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 <u>March 11, 2019</u> with reports due back to NARA no later than <u>April 19, 2019</u>.

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):

- Glenn Sklar
- General Manager
- 625 Indiana Ave., N.W., Suite 700, Washington, DC 20004

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: The Defense Nuclear Facility Safety Board (DNFSB) is an independent agency and all components are covered in this report.

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: The DNFSB implemented a solution to manage permanent e-mail records in the government cloud. The DNFSB's E-mail Managed Under Capstone Approach was approved January 25, 2017 and subsequently implemented. Permanent e-mail records generated by officials identified in the Capstone approach are retained electronically. Additionally, the DNFSB Electronic Records Management Working Group has been established to determine the best solution for managing permanent and temporary electronic records which fall outside of the e-mail system.

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
   X No

   Please explain your response: Resource constraints of a small agency present a challenge in moving forward on this goal.

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.

X Yes
☐ N o

Please explain your response (include specific goals and example metrics): The re-organization plan does not require additional steps to ensure that records management requirements are met for the management of permanent records. The Electronic Records Management Working Group is currently working on solutions for the electronic management of temporary records by 2022.

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

    Yes
    X No

Please explain your response: Not at this time. The Electronic Records Management Working Group is first looking inward for solutions that capitalize on the current SharePoint and Office 365 platforms.

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.

    X Yes
    ☐ Changes w ere unnecessary (click [here](#) for your agency's 2017 report)
    ☐ N o, changes are being considered but have not been m ade
    ☐ N o

Please explain your response: Senior officials are briefed by the Records Manager when they on-board and are provided a link to NARA's training. Additionally, the senior officials are interviewed prior to their planned departure to ensure records are appropriately captured and stored. Finally, during the exit process, the senior official is required to sign a Records Management Exit Checklist before the Records Manager clears their departure on the exit form.

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*)

       X Yes
       ☐ N o

Please explain your response: The Records Manager provides annual input on resource requirements. These requirements are communicated to the Board during the annual staffing plan and during the budget formulation process.

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*)

       X Yes
       ☐ N o

Please explain your response: Annual training is provided to all employees, including contractors, senior executives and appointees. That training includes recordkeeping responsibilities and a thorough review of the file plans. The Records Liaisons are also trained separately on an annual basis. Additionally, the Records Specialist attended a series of NARA Records Management Courses during calendar year 2018.

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?**

       X Yes
       ☐ N o

Please explain your response: During FY 18, the Records Specialist spot audited file plans, reviewing specific records and record locations for both paper copy and electronic records. During FY 19, the audit program will be expanded to include the Records Specialist evaluating effectiveness of and compliance with DNFSB policies and procedures.

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

     X Yes
     ☐ N o

Please explain your response: NARA officials recently provided an overview of NARA activities which support electronic recordkeeping with regard to the 2019 and 2022 goals. Continued NARA support, guidance, and working group engagements will be essential to the success of the DNFSB's transition.