

*Senior Agency Official for Records Management
2016 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*, including implementing proper email management and 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 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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" 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: Mr. John B Owens II
- Position Title: Chief Information Officer
- Address: 600 DULANY STREET
MADISON EAST,
ALEXANDRIA, VA 22304
- Office Telephone Number: (571) 272-9400
- Email:

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

The United States Patent and Trademarks Office (USPTO) is covered under this report and is a Bureau within the Department of Commerce.

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

Yes

No

If No, please list and explain which part of your agency or components did not meet the deadline?

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. [Criteria for Managing Email Records in Compliance with the Managing Government Records Directive \(M-12-18\)](#))

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

Yes

No

If No, please list which part of your agency or components did not and why?

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

Yes

No

If yes, please describe this progress.

Since Jan 2016, USPTO has undertaken the following steps to meet the M-12-18 deadline to manage electronic records created within its technical environment

1. Designated John B Owens II, Chief Information Officer as the senior agency official for USPTO's records management (SAORM) who has overall agency-wide responsibility for records management
2. Secured project funding through the Capital Planning Investment process to acquire appropriate resources
3. Developed an ERM roadmap of strategic and tactical actions that USPTO will undertake to meet the M-12-18 goals to manage all permanent electronic records electronically
4. Identified a detailed set of functional and technical requirements to develop a solution to manage the records in USPTO electronically
5. Conducted market research to evaluate the capabilities of various available tool sets that address records management requirements
6. Identified 11 user stories and 43 acceptance criteria to evaluate the ability of the tools to meet the functional and business requirements
7. Developed a conceptual technical architecture that will serve as a foundation for the ERM system design and records management processes
8. Initiated analysis of the landscape of USPTO legacy and next generation systems for developing a concept of operation for a proposed electronic records management solution
9. Reorganized the Records Management Division (RMD) removing the division from the Information Services Management Division to the Office of the Technology Officer to ensure records information management is embedded within the enterprise-wide architecture. The new division name of Records Information Governance Division (RIGD) recognizes the trajectory of electronic records management and born digital mission records within the Patent and Trademark Office business areas.

If No, please list which part of your agency or components did not and why?

5. **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
 No

Please describe your specific plans or actions:

Since 2003, USPTO's core business records for both Patents and Trademarks are born digital. Further research and analysis to determine the economic and business feasibility of digitizing permanent textual records is in progress.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

- Yes
 No

If yes, please describe what steps have been taken.

Yes, the USPTO records management functions, retention and disposition requirements have been incorporated into the IT planning process, Enterprise Architecture and the systems development life cycle processes and stages, to include but not limited to the design, development, implementation, and decommissioning of information systems, storage solutions, and cloud-based services.