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):

- Name of SAORM: Wayne "nmn" Jones
- Position title: NNSA Chief Information Officer
- Address: 1000 Independence Avenue SW., Suite 1I-054, Washington DC 20585
- Office telephone number: 202-586-9728

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

   Please provide list

   National Nuclear Security Administration Headquarters and Field Offices

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:

   NNSA progress continues towards managing permanent records in electronic format. Currently NNSA manages permanent email records through the Capstone method, as developed by the National Archives and Records Administration. NNSA procures computing resources and services, to include email, from the Department of Energy (DOE) and email capture is a combined effort with the DOE Records Management organization.

   In addition, NNSA has selected and is now procuring an electronic records management system (ERMS) which will be deployed at HQ and the Field Offices.

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)**

   ☒ Yes
   ☐ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

NNSA has begun steps towards identifying permanent records that are still being created in hardcopy and/or other analog formats. This requires coordination with key stakeholders who create and maintain these records, to determine if the hardcopy record content is summarized and transferred into an electronic format, or if there will be a need to retain the hardcopies. Due to geographical disbursement of NNSA, across the United States, this effort takes time and considerable level of effort.

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?**

☒ Yes
☐No

Please explain your response:

Reorganization/elimination of offices/functions has not been identified at this time. However, when mission related projects are completed, NNSA Records Management provides guidance and instructions to closeout project records, and transfer to the appropriate Federal Records Center. NNSA Records Management also monitors internal/external announcements, newsletters, emails, etc., to identify management and organization changes as they occur.

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)

☒ Yes
☐No

Please explain your response:

Primary strategic direction, support, and resources have been targeted towards implementation of Capstone for email records management and the selection/procurement of an ERMS. Planning and scheduling the development and implementation of the ERMS will also include evaluation of long-term strategies and resource needs to ensure successful implementation and maintenance of not on the ERMS but the NNSA Records Management program.

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.

    ☒ Yes
    ☐ No

    Please explain your response:

    All NNSA Managers and Supervisors are informed of their responsibilities for their own records as well as the records being created and maintained within their organization through directives, the records management professional appointment process, required annual training, and frequent communications submitted through DOE Records Management. Responsibilities are also communicated through new hire orientation and the employee termination checklist.

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)?**

    ☒ Yes
    ☐ No

    Please explain your response:

    Emphasis on the importance of records management has been identified in the DOE Information Management Strategic Plan for FY2014-FY-2018 which also includes NNSA. NNSA further identifies the importance of effective information management through the principles and goals identified in the NNSA OCIO (NA-IM) Strategic Plan. Additional emphasis will be placed on records management requirements in future revisions to the NNSA OCIO (NA-IM) Strategic Plan.

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)**

    No comment at this time.