

Senior Agency Official for Records Management 2016 Annual Report



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):

- Kenneth Hendricks
- Clerk of the U.S. Office of Special Counsel / SAORM
- U.S. Office of Special Counsel, 1730 M Street, NW, Suite 218, Washington, DC 20036
- (202) 254-3600
- [REDACTED]

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

This report covers the entire agency, including the headquarters office (Washington, DC) and the field offices (Oakland, Detroit, and Dallas).

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 No

OSC is implementing the Capstone approach for six leadership officials within the headquarters office and one field office official who manages all field offices. OSC is in the process of developing/implementing an electronic case management system. The second phase of this development will include automated records management capability (including for email) across the agency. We extended a procurement period for the initial phase, which we expect to complete this year. After that point, we hope to pursue automated records management in the second phase.

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)

X No

The U.S. Office of Special Counsel is a small agency, with a centralized records management program. OSC coordinated throughout 2016 on a new records schedule. On NARA's recommendation, OSC withdrew the schedule late last year in order to divide it into smaller portions and address necessary revisions per portion. The new draft currently in process at OSC will schedule information in legacy databases and provide for decommissioning legacy

systems (after appropriate data migration). We expect to submit revised records schedules in 2017. This year, OSC moved the records management responsibility into the Office of the Clerk.

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

OSC is in the process of developing/implementing an electronic case management system that will provide automated records management, including for email, across the agency. Once implemented, OSC expects to create and lifecycle manage permanent records electronically.

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

We have discussed the potential for digitizing permanent historical hard copy records. Budget constraints prevent us from moving forward at this time. We are monitoring our options in order to include this activity in the future if feasible.

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

As the new SAORM, as of January 2017, I am reviewing the entire RM program in order to implement necessary changes. I attended training in March 2017, which included NARA presentations, and I have preliminarily coordinated with the Chief Records Officer at NARA on scheduling a meeting at OSC.