



*Senior Agency Official for Records Management
2017 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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 - [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):

- Kenneth Hendricks
- Clerk of the U.S. Office of Special Counsel
- U.S. Office of Special Counsel, 1730 M Street, NW, Suite 218, Washington, DC 20036
- (202) 804-7000

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. 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

OSC is continuing the process of developing 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.

3. 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)

Yes

We continue to consider the potential for digitizing permanent historical hard copy records. Budget constraints have prevented us from moving forward. We will continue to monitor our options in order to include this activity in the future if feasible.

4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

Yes

Senior agency officials understand the need to ensure proper records management functions.

- 5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**
(see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>)

Yes

Since becoming the SAORM in January 2017, I have reviewed the entire RM program in order to identify necessary changes. We have taken steps to implement some of those changes, within budgetary constraints. I attended training in March 2017, which included NARA presentations. I coordinated with the Chief Records Officer at NARA, and hosted an OSC visit by him and other NARA officials in 2017.

- 6. Have you, as the SAORM, ensured that 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

I implemented new records management procedures, which integrate relevant NARA guidance, for new and departing officials and employees. I coordinated with the human resources office in order to make these procedures a standard part of our entry and exit actions.

- 7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)?**

Yes

We included records management elements in agency policy/directives, in the agency risk management program, and as a standard part of our entry and exit procedures for new and departing officials and employees.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

If not already done, specific guidance video presentations that agencies can use in-house instead of having to attend off-site and/or fee-based training programs.