



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 rmsselfassessment@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.

U.S. Office of Special Counsel 2018 SAORM Annual Report

Provide the following information (required):

- Name of SAORM: Mahala Dar
- Position title: Clerk (Supervisory Attorney)
- Address: 1730 M St., NW, Washington, DC 20036
- Office telephone number: (202) 804-7000
- Email: rm@osc.gov (Records Management Mailbox)

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 all the offices of the U.S. Office of Special Counsel (OSC), including headquarters (Washington, DC) and field offices (Oakland, CA; Detroit, MI; Dallas, TX)

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

Please explain your response: OSC will be launching an Electronic Case Management System (eCMS) by September 2019, which is a case management system that will manage all of OSC's records in electronic format, including permanent and temporary records. Through the final phase of implementation, OSC's updated and approved NARA Records Schedule will be built into the system to analyze records for proper retention. When permanent records are identified, they will be stored in a separate section in OSC's SharePoint for review by the SAORM and transfer approval to NARA.

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: In April 2019, OSC submitted the agency's first transfer of permanent paper records to NARA for approval. This made us look into any permanent electronic records that may be available for transfer. While we did not have any permanent electronic records eligible to be transferred, we looked into transferring emails of Capstone officials. Our plan entails the completion and launch of eCMS and finalizing our records schedule for approval.

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): OSC is currently in the process of moving to an electronic Case Management System (eCMS). This new system will include the ability to store electronic case files in predefined case folders within SharePoint, eliminating the current paper-based case files. OSC will launch eCMS by September 2019. The goal of eCMS is to process all of OSC's records electronically. Presently, we are in the final sprint to start training.

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 coordinating with GSA and NARA's digital service team to assist OSC as we transition with eCMS. When OSC begins its transition with eCMS, OSC's paper files will be scanned into the system at that time.

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: OSC's Office of Human Resources (HR) advises the SAORM when a new employee, including senior officials, is coming on board in order to brief the new employee on his/her records management obligations. When a new employee, including senior officials, is leaving OSC, HR coordinates with the SAORM to conduct a records management exit clearance.

- 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 SAORM works closely with the Chief Operating Officer to ensure we have adequate staff to accomplish the work. We recently hired an experienced Records Management Specialist that is coordinating with other employees at OSC to transfer all permanent paper records to NARA/FRC and temporary paper records to FRC.

- 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: OSC's SAORM and RLO are coordinating with NARA's Director of National Records Management Training Program for customized training for OSC's employees. Also, OSC's Archivist is willing to give a presentation at OSC's all hands conference in 2020. After the all hands conference, OSC will require annual training to be completed via an electronic portal for all its employees.

- 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: SAORM completed NARA's Records Management Certification Program and continues to attend BRIDG meetings to keep abreast with changes within records management. Presently, OSC is updating its policies on records management and email directives.

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

Yes

No

Please explain your response: We need assistance with transferring OSC's Capstone Officials emails to NARA.