



*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 rmsselfassessment@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: Bruce M. Downs
- Position title: Deputy Chief Information Officer
- Address: 1849 C Street NW
Washington DC 20240

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.

The Department of the Interior (DOI) Senior Agency Official (SAO) represents the component bureaus and offices in the table below (identified by Bureau/Office name and NARA Record Group).

Organization/Component Office	Record Group
Department of the Interior	RG048
Office of the Secretary	RG048
Indian Arts and Crafts Board	RG435
Bureau of Indian Affairs	RG075
Bureau of Land Management	RG049
Bureau of Ocean Energy Management	RG473
Bureau of Safety and Environmental Enforcement	RG589
Bureau of Reclamation	RG115
National Park Service	RG079
U. S. Fish and Wildlife Service	RG022
Office of Special Trustee	RG075
Office of Surface Mining, Regulation and Enforcement	RG471
United States Geological Survey	RG057

No other DOI Bureaus, components or offices will be reporting separately.

2. Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (OMB M-12-18, Goal 1.1)

- Yes
 No

In support of OMB M-12-18 Goal 1.1, the DOI implemented the eMail Enterprise Records and Document Management System (eERDMS). This is a DOI-wide cloud-based records management system that supports the electronic records program. This system is moving records management functions into a DoD 5015.2 records management system that supports both email and non-email electronic content.

In addition, the DOI has developed a Records Management Program Strategic Plan that ensures bureaus and offices work towards the 2019 goal for permanent records, as well as the 2023 goal for managing all records electronically.

The DOI also conducted a data call to identify sources of permanent electronic records across all bureaus and is initiating projects that will address OMB M-12-18 Goal 1.1. Examples of the projects being initiated as a result of the data call are as follows. The

DOI is integrating the Document Tracking System (DTS) with eERDMS. This integration will ensure that permanent policies, directives, memorandums, etc. are stored in eERDMS. The DTS integration project is expected to complete in 2019. In addition, the Office of the Special Trustee (OST) is working on a project that will store permanent Indian Trust records from the Trust Fund Accounting System (TFAS) in eERDMS. The TFAS project is still in the planning stages. While the DOI may not fully meet the OMB M-12-18 Goal 1.1 by the end of 2019, significant progress has been made in positioning the DOI to achieve this goal over time. The DOI will be working permanent records projects as the priority as we work towards the 2023 NARA goal.

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

In 2018 the DOI began implementing components of our Records Management Program Strategic Plan, which has greatly expanded the breadth of functionality implemented in the eERDMS platform. The DOI has automated the application of legal holds to email and has also begun dispositioning email content from the eERDMS repository. In addition, the DOI has implemented a document review and redaction platform for Congressional Oversight document productions and is beginning the rollout of this same tool for FOIA processing.

In 2018 the DOI also began the recomplete process for an Email and Collaboration (E&C) platform. Based on the technology advances in the latest cloud-based platforms, it is expected that a degree of records management and eDiscovery functionality will be native in the new platform. As a result, the DOI will begin the move to managing records in-place in 2019. The DOI clearly recognizes the need to support records management within multiple platforms with integrated search and retrieval capabilities added in the future to be fully successful.

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

The DOI's Records Management Strategic Plan has three overall goals, one of which is: "Records Management 100% Electronic by 2022". The Department is currently tracking and implementing ten projects to move offices and/or functional components to managing their records electronically. An additional four projects completed implementation in 2018 and earlier that support this overall move. The two largest projects that are in an operations and maintenance phase include the Bureau of Reclamations Infolinx migration and the Immediate Office of the Secretary's migration of Secretarial Correspondence. Both of these projects have also enabled the retirement of legacy systems as a result of these migrations.

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

- Yes
 No

The procurement of the DOI's eERDMS platform occurred in 2012 prior to many of the recent updates to Schedule 36. As such the DOI mainly used the eERDMS contract for procurements until this year when schedule 36 will be used to contract records management resources in the Immediate Office of the Secretary. The DOI will use Schedule 36 as future procurement opportunities arise.

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

In 2017 the DOI began conducting in-person records management training with all incoming political appointees and high-level officials. These training sessions have continued on a bi-weekly basis to ensure that all new political appointees and high-level

officials are aware of their records management responsibilities. The DOI also requires that all new employees, including political appointees and other high-level officials, take an on-line Records Management awareness course prior to onboarding. Completion of this course is tracked and managed across the Department and an annual recertification is also required.

When political appointees resign their positions, Human Resources contacts the OCIO ensuring records management counseling is scheduled and provided for departing political appointees. A specific records clearance process and sign-off are required as part of the off-boarding process.

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

The DOI Records Management Program Strategic Plan was initially established in 2018 and is currently undergoing its first major revision. The plan ensures that bureaus and offices are working towards the NARA electronic records management goals established in OMB M-12-18 and the NARA Strategic Plan. The plan will be signed by the DOI Chief Information Officer (CIO) and SAORM, the DOI Solicitor's office and through the Department's Policy Management and Budget management chain. This helps ensure full compliance across all bureaus and offices.

The DOI has established Associate Chief Information Officer (ACIO) positions in every bureau to meet the requirements of the Federal Information Technology Acquisition Reform Act (FITARA). The ACIO is the senior information management leader for each bureau. The ACIO maintains purview over the bureau information management strategy and its alignment with the objectives and expected outcomes of the DOI CIO's key priorities and program objectives. Since ACIOs are part of the bureaus' executive leadership and report both to the CIO (SAORM) and the Bureau Deputy Director, they are the avenue to obtain executive sponsorship when required.

Each ACIO is a member of the Information Management and Technology Leadership Team (IMTLT) which is the primary DOI IMT governing body that provides input on all information management and technology related matters within the Department. The IMTLT reviews standards, manages the IT governance review process, reviews enterprise architecture policies and standards, provides advice and guidance to the Deputies Operations Team (DOT) and establishes IMT working groups and integrated project teams. The IMTLT meets weekly, and the DOI Records Management Program, as well as other programs, can raise items that need to be addressed with the bureaus. Likewise the ACIOs can bring bureau issues to the various OCIO program areas for resolution. It is through this governance mechanism that all program and compliance efforts, including Records Management, engage with the bureaus for executive sponsorship and ongoing support.

- 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

The DOI has developed and maintains a detailed online Records Management course that all employees must take prior to being on-boarded as a DOI employee or contractor. In addition, the DOI provides annual Information Management & Technology (IMT) Awareness training that all employees must take and recertify on an annual basis. This training provides an additional overview for Records Management, Section 508, Privacy and Security, and also includes links to the more detailed on-line training. If employees or supervisors feel they need to repeat the more detailed training provided, they have direct access to do so.

As noted in response to Question 6, the DOI also provides supplemental training to political appointees when they are on-boarded and again when they are off-boarded. This additional training provides practical support to political appointees and high-level officials on the unique records management requirements of their more senior positions.

Due to the decentralized nature and diverse missions of each of the DOI bureaus, each Bureau Records Officer is responsible for developing and delivering specific role-based records management training related to their individual bureau needs. Some bureaus deliver periodic on-site training at their major field locations. Other bureaus provide quarterly or annual teleconferences to cover records management training requirements. The DOI Records Management Program staff often participates in these training opportunities at the Bureau Records Officer request.

- 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

The DOI Records Management Program is in the process of developing and implementing a Departmental Records Schedule (DRS). The development of the specific schedules within the DRS are being led by Bureau Records Officers who have a significant amount of applicable records in that schedule, which helps ensure buy-in as the schedules are developed. In addition, only the DRS is being implemented in the eERDMS platform which ensures that the latest disposition authorities are followed. As the new Email and Collaboration (E&C) tool is selected, any records management functionality implemented will likewise leverage the DRS and the latest standard

disposition authorities. Key metrics around legal holds as well as email classification and disposition are maintained on an ongoing basis and reviewed by Bureau Records Officers on a monthly basis.

Bureau Records Officers take individual responsibility for developing, implementing, and evaluating their internal processes based on Departmental directives and guidance. Bureaus complete their individual annual Records Management Self-Assessment and review with the Departmental Records Officer prior to submission to NARA. Based on the results of these individual assessments, the Departmental records management program identifies additional policies and guidance to be developed that will assist the bureaus in consistent records management implementation.

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

Yes

No

The DOI appreciates NARA providing updates to Electronic Records Management (ERM) guidance and policies, which was requested in previous SAORM reports. Continued effort to expand guidance on the implementation of products like Office 365, Gsuite Enterprise and topics like the use of digital signatures would be extremely helpful. In addition, recent efforts within the Federal Records Management Council have helped in this area.

The DOI also requests that NARA continue to update scheduling policies and functionality within the Electronic Records Archive (ERA) system to enable the consistent and simplified implementation of media-neutral schedules, as well as the ability to execute transfers of extremely large volumes of email and other electronic records that will be accessioned to NARA.