



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: **Shawne McGibbon**
- Position title: **General Counsel**
- Address: **1120 20th Street, NW, Suite 706S, Washington, DC 20036**

- 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: Administrative Conference of the United States (ACUS)

- 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: ACUS reopened in 2010 after a 15-year lapse in appropriations. Since ACUS is a relatively “new” agency, the vast majority of its records were born in electronic formats. Agency procedures dictate that any permanent agency records that are sent/received in hard copy are scanned and stored in an electronic format. In all likelihood, fewer than one percent of agency records are not in electronic format. It is also worth mentioning that when the agency reopened in 2010, it retrieved valuable historical agency records (dating from 1964-1995, during the agency’s prior existence) from numerous sources (e.g., NARA, universities, etc.), scanned them with the direct assistance of HeinOnline, and made them available to all.

- 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: ACUS has procedures in place to ensure that all agency personnel, as part of their onboarding process, receive information regarding recordkeeping requirements for permanent agency records. ACUS’s cloud-based systems allow adequate control over permanent electronic records so that those records can be captured, protected, and retrieved (even with respect to former employees). ACUS permanent records are stored with the appropriate level of access based on the type of information that is stored. That is, in some cases, only certain high-level ACUS employees have administrative access to certain sensitive records. Finally, as for disposition, no permanent records have been transferred to NARA since the agency

reopened in 2010 (primarily because the GRS requires many permanent records—e.g., FACA records—to be transferred to NARA after 15 years).

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): See answer to item #2 above.

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: It is not necessary for ACUS to procure outside services for the purpose of transitioning to an electronic environment. See answer to item #2 above.

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: FYI, ACUS was not required to file a 2017 report. But, yes, procedures (including ethics rules regarding appropriate use of government equipment for personal email) are in place for all employees, including senior officials.

- 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: ACUS is currently comprised of 12 federal FTEs. The agency's records management program is adequate for the size of the agency.

- 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: With an agency of 12 FTEs, there isn't much daylight between employee roles. All employees have responsibility for records management, with an emphasis on not destroying or mishandling permanent records (even inadvertently). Nevertheless, ACUS plans to implement the Capstone approach in the near future for the emails of senior agency officials. When that program is fully implemented, training will be developed. In the meantime, no email records (of any employee) can be destroyed.

- 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: In conjunction with ACUS's IT Specialist and IT contractors, appropriate steps have been taken to ensure that ACUS systems remain secure, meet FISMA requirements, are adequately backed up, etc. Audits of agency systems occur on a regular basis.

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

- Yes
 No

Please explain your response: Since ACUS has had no practical experience transmitting records to NARA, assistance may be needed.