP's responses.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Please explain your response: The ACHP is a micro-agency with less than 40 FTEs. As such, the agency does not have a dedicated records management office (only a Records Management Officer). The agency has very limited staff and resources, and as such, continues to implement its records management program primarily through manual, staff implemented means.

6. Have you, as the SAORM, established or improved your agency procedures that ensure 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.

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response: The ACHP's existing records management procedures require these briefings. A briefing was provided to the only outgoing office director in 2018.

7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

Yes

No

Please explain your response: The ACHP's SAORM meets with and discusses records management needs with the agency's Records Management Officer routinely and as needed. Due to the agency's size and limited resources, the SAORM supports the manual, staff implemented approach.

8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

Yes

No

Please explain your response: The ACHP's Records Management Officer receives specialized training from NARA as needed. In turn, the Records Management Officer trains office directors on management roles and all staff on their responsibilities to implement the records management program annually and as needed.

- 9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes

No

Please explain your response: The ACHP's internal evaluation of its records management program is largely informal and is carried out regularly and on an as-needed basis. Due to the small size of the agency, the Records Management Officer works closely with all office directors and staff to answer records management questions as they arise and respond to any concerns.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes

No

Please explain your response: As the ACHP does not have a dedicated records management office, the agency is in need of alerts to new updates, recommendations, and best practices from NARA to continue its transition to electronic recordkeeping.