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):

- Neil Melick
- Director of Administration
- 1331 F St NW, Suite 1000, Washington DC 20004
- 202-272-0042

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

The United States Architectural Barriers and Compliance Board (United States Access Board (USAB))

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:

- **Electronic records policies** are documented in our internal Records Management handbook. Our file plan includes guidance for electronic records is shared with staff and staff receive regular training and updates.

- **We have a designated architecture for storing permanent electronic records** using a file structure within our SharePoint Libraries that will be sync'd to our RMA via their assigned record category/series. Descriptions of record material and guidance for storing electronic records will be outlined in our internal Records Management handbook. Our records management team monitors the RMA to ensure that the permanent records are being categorized into the appropriate record category/series and dispositioned accordingly.

- **Access and retrievability of electronic records:** Our RMA solutions allow us to filter files by date, subject and content. The structure of our files on the SharePoint site reflects our agency's business functions. Our intuitive hierarchy ensures that we can easily retrieve permanent records relating to a specific subject. Our filing conventions were established in collaboration with our General Counsel to ensure ease of use and compliance with potential FOIA requests.

- **Disposition practices for agency electronic records:** Our RMA schedules records for disposition actions according to the US Access Board's approved records schedule and NARA's General Records Schedule.

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
       X - No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

As a 30-person "micro-agency," the Access Board has significant financial and staffing constraints that limit our ability to digitize legacy archival content. Although the agency has evaluated the records holdings in analog format, there are no plans to digitize such material.

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?**

       X - Yes
       ☐ - No

Please explain your response:

Our agency reform plan has been posted on internal agency servers. Although no sweeping changes are planned that would affect our Records Management program, the plan itself will be archived in our electronic records system.

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)

> X - Yes
> ☐ - No

Please explain your response
As the SAORM the following steps have been taken to ensure that the U.S. Access maintains a successful records management program.
- Coordinating the work of the Records Management team with our IT team as it relates to electronic systems, specifically the upcoming permanent electronic records goal.

- Initiated aggressive long-term goals in the procurement and implementation of our electronic recordkeeping systems.

- Communicates with senior management the strategic benefits that a mature records management program provides for the agency. These communication efforts have allowed the agency to meet the directive for email management and continues to provide support to meet the permanent electronic records goal.

- Supports the RM team's participation in NARA's Federal Records Management Council, representing the Small Agency Council.

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.

> X - Yes
> ☐ - No

Please explain your response:
All incoming and outgoing agency employees receive thorough RM briefings which are documented accordingly. Annual trainings on records management are provided to all staff.

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

X - No

Please explain your response:

As a small micro-agency we are aware of the above requirement to have an IRM plan in place and are currently assigning resources to develop a plan that will include records management.

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)**

NARA needs to keep small micro-agency's in mind when they are developing guidelines, policies and requirements that fit the needs of a large agency, but place an undue burden on smaller agencies to meet requirements. Specifically, the financial burdens that require staffing and funding to meet the mandates for electronic record systems and storage. The main support that small micro-agencies need from NARA is support in the OMB budget process.