



*Senior Agency Official for Records Management
2018 Annual Report*

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: *Christopher J. Bavasi*
- Position title: *Executive Director*
- Address: *ONHIR, P.O. Box KK, Flagstaff, AZ 86002*

- 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.**

Office of Navajo and Hopi Indian Relocation

- 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: *All permanent electronic records are managed electronically and ready for eventual transfer to NARA.*

- 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: *The agency has developed a plan that aligns to the criteria and requirements published by the referenced NARA initiative to manage permanent electronic records.*

- 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.

- Yes
- No

Please explain your response (include specific goals and example metrics): *The ONHIR is a sunset status agency and as such will phase out by the end of FY 2020. Since the agency will most likely be closed by the NARA initiative deadline, there is no plan or objectives to convert paper based systems to electronic workflows. However, the agency has been coordinating with NARA representatives since 2018 on its electronic environment records system for disposition and/or future transfer of electronic records to NARA FRC.*

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

- Yes
- No

Please explain your response: *The ONHIR is in phase out mode with a target closure for FY 2020. In the event agency remains open through FY 2022, the agency will digitize remaining records for transfer to NARA FRC.*

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: *All incoming and outgoing senior officials are required to either to engage in an on boarding orientation process which includes records management practices, procedures and responsibilities. When separating from the*

agency complete senior officials must complete an exit clearance form which addresses the disposition or retention of records they maintain prior to separation from the agency.

- 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

Please explain your response: The agency Interim Records Manager discusses with various NARA representatives regularly to assess what records management practices and procedures are necessary to ensure a successful records management program. The agency contracted with a records management contractor in 2018, a previous NARA FRC employee, to meet with agency staff individually to provide assistance and guidance to employees on maintenance and disposition of agency records in order to prepare records for disposition and/or transfer to the NARA FRC.

- 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: Each branch component with the agency has assigned records management responsibilities to a designated employee, and added this to the employee's performance evaluation. Staff are titled as Records Management Liaisons within each branch. On-site training on Basic Records Operations (BRO) was provided to the Records Management Liaisons by a NARA FRC representative to provide basic information to enable RML's to perform their responsibilities within their branch. In addition, the agency interim Records Manager assists staff regularly in providing guidance, answering questions on disposition and retention, conducting records management inventory and clean-up projects, and works closely with NARA representatives to ensure agency records are managed properly.

- 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: *The agency contracted with NARA Federal Records Center office in College Park, MD in 2018 to make an on-site visit to evaluate and assess the agency permanent and non-permanent records stored in offices. The assessment and evaluation included those boxed records ready for transfer to the NARA FRC in Perris, CA in 2018.*

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

Yes

No

Please explain your response: *The agency has requested assistance from NARA, FRC in College Park, MD office for providing ONHIR with on-site assistance for completing forms for shipment and transfer of permanent and temporary records. The agency entered into a contract with NARA Federal Records Center in College Park, MD in 2018 for assistance with completion of preparation of records for shipment and transfer to the FRC. As a result, with NARA on site assistance approximately 75% of agency permanent and temporary records were shipped to the NARA FRC in Perris, CA in June 2018.*