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*, 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 January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through **December 31, 2016.**
- 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" 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: Katherine Herrera

- Position title: Deputy General Manager

- Address: 625 Indiana Avenue N.W., Suite 700, Washington, DC 20004-2901

- Office telephone number: 202- 694-7013

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

   Please list below

The Defense Nuclear Facility Safety Board DNFSB is an independent agency and all components are covered by this report.

2.   Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

                    X Yes
                     No

The DNFSB implemented a temporary solution to maintain all e-mails in Microsoft 365 Cloud. We are currently developing a plan to retrieve and retain e-mails for the officials identified in the Capstone approach. We will also be planning for full implementation of Capstone. The DNFSB's GRS 6.1, E-mail Managed under "Capstone" Approach, was approved by NARA on January 24, 2017.

   (Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*)

3.   Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

                     Yes
                    X No

If No, please list which part of your agency or components did not and why?

DNFSB stakeholders and the Records Archivist reviewed the record schedule to ensure all existing paper and non-electronic records were identified and captured on the record schedule on October 24, 2016. The final approval on the records schedule was approved from the stakeholders on January 4, 2017. The Records Officer is in the process of submitting the schedule to NARA through the Electronic Records Application ERA for final approval.

4.   **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

X Yes
☐ No

If Yes, please describe this progress.
If No, please list which part of your agency or components did not and why?

The Records Officer is working with the CIO to identify requirements for an electronic records management solution which meets the business needs of DNFSB and NARA guidance on electronic records. In addition, senior leadership at the DNFSB have been briefed on this requirement and provided with a high-level project plan.

5.   **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)**

☐Yes
X No

Please describe your specific plans or actions.

Part of the requirements for a new electronic records management system will the ability to digitize permanent records created in hard copy format (to the extent practicable).

6.   **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

X Yes
☐No

If Yes, please describe what steps have been taken.

The records management goals are included in the annual Work Plan for the Office of the General Manager. Records management objectives are incorporated into appropriate performance plans for individuals who directly support program objectives. Resources required to support records management program are included in the budget process and the annual procurement plan, as appropriate.

The DNFSB is on track for the implementation of the Records Schedules with the guidance given in M12-18 Memorandum – Managing Government Records Goal 1 (1.1 Managing Electronic Records) we are working toward the goal of identifying a system to incorporate the approved disposition schedule in (1.2 Managing permanent and temporary email records in an accessible electronic format).

Close coordination occurs between the Records Manager and Chief Information Officer with regard to managing electronic records, privacy, retrieval and retention, especially as they relate to the future state of an electronic records management system and the implementation of the "Capstone" approach for e-mail records.

A records management Directive was approved on February 1, 2017 and subsequently populated to agency employees.