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: Steven Fine
- Position title: Principal Deputy Assistant Administrator and Deputy Chief Information Officer (CIO)

- Address: U.S. EPA Headquarters, William Jefferson Clinton Building, 1200 Pennsylvania Avenue, NW, Mail Code 2810A, Washington, DC 20460
- Office telephone number: 202-564-6665

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

   Please provide list
   Environmental Protection Agency

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:

   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 2018.

   EZ Desktop Records was developed for non-email electronic records, which allows users to capture and save the records into the Enterprise Content Management System (ECMS). EPA plans to make it available agency-wide in the third quarter of 2018.

   EPA's National Records Management Program sent a data call to programs and regions requesting review of the current list of permanent records to determine if any permanent electronic records are not being captured in an electronic recordkeeping system. The results will be used to help determine the most efficient method for managing and transferring the records to NARA in electronic format.

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
        ☐ N o

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

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.

In addition, the agency lunched an effort resulting in the development of a document entitled Promoting Digital Government/ e-reporting Across EPA. The objective of the effort was to analyze current paper collection/ management across the Agency and identify opportunities for transition to digital management.

The Agency is also developing an Electronic Signature Policy, Procedures and Guidance, which will establish the EPA's approach for adopting electronic signature technology and best practices to ensure electronic signatures applied to official agency documents are legally valid and enforceable.

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
        ☐ N o

    Please explain your response:

EPA has policies, processes and procedures to help ensure that records management requirements are accounted for when making organizational changes. As an example, all personnel are required to complete an EPA Records Management Checklist for Separating /Transferring or Separated Personnel, EPA Form 3110-49, when they separate from the agency or transfer within the agency. This helps to ensure that the records created during an employee's tenure are appropriately identified, saved in a recordkeeping system, and access is given to the supervisor. The form also helps to ensure that appropriate organizational changes and access rights have been made in the Enterprise Content Management System (ECMS). In addition, we provide continual awareness to

staff through mandatory Records Management Training, Records Management Day, and Records Alerts.

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
    ☐N o

    Please explain your response

Yes. As the SAORM I have worked with multiple agency offices to ensure records management requirements are addressed as the agency migrates email from its old email system and to ensure that Capstone is appropriately implemented. I have also championed the creation of a cross-agency workgroup to identify ways to improve the agency's approaches to records.

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
    ☐N o

    Please explain your response:

All incoming and outgoing senior officials are required to receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements. These briefings help ensure that they are aware of their records management responsibilities and that the records they will created and have created during their tenue are captured in a recordkeeping system.

All outgoing EPA personnel, including senior officials are required to complete an EPA Records Management Checklist for Separating /Transferring or Separated Personnel, EPA Form 3110-49, when they separate from the Agency or transfer within the agency. This checklist helps ensure that the records created during an employee's tenure are appropriately identified, saved in a

recordkeeping system and maintained according to the appropriate EPA Records Retention Schedule.

Additionally, all EPA personnel, including senior officials are required to take mandatory records management training. This training includes guidance on all records management responsibilities.

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
        ☐ N o

    Please explain your response:

The U.S. EPA IRM Strategic Plan, 2016-2018, signed by the previous SAORM in Dec. 2016, has a section dedicated to the Agencies' plans for Records Management, https://www.epa.gov/sites/production/files/2016-12/documents/final-irm-plan.pdf

The records management program and related requirements are included in EPA's Enterprise Information Management Policy (EIMP). This policy establishes a standard approach for managing information produced by, funded by, or received per regulated reporting and/or federal-wide requirements and subsequently held or cataloged in information management systems by the EPA. It enables the Agency to comply with the E-Government Act, Digital Government Strategy, the Open Government Initiative, and their associated Executive Orders and Office of Management and Budget (OMB) directives. The purpose of the policy is to ensure that information is easy to discover, understand, access, and reuse in a secure manner so it can be used with a broad array of applications and analytics to support the Agency's mission and stakeholder needs.

Records management program and related requirements are also included in the Enterprise Information Management (EIM) Minimum Metadata Standards. The purpose is to define a consistent set of required and recommended metadata elements for information produced by, funded by, or received per regulated reporting and/or federal-wide requirements and subsequently held or cataloged in information management systems by the Agency .

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)**

NARA's continued commitment to support agencies with expert advice on policies, procedures, guidance and technology issues is invaluable in ensuring a successful transition to fully electronic recordkeeping.

As the federal government progress toward fully electronic recordkeeping, it is critical that the National Archives allow for the transfer of permanent records electronically over the internet for accessioning into the Archives.