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          Christinia Thomas
- Position title          Chief of Staff (A)
- Address          90 K St. NE, Suite 200, Washington, DC 20002

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.**

The National Indian Gaming Commission

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

Yes. On July 14, 2018, the NIGC completed its transition from paper-based to electronic records schedules. With the exception of some legacy files held in storage, the NIGC Now maintains all agency records in electronic form.

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)?**

> X Yes
> ☐ No

Yes. In 2018, the NIGC made progress on number of fronts. Basic policies for the management of electronic communications were approved. A first-ever RM training manual was approved and disseminated. IT systems were evaluated for compatibility with long-term records management goals and, as a result, new systems are now being procured. The RM Program met with internal stake-holders to begin formulating component level file plans to ensure appropriate file accessibility, protections and lifecycle management.

4. **As included in the Administration's _Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations_ (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.*

X Yes
☐ No

As mentioned above, the NIGC now maintains all its records in digital format. Moreover, the file format of these permanent records is compatible with NARA standards and exportable to NARA for permanent archiving.

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

☐ Yes
X No

No, however in 2018 the NIGC made significant investments in IT products that, when fully implemented, will provide a robust and stable platform that will be compatible with emerging ERM solutions.

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)
X No, changes are being considered but have not been made
☐ No

The NIGC is currently working on establishing incoming/exit policies for senior officials and RM procedures are expected to be included in these.

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*)

      X Yes
      ☐ N o

In 2018 I worked closely with the Agency Records Officer to craft and approve policies governing employee use of agency electronic communications systems. NIGC's new investments in IT have incorporated RM concerns and will provide the RM Program with powerful new tools for overseeing the lifecycle management of agency records. The NIGC recognizes that RM solutions are going to be driven by technological innovation and has placed the RM Program within the IT division to enable it to have close access to IT decision-making and development.

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*)

      X Yes
      ☐ N o

Yes, the RM Program has agency-customized and employee-role focused RM trainings that target all employees, new employees, and senior executive employees. These trainings are constantly being updated to incorporate new technologies and processes that the NIGC newly deploys. On a biennial basis, the Agency Records Officer presents comprehensive in-person trainings to all employees and, otherwise, conducts refresher courses and new employee trainings.

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?**

      X Yes
      ☐ N o

I have given explicit instructions that the Agency Records Officer be given proper access to agency records and IT tools to enable this person to conduct evaluations and auditing processes to ensure records management directives, policies, procedures, and retention schedules are being properly implemented.

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

☐ Yes
X No

NARA has already been helpful in updating our records to mixed media schedules and now it's important for the agency to develop internal policies to support these schedules.