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: **Stephen Warren**
- Position title: **Chief Information Officer**
- Address: **Office of the Comptroller of the Currency**
  400 7th St., SW
  Suite 3E-218
  Washington, DC 20219

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: **OCC**

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
   ☐ N o

   Please explain your response:

   There is an ERK initiative underway to meet the 2019 deadline. We are working to ensure that all permanent electronic records are managed in approved electronic recordkeeping systems.

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
   ☐ N o

   Please explain your response:

   We have procedures for certifying agency systems for electronic recordkeeping to comply with NARA regulations for managing 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.

☐Yes
☐ N o

Please explain your response (include specific goals and example metrics):

We are actively working to transfer applicable paper records to federal records center, and transition to managing the official record copy in approved electronic recordkeeping systems where practicable.

We are awaiting NARA's permanent record digitization requirements prior to any digitization of paper and analog permanent records.

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

☐ Y es
☐No

Please explain your response:

We have existing electronic recordkeeping systems to manage electronic records.

We may utilize Schedule 36 for future procurements.

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

Please explain your response:

Incoming and outgoing senior officials are briefed by the Records and Information Management Program Office (RIMPO). In addition, RIMPO is updating our procedures, policies, and training materials to ensure that there is a standardized protocol for onboarding and off-boarding of senior officials regarding 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
   ☐ No

Please explain your response:

The RIMPO was reorganized directly under the SAORM in the Office of the CIO in 2017 to ensure necessary resources and support.

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:

Records Management training/briefing for all new hires was implemented in June 2018. Records Management training for Records Coordinators is conducted annually, and online training was implemented in March 2019. Records Management online training for all employees, that details role-based responsibilities, was implemented in April 2019.

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
☐ N o

Please explain your response:

Audits of records in core mission related business units are performed, under RIMPO lead.

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

☑Yes
☐ N o

Please explain your response:

NARA should continue to update best practices regarding how other agencies are meeting the deadlines in M-12-18, and provide a standardized electronic recordkeeping solution for use government-wide.

We are awaiting NARA's permanent record digitization requirements.