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: William J. Bosanko
- Position title: Chief Operating Officer
- Address: Archives II, 8601 Adelphi Road, Room 4200, College Park, MD 20740
- Office telephone number: 301-837-3604

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

   Please provide list:
   - Office of the Archivist of the United States
   - Deputy Archivist of the United States
   - Office of Inspector General
   - Equal Employment Opportunity Office
   - National Historical Publications and Records Commission
   - General Counsel
   - Congressional Affairs Office
   - Office of the Chief of Staff
   - Chief Operating Officer
   - Office of Human Capital
   - Office of Innovation
   - Office of the Federal Register
   - Agency Services
   - Research Services
   - Legislative Archives, Presidential Libraries, and Museum Services
   - Office of the Chief of Management and Administration
   - Office of the Chief Acquisition Officer
   - Office of the Financial Officer
   - Information Services
   - Business Support Services

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)**

   X Yes
   ☐ No

   Please explain your response:

In 2017, Corporate Records Management (CM) conducted interviews with owners of permanent records throughout NARA to determine the format, media type, and location of the records. Based on those findings, CM developed a 1.1 action plan and created a process for tracking what actions need to be taken on each permanent records series to meet Goal 1.1 by the end of 2019. These actions focus on four key aspects of managing records: effective policies, efficient systems, appropriate access, and the ability to execute disposition.

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)**

        X Yes
        ☐ No

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

We are in the process of developing an electronic records action plan on how NARA will operate electronically – as much as possible – by 2022. This electronic records action plan will include analysis of the value of digitizing permanent records currently in hard copy and other analog formats.

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?**

        X Yes
        ☐N o

    Please explain your response:

NARA has a process in place to ensure records requirements will be met. Corporate Records Management (CM) is undertaking an initiative to update the file plans for all agency organizations that will be synced to a master file plan maintained by CM. By having a master file plan in place, CM will be able to track new or changing recordkeeping requirements when offices or functions are eliminated or subsumed by other units.

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)

  X Yes
  ☐No

 Please explain your response

An effective records management program is promoted at NARA by ensuring that responsibilities are appropriately assigned and resources are suitably aligned to meet our records management requirements. As part of setting a vision and strategy for the corporate records program, NARA has a draft Records and Information Management (RIM) Strategy that supports NARA's 2018-2022 Strategic Plan. NARA's corporate records goals are also being included in NARA's Strategic Information Resources Plan which is currently under revision.

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.

     X Yes
     ☐No

    Please explain your response:

All new senior and appointed officials are required to attend new employee orientation training which includes training them on their responsibilities for managing records under their immediate control. Corporate Records Management staff are also involved in exit briefings and clearance processes for departing senior officials.

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](#))?**

     XYes
     ☐N o

Please explain your response:

Corporate Records Management (CM) has an established records management program that participates in NARA's information resource management strategy. CM has instituted all of the eight activities cited in OMB Circular A-130 under records management, and continues to improve and refine the management of all permanent electronic records "to the fullest extent possible." In 2017, CM worked with Information Services to take a more active role in all phases of the Capital Planning/Governance Process to include requirements, development, and implementation phases (more specifically the Pre-Selection, Post-Selection, Evaluation and Control, and Transition phases). CM also developed a standard set of core requirements that were made available to requirements staff to employ a consistent and reliable method to integrate records management functionality into new technologies and systems.

To report on the progress of these activities and exchange ideas on improving IT and IM governance, NARA's Records Officer and Chief Information Officer meet at least quarterly.

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)**

It would be helpful to see NARA develop a fairly standardized set of internal controls that are specific to monitoring electronic records, such as identification of standard data and reporting that should be regularly monitored and evaluated. It would also be helpful for NARA to define risks, impacts, and recommended actions, and develop case studies on the implementation of migrating to electronic recordkeeping. Similar to NARA's Email Success Criteria or the Records and Information Management Maturity Model, metrics from the internal controls or risk assessments will tell agencies (and NARA) how well they are doing.