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The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 rmselfassessment@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   Linda Dent
- Position title   Associate General Counsel
- Address   1775 Duke Street, Alexandria, VA 22314

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

   Please provide list: National Credit Union Administration

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:

   The National Credit Union Administration (NCUA) is making progress to meet this goal. In 2018, the agency approved and issued a Records Management Program Instruction (agency-wide policy) that requires offices and staff to conduct business electronically to the maximum extent possible. The NCUA is managing permanent and temporary email records under its NARA approved Capstone records schedule. We continue to expand the use of office file plans to manage permanent records in electronic format. Records staff are working with the Office of Business Innovation, Office of the Chief Information Officer and other NCUA offices to address records management functionality as part of the NCUA's multi-year Enterprise Solution Modernization (ESM) initiative. The ESM initiative is modernizing mission related electronic information systems, including systems that contain permanent records. In addition, NCUA is digitizing permanent paper records consistent with NARA's preferred file formats for scanned text.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its *[Criteria for Successfully Managing Permanent Electronic Records](#)* (March 2018)?**

   ☒ Yes
   ☐ No

   Please explain your response:

Policy

As noted above, NCUA's Records Management Program Instruction requires NCUA's staff to conduct business electronically to the maximum extent possible.

Operational Activities

The SAORM is a member of the agency's IT Prioritization Council, the governing body responsible for prioritizing and allocating IT resources. This helps ensure that effective electronic records management remains a priority as the agency modernizes its IT systems. Additionally, Records staff continue to develop training and guidance to support managing permanent electronic records.

Universal Electronic Records Management

The NCUA is utilizing NARA's universal ERM requirements in agency planning for an ERM system.

4. **As included in the Administration's** *[Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](link)* **(June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

   The Reform Plan states:
   Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

   ☒ Yes
   ☐ No

   Please explain your response (include specific goals and example metrics):

   The NCUA is working to ensure permanent electronic records include metadata and are converted to PDF/A format in preparation for transfer to NARA. As part of file plan implementation, offices are conducting file room cleanup projects to dispose of temporary records that are past the retention date. The agency continues to transition to electronic business processes that reduce the creation of paper records. Digitization projects are also underway.

5. **Is your agency utilizing [General Service Administration's Schedule 36](link) to procure solutions to assist in transitioning to an Electronic Environment?**

☐ Yes

☒ No

Please explain your response:

NCUA will consider utilizing GSA Schedule 36 for this purpose.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure 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
> ☐ Changes were unnecessary (click here for your agency's 2017 report)
> ☐ No, changes are being considered but have not been made
> ☐ No

Please explain your response:

In 2018, the NCUA initiated briefings for incoming senior officials on their records management responsibilities. Outgoing senior officials continue to receive records management briefings and complete a form that supports the proper retention of records.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02: *Guidance on Senior Agency Officials for Records Management*)**

> ☒ Yes
> ☐ No

Effective January 2018, the Associate General Counsel, Information and Access Law (IAL) Division, became the SAORM. The IAL Division is comprised of the records management, privacy, Freedom of Information Act, and Paperwork Reduction Act teams, and better enables the NCUA to take a holistic and strategic approach to records management.

As noted above, the SAORM sits on the agency's IT Prioritization Council. In addition, in 2018 the IAL Division added a records management attorney, who serves as the agency Records Officer, and two full time records and information management specialists. Implementation of plans for additional records management staff and training resources is in progress.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: *Agency Records Management Training Requirements*](#))**

☒ Yes
☐ No

Please explain your response:

The NCUA requires onboarding and annual records management training for federal employees and contractors. Records liaisons have participated in specialized training. In 2018, Records staff initiated records management briefings for incoming senior officials.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

☒ Yes
☐ No

Please explain your response:

Records staff have initiated check-ins with NCUA offices on implementation of office file plans. The check-ins cover progress made and challenges encountered on records disposition and organization, whether records are missing from the file plan, and ways in which Records staff can assist the office. Records staff have also developed online templates for NCUA staff to document records destruction. In addition, Records staff have implemented an online records management form that exiting NCUA employees must complete and submit for review prior to separation from the agency. The form enables the employee to certify completion of a range of records management activities to ensure compliance with legal requirements and facilitate the continuation of work. Plans for 2019 include creating an evaluation template for use in assessing offices' records management practices.

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

☒ Yes
☐ No

Please explain your response:

We appreciate NARA's continued efforts to identify best practices in electronic recordkeeping and promote collaboration and communication among agencies.