



## *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](mailto: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 – Alisa Cottone
- Position title -- Director, Workplace Solutions Department
- Address – PBGC, Suite 460, 1200 K Street, N.W., Washington, DC 20005

**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.**

- *This report covers the Pension Benefit Guaranty Corporation (PBGC). PBGC has no sub-components.*

**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

- *PBGC is implementing a SharePoint Records Center, prioritizing departments with permanent unstructured records on their file plans.*
- *Permanent email records are managed using the Capstone approach.*
- *Permanent record tracking system developed; we are initiating a project to validate identity and location of permanent records across PBGC.*

**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:*

- *We are implementing a SharePoint Records Center, prioritizing departments with permanent unstructured records on their file plans.*
- *Permanent email records are managed using the Capstone approach.*
- *Permanent record tracking developed; we are initiating a project to validate identity and location of permanent records across PBGC.*
- *PBGC has Records Management Policy Directive and annual mandatory Computer Based training.*
- *Our Records Management staff have the NARA Certificate of Records Management Training.*

- *Records Management staff are trained in email management procedures*
- *The Records Management staff participates in system development lifecycle plans.*
- *Permanent records are transferred from FRC to National Archives (last transfer November 2018)*
- *File plans are updated and evaluated annually.*

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 SharePoint Records Center implementation is in progress for unstructured records; pilot project report due May 10, 2019.*
- *Digital signatures used at PBGC.*
- *We plan to test the electronic transfer of records to NARA in FY2020.*
- *In conjunction with the planning and preparation for our Agency move in 2021, three PBGC departments have undertaken scanning projects to digitize paper records.*

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:*

- *We are using the Microsoft SharePoint Records Center, as configured by PBGC's SharePoint team.*

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

**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:*

- I met with the Department Director from the Information Technology Infrastructure Operations Department to ensure continuing support for the development of the SharePoint Records Center.*
- I designated a staff person, who has the appropriate technical skills, to be the liaison with the SharePoint development team, conduct Records Center training, and generally champion the SharePoint Records Center.*
- I briefed the Executive Management Committee on progress implementing the SharePoint Records Center, and communicated their vision to the Records Management team.*
- I allocated human resources in the Workplace Solutions Department to enable an additional staff member to obtain her Records Management Certificate and devote time to the Records Management team. In addition, the Agency Records Officer has been given a more focused role exclusively on Records Management.*

**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:*

- *PBGC conducted Email management training for Records Coordinators; 100% of Records Coordinators attended.*
- *PBGC conducted Essential Record identification training sessions for Records Coordinators; 100% of Records Coordinators attended.*

**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:*

- *I provide guidance into the annual evaluation criteria for the Records Management program and the Records Coordinator annual “scorecard” criteria.*
- *I supported evaluation of the Records Management practices in PBGC’s largest department (performed by our Records Management contractor), which resulted in a thorough report on their strengths and opportunities for improvement.*
- *I provided resources and guidance for the development of an Agency-wide common taxonomy to be used when implementing the SharePoint Records Center.*
- *I am allocating resources to the examination of PBGC Departmental file plans and looking for ways to simplify them to provide greater consistency across the Agency.*
- *I actively engaged Department Directors and Records Coordinators to encourage them to submit their annual file plan and procedures documents; 100% compliance for file plans was achieved, and 96% for Procedures.*

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

- Yes  
 No

*Please explain your response:*

- *Guidance on how to manage electronic files with event-based retention periods.*
- *Disposal guidance for permanent records which have been digitized.*

- *Guidance on how to use the ERA system to transfer permanent electronic records to NARA.*