NATIONAL
ARCHIVES

OFFICE *of the*
CHIEF RECORDS
OFFICER

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   Shannon O'Loughlin

- Position title   Chief of Staff, NIGC

- Address   90 K St. NE, Washington, DC, 20002

- Office telephone number   202-632-7003

- Email

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

Entire agency.

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)**

        X 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
        X No

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

By December 31, 2016, the agency had completed a comprehensive review of its inventories of paper and electronic document archives and had, as a result, identified

_____

approximately 29 unscheduled records items. These unscheduled items could not be submitted to, and approved by, NARA before the M-12-18 deadline because NARA has recently determined that the NIGC can no longer be considered a "temporary" commission (as part of Records Group Number 0220). NARA now requires that the NIGC be issued its own independent and exclusive Records Group Number and, until such has been issued, the submission of new schedules has been put on-hold.

Meanwhile, the results of the NIGC's comprehensive review of its inventories have been incorporated into the ongoing (and critically important) RM project to analyze, assess and renovate the agency's 1997-approved disposition authorities. The agency is currently working closely with its Archivist Appraiser to prepare updated schedules – to include the above-mentioned unscheduled items - for immediate submission once the NIGC's new Records Group Number is approved and issued.

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)**

X Yes
☐No

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

- The agency's current paper-only record schedules are being modified to allow for electronic recordkeeping.

- The agency requested, and was granted, approval to implement the Capstone Approach for managing permanent electronic email records.

- The agency's Records Management Directive specifically incorporates the 2014 amendments to the Federal Records Act and related federal regulations.

- The IT department has recently purchased and installed software that will enable the NIGC to greatly expand its electronic records back-up capacity and controls.

- The RM Program is consulting with all agency components about the design and implementation of centralized e-records file plans.

- The RM Program's 2017 performance goals include the delivery of specialized RM training to agency Records Liaison Officers and, relatedly, anticipates the development of collaborative processes to enable RLO's to become more actively involved in the formulation of RM policies and procedures.

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)

> X Yes
> ☐No

Please describe your specific plans or actions.

The RM Program's comprehensive review of the agency's inventories included an assessment of each schedule item's level of digitization. Based on this assessment, it appears that, with rare exception, the agency's digitization processes involve the transformation from paper to (Adobe) pdf electronic form. Based on this assessment, the agency's RM Program has been coordinating with RLOs and other agency stake-holders to ensure that custodians of the agency's permanent records have the necessary technological tools, proper training, and in-place procedures to enable them to meet the deadlines set by Goal 1.1.

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)

> X Yes
> ☐No

If Yes, please describe what steps have been taken.

As SAORM, I have taken, or initiated, during this reporting period various steps to ensure compliance with OMB Circular A-130, Managing Information as a Strategic Resource, including:

- the assessment of PII information collections and the development of modifications to their life-cycle management in order to minimize their internal

dissemination and retention to only that which is necessary for the proper performance of agency functions. (5)(a)(1)(a)

- the preliminary outline of a Business Continuity Plan to ensure the continuation of agency operations during times of service disruption. (5)(a)(2)

- the agency-wide effort to transition the agency from paper to electronic record-keeping in accordance with Government-wide requirements. (5)(h)(3)

- the comprehensive revision of the agency's records schedules to account for changes in the agency's structure and workflows. (5)(h)(3)

- the development of audience-specific training to be deployed to all agency employees and contractors regarding their Federal records management responsibilities. (5)(h)(3)