NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

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: Kellie Cosgrove Riley
- Position title: Director, Office of Privacy and Information Management
- Address: 1900 E St., NW, Room 5454, Washington, DC 20415

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: U.S. Office of Personnel Management, including the National Background Investigations Bureau

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: The Office of Personnel Management (OPM) is updating its records schedules to be media-neutral with the goal of managing agency records, regardless of disposition, electronically to the maximum extent practicable.

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
    X No

Please explain your response: OPM has been without a permanent Agency Records Officer (ARO) since December 2017, and we are is in the process of hiring an ARO. Additionally, records management and related functions have been reorganized into a new Office of Privacy and Information Management (OPIM). The current SAORM took on the role in February 2019.

With these changes, OPIM plans to review and update OPM's records management program, including its policies, processes, procedures, and plans for both analog and 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.*

X Yes
☐ N o

Please explain your response (include specific goals and example metrics): Retirement Operations is working with NARA to move paper records to a Federal Records Center (FRC) before the deadline. Additionally, OPM is rescheduling its records under media-neutral schedules, which will enhance our ability to reduce reliance on paper and to digitize records, regardless of their disposition. Finally, we are awaiting regulations from NARA regarding the digitization of permanent records to advise program offices on how to handle permanent records that they wish to digitize.

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

☐ Y es
X No

Please explain your response: The records management function at OPM currently engages in no procurement activities other than the Interagency Agreement (IAA) with NARA for services provided by the FRCs, including the National Personnel Records Center (NPRC). Once a permanent ARO is in place, we plan to review and update the agency's records management program, to include an analysis of procurement opportunities.

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.

☐ Y es

☐ Changes were unnecessary (click here for your agency's 2017 report)
X No, changes are being considered but have not been made
☐ No

Please explain your response: Once a permanent ARO is in place, we plan to review and update the agency's records management program, to include how and when senior officials and political appointees are briefed on their records management responsibilities.

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
X No

Please explain your response: Our SAORM for calendar year 2018 is no longer with OPM. Once a permanent ARO is in place, we plan to conduct a thorough review of the agency's records management program. This review is expected to reveal needs and opportunities for better supporting and resourcing the program. The new SAORM will then be able to develop a strategy for requesting such support and resources.

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
X No

Please explain your response: Our SAORM for calendar year 2018 is no longer with OPM. Once a permanent ARO is in place, we plan to review and update the agency's records management program, to include improvements to training for OPM staff.

Additionally, our Acting ARO has been scheduling records. In 2018, she recognized a need for program offices whose records are being scheduled to have basic training on what records schedules are and what scheduling records entails. She has been working with NARA to develop online training for this purpose.

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
X No

Please explain your response: Our SAORM for calendar year 2018 is no longer with OPM. Once a permanent ARO is in place, we plan to review and update the agency's records management program, which will include an evaluation component.

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

    X Yes
    ☐ N o

Please explain your response: We expect the forthcoming review of OPM's records management program to bring to light the need for support from NARA in multiple areas, including electronic recordkeeping.