NATIONAL
ARCHIVES
OFFICE *of the*
CHIEF RECORDS
OFFICER

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: Edward Hugler

- Position title: Acting Secretary of Labor

- Address: U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210

- Office telephone number: 202-693-4040

- Email: ███████████████

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

The Department of Labor (DOL)
1. Adjudicatory Boards (ARB, BRB, ECAB)
2. Administrative Law Judges (OALJ)
3. Assistant Secretary for Policy (ASP)
4. Bureau of International Labor Affairs (ILAB)
5. Bureau of Labor Statistics (BLS)
6. Employee Benefits Security Administration (EBSA)
7. Employment and Training Administration (ETA)
8. Office of the Executive Secretariat (EXEC SEC)
9. Mine Safety and Health Administration (MSHA)
10. Office of the Assistant Secretary for Administration and Management (OASAM)
11. Office of the Chief Financial Officer (OCFO)
12. Office of Congressional and Intergovernmental Affairs (OCIA)
13. Office of Disability Employment Policy (ODEP)
14. Office of Federal Contract Compliance Programs (OFCCP)
15. Office of Inspector General (OIG)
16. Office of Labor-Management Standards (OLMS)
17. Office of Public Affairs (OPA)
18. Occupational Safety and Health Administration (OSHA)
19. Office of the Solicitor (SOL)
20. Office of Workers' Compensation Programs (OWCP)
21. Veterans' Employment and Training Service (VETS)
22. Women's Bureau (WB)
23. Wage and Hour Division (WHD)
24. Ombudsman for the Energy Employees Occupational Illness Compensation Program (OMBUD)

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)**

       ☒Yes
       ☐No

If No, please list and explain which part of your agency or components did not meet the deadline?

(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
       ☐ No

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

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)**

       ☒Yes
       ☐No

If Yes, please describe this progress.

> DOL's interdisciplinary group continues to meet regularly in order to identify and leverage the existing capabilities to help support, establish and validate processes available to manage all permanent electronic records, electronically, wherever possible. The group will determine the approximate amount of storage required based upon current document load, identify an appropriate repository for long-term storage (cloud, removable storage, pre-accessioning to NARA etc.), user permissions and responsibilities, legal hold and search perimeters, as well as the cost analysis of the required budgetary resources. The Department has begun to explore leveraging SharePoint as a primary method to store permanent records.

In addition to meeting regularly with the interdisciplinary group, the Department's Records Management Office continues the process of revising the Department's records management directive DLMS 1 – Records Management, Chapter 400 (last revised: August 8, 2014). The pending revision will include capturing of electronic records, access, retrievability, and disposition. The group will also determine the requirements for access to these records based upon roles and responsibilities of employees. This will also assist the Department in meeting its goals.

The interdisciplinary group facilitated a reasonable and responsible approach for fulfilling the permanent electronic records requirements for the various applications used. This includes providing assistance, coordinating the development of plans and designing tools (if necessary), that work well strategically and tactically within an overarching transition to the digital age.

The following agencies continue to update and revise their schedules to make them media neutral:
1. Administrative Law Judges (OALJ)
2. Assistant Secretary for Policy (ASP)
3. Bureau of International Labor Affairs (ILAB)
4. Employment and Training Administration (ETA)
5. Office of the Executive Secretariat (EXEC SEC)
6. Mine Safety and Health Administration (MSHA)
7. Office of the Assistant Secretary for Administration and Management (OASAM)
8. Office of the Chief Financial Officer (OCFO)
9. Office of Disability Employment Policy (ODEP)
10. Office of Federal Contract Compliance Programs (OFCCP)
11. Office of Inspector General (OIG)
12. Office of Labor-Management Standards (OLMS)
13. Office of Public Affairs (OPA)
14. Occupational Safety and Health Administration (OSHA)
15. Office of Workers' Compensation Programs (OWCP)
16. Veterans' Employment and Training Service (VETS)
17. Women's Bureau (WB)
18. Ombudsman for the Energy Employees Occupational Illness Compensation Program (OMBUD)

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

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
☐No

Please describe your specific plans or actions.

An assessment was initiated in the Departmental Records Management Office which identified over 300 scheduled permanent records items. Approximately 40% of the current records schedules need to be revised to include language designating records as electronic. After the revised schedules are approved by NARA, agencies will be required to implement new procedures and processes for managing their scheduled records.

Agencies have contracted with NARA, as well as private entities to inspect, analyze, research and digitize records. The most recent NARA interagency agreement includes NARA scanning and other peripheral services. Several agencies (WB, ETA, OLMS, OIG, OPA, SOL, WHD) have completed related projects and others are currently exploring their options and resources.

Challenges encountered by DOL in considering options for digitizing permanent hard-copy records were identified during the review of DOL records schedules initiated by the OASAM's Records Management Office. NARA regulations specify that if a previously approved records schedule explicitly excludes electronic records, agencies must submit a new schedule to NARA for electronic records. Thus, the process of revising schedules to media neutral continues. The Department currently has 11 record groups (RG), however, RG174 is shared across 5 agencies and RG317 is shared by 2 agencies which has been an obstacle in revising our schedules. DOL will work with the Archivist to determine the best way to devise a solution for this issue. Due to continued budgetary constraints, DOL will likely have to leverage existing technology, e.g. SharePoint, as an electronic storage solution.

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)**

        ☒Yes
        ☐No

If Yes, please describe what steps have been taken.

In November 2012, in response to OMB's Directive on Managing Government Records (M-12-18), the Assistant Secretary for Administration and Management (ASAM) was designated as the Department's SAORM.

The Department's Records Management Officer (DRO) convenes monthly meetings with the Agency Records Officers (ARO) to provide leadership, assistance and training. As necessary, the DRO updates the Department of Labor Manual Series (DLMS) 1 – Records Management, Chapter 400, to include the latest policy guidance necessary to enhance the records management program (i.e.

roles, responsibilities, scheduling of records, inventories, audits as well as mandatory training, etc.).

Records Management is an integral part of the OASAM operating plan, which contains the following measure and milestones: Achieve savings by ensuring records (permanent and temporary) stored at the Federal Records Center are transferred timely to NARA or destroyed as indicated in their approved records schedule or the applicable General Records Schedule; Implement of DOL's Capstone Approach for electronic mail management policy in accordance with M-12-18, Government Records Management Directive; and Complete NARA's annual Records Management Self-Assessment (RMSA).

The Departmental COOP Continuity Plan was established to maintain the capability to continue performance of Departmental functions with minimal or no interruption during national security emergencies or other emergencies that could threaten DOL personnel, infrastructure, information systems or other vital assets, Continuity of agency operations during times of service disruption is essential. All DOL agencies and regions have identified their essential functions (including essential and vital records) and have developed actionable continuity plans that can be implemented with or without warning.

The Department-wide policy (DLMS) with regard to Electronic Signatures, is in its final stages of review and approval. It will enable the Department to fulfill its obligations under the Government Paperwork Elimination Act (GPEA), Public Law 1-5-277 (codified at 44 U.S.C. 3504), and implement OMB guidance.

The OCIO plays a critical leadership role in driving reforms to help control system development efforts, better manage technology spending, and succeed in achieving real, measurable improvements in mission performance. The Information Resources Management Strategic Plan (2014-2018) outlines OCIO's commitment to modernizing the IT infrastructure which supports the priority of building a future-ready government, one that is both efficient and effective. In part, this will be accomplished by promoting information sharing and data accessibility; preserving electronic records; providing quality customer service experiences; securing information exchange; and improving electronic and information technology accessibility.

In collaboration with OCIO, agencies within the Department adopted NARA's Capstone Approach. This cloud-based solution will support both records management and litigation requirements providing the necessary capabilities to identify, retrieve, and retain email records for as long as they are needed. Furthermore, DOL has a planned, collaborative effort between the OCIO, Business Operations Center, and the agencies to establish policies and procedures to manage permanent records electronically by December 31, 2019.