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: Steven Fine

- Position title: Acting Assistant Administrator for the Office of Environmental Information

- Address: US EPA Headquarters William Jefferson Clinton Building, 1200 Pennsylvania Avenue, N.W., Mail Code 2810A, Washington, DC 20460

- Office telephone number: 202-564-6665

- Email:

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

Please list below:
Environmental Protection Agency (EPA)

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?

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

EPA continues to work with owners of electronic information systems to ensure permanent electronic records are scheduled and transferred per instructions in the approved records schedules. To date, there are 32 EPA electronic information systems containing permanent records, and EPA tracks and assists headquarters program and regional office contacts with transfers of data from these systems to NARA.

Two other major EPA records collections containing permanent records, the Federal Docket Management System (FDMS) and the Superfund Enterprise Management System (SEMS), are in the process of implementing or developing records management modules in their electronic systems. FDMS has a NARA-approved records schedule; a records schedule for SEMS will be resubmitted to NARA in 2017.

EZ Desktop Records was developed for "loose" (non-email) electronic records, and we are exploring alternatives for making it available agency-wide.

To help identify any gaps, EPA plans to send a data call to the headquarters program offices and regions asking them to review the current list of permanent records to determine if there are any permanent electronic records that are not currently being captured in an electronic recordkeeping system. The results can be used to help determine the most efficient method for managing and eventually transferring the records to NARA in electronic format.

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.

As reported in the SAO for Records Management FY 2014 Annual Report, decisions regarding digitization of permanent records will be made on an office-by-office basis. EPA's 2015 digitization procedures and standards provide guidance on factors to consider when making decisions on what to digitize, and the data call mentioned in the response to the previous question will help identify opportunities for digitization.

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.

As the EPA SAORM with overall agency-wide responsibility for records management, the following include the steps I, with support from others, have taken in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource:

- Updated EPA records management policies (such as EPA's Records Policy, which includes email guidance), standards and guidance;
- Cooperated with other organizations in developing policies and guidance on the application of technology to records management;
- Developed records schedules authorizing the disposal of temporary records and the transfer of permanent records to the National Archives with the approval of the Archivist of the United States;
- Conducted specialized briefings on records management;
- Coordinated the program within the Agency and with outside parties such as the National Archives and Records Administration (NARA);
- Represented the Agency in intra-agency records management groups;
- Assisted records programs across the Agency with advice and technical expertise;
- Used multiple electronic records repositories, for example, the Enterprise Content Management System (ECMS) for the management of email records, the Federal Docket Management System (FDMS) and FOIAonline;
- Explored additional approaches that could facilitate and enhance records management across the Agency, including managing all permanent electronic records electronically to the fullest extent possible;
- Maintained the READ (Registry of EPA Applications, Models, and Data Warehouses) system that lists databases developed by the Agency and includes appropriate records retention schedule information, when applicable;
- Conducted IT Portfolio reviews for each program and region, during which all electronic systems are identified and new systems introduced. The Portfolio reviews allow NRMP to ensure that systems are in READ and properly scheduled; and
- Provided mandatory records management training to all EPA staff, including guidance on all records management responsibilities.