

Senior Agency Official for Records Management 2016 Annual Report



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

Anthony Haywood

- Position title

CIO

- Address

800 North Capital Street, N.W.
Washington, DC 20573

- Office telephone number

(202)523-0001

- Email

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

All agency bureaus, component and offices are covered by this report and SAORM position at the Federal Maritime Commission.

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

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

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

If Yes, please describe this progress.

The FMC has formed a working group with primary responsibility to implement a program to manage all permanent electronic records by the goal deadline.

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)

No

Please describe your specific plans or actions.

FMC's record's management working group will determine and develop plans to address this requirement.

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

If Yes, please describe what steps have been taken.

To comply with OMB's Circular A-130 requirements, the FMC has implemented the following:

1. The agency has designated the CIO as the senior agency official for records management with agency-wide responsibility for records management;

2. Is continuing the agency's record management programs and has updated all of its agency records management guidance and procedures;
3. Implemented technology and processes to manage all permanent electronic records for eventual transfer and accessioning by NARA in electronic format and has incorporated email records management, archival functions and litigation requirements - using a cloud based data email and data storage service - into the Commission's electronic systems;
4. Implemented lifecycle access, retrieval records management procedure and policy to manage records regardless of form or medium;
5. SAORM has implemented policy to ensure agency records are managed and treated as an information resource in accordance with the requirements mandated in the OMB circular;
6. Established and implemented policies and procedures to obtain approval of the Archivist of the United States for retention schedules for records in a timely fashion;
7. Has provided training and guidance to all agency employees and contractors regarding their Federal records management responsibilities.