NATIONAL
ARCHIVES

OFFICE *of the*
CHIEF RECORDS
OFFICER

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.

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Provide the following information (required):

- **Name of SAORM:** Rob C. Thomas, III

- **Position title:** Acting Assistant Secretary for Information and Technology and Chief Information Officer

- **Address:** 810 Vermont Avenue, NW, Washington, DC 20420

- **Office telephone number:**   (202) 461-6910

- **Email:**

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

Please list below

VA Staff Offices and three Administrations (National Cemetery Administration (NCA), Veterans Benefits Administration (VBA) and Veterans Health Administration (VHA).

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?

- NCA: is a member of a team multidisciplinary Veterans Administration (VA) team working to determine how to apply GRS 6.1 and determine CAPSTONE Officials. VA is making progress to achieve these goals. The NCA CAPSTONE effort has been spearheaded/led by Tim Godlove.
- VACO: is a member of a multidisciplinary Veterans Administration (VA) team that is working to determine how to apply GRS 6.1 and determine CAPSTONE Officials, VA is making progress to achieve these goals. Deployment of training and policy are under review by a team led by RoxAnn Battise and John Oswalt.
- VBA: An Agency level Capstone Workgroup was established. The purpose and focus of this workgroup was to review the Directive and make recommendations to the SAORM of how to properly implement for compliance.

- VHA: VHA did not meet the requirements in M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016. The components that did not meet include: VHA Records Management; Capstone and OI&T. Progress is being made to meet the requirement; VHA Records Management is part of a VA multidisciplinary working group to determine how to use GRS 6.1 and determine who the VA CAPSTONE Officials are. The NA 1005 has been submitted to NARA for action. Training and deployment of policy are currently being reviewed. The team is led by RoxAnn Battise and John Oswalt both of VA OI&T.

  (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?

- NCA: This is an ongoing dynamic effort. NCA Records Officer is currently reviewing and revising the NCA Record Control schedule for FY 2017 to ensure all records and electronic systems are scheduled.
- VACO: The Staff Offices has started working on file plans and inventory to identify all unscheduled records as the Records Officer is working on updating the VACO Records Control Schedule
- VBA: has taken a proactive approach by sending a query to all Records Management Officers and Technician through the appropriate leadership chain mandating them to identify any unscheduled paper and non-electronic records. VBA has not been made aware that any unscheduled paper or non-electronic records currently exist.
- VHA: All known existing paper and non-electronic records have been identified and reported to NARA. There is a number of pending records schedule in NARA Electronic Records Archives (ERA) waiting to be approved by NARA. VHA is also working with a number of Program Offices and with David Weber, the NARA Appraiser Archivist, to ensure that the balance of schedules is completed in a timely matter. When additional unscheduled records are found VHA notifies the NARA Appraiser Archivist and reports them to NARA.

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.

- NCA: is currently is currently working (NCA Records Manager and NCA Historians) to ensure all permanent records are inventoried and copied prior to transfer to NARA.
- VACO: All records of the Office of the Secretary was scanned into an electronic format and is being inventory, VACO Records Management is currently working to identify other permanent records in the remaining Staff Offices.
- VBA: has taken the approach of managing electronic records for the agency head and other executives by ensuring that all information is currently saved and backed up on servers within the IT Department. ISO's have also implemented necessary processes and protective security measures in order to safeguard and appropriately protect this information as required.
- VHA: Currently, there are only 16 permanent records types at VHA. All of which are currently being created in electronic format. Some of the older Federal Advisory Committee are in the process of being converted to PDF files prior to transfer to NARA.

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.
- NCA: Currently working with the PRAD team completing assessments which validate NCA's fileplans/inventories for NCA Central Office, NCA District Offices and Cemeteries. One of the goals of these reviews is to inventory and transfer all permanent records to NARA.
- VACO: Once Staff Offices complete their file plans and inventories we will be able to conduct a complete assessment of the records and identify permanent records in all formats.
- VBA has taken a proactive approach regarding this matter by adopting and having already transitioned to an electronic Veterans Benefits Management System

(VBMS) which allows for veterans claims to be processed within an electronic environment. This system has also allowed VBA to transition from a paper-based claims process to an electronic-based system. VBA observed that this is a more effective and streamlined method that has garnered and allowed for the total number of days to process a veterans' benefit claim to be reduced significantly. The process enhanced the organization as a whole and benefitted the Veterans that we are here to serve greatly

VBA has also implemented a Full Shipping Service (FSS) initiative. This initiative entails all VBA Regional Offices conducting a full inventory of all files (i.e. Claims, XC, VRE etc.) that are currently held on station. Once conducted and identified, these document are to be scanned by contracted vendors for appropriate uploading into VBMS.

- VHA: VHA is completing a wall to wall validation of file plans/record inventories at VHA VA Central Office (VACO), Veterans Integrated Service Network (VISN) and VA Medical Centers. There are little to no permanent records in VISN's or VAMC. Most permanent records are maintained at the VHA VACO level. VHA Records Management and the Forms and Publications Office have worked together to scan historical microfiche records of VHA policy directives, and these will be transferred to NARA.

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.

- NCA continues to review and assess records management processes and improve records management in NCA.
    1. Provide and monitor training to all NCA Record Liaisons.
    2. Update handbook and directive to provide clear, step by step guidance to record liaisons.
    3. Continue to work with the PRAD team and collaborate completing records management assessments at all levels and various locations throughout NCA.
- VBA: N/A
- VACO:
    1. Giving training to all Records Managers and Records Liaisons

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2. Our Records Management program is publish in the Office of Administration Customer Service Guide which is made available to all VACO employees
3. Conducting monthly Records Management Roundtable meetings with all VACO Records Managers and Records Liaisons
4. The VACO Records Officer will be conducting on going Records Assistants Visits to all Staff Officers to insure compliance

- VHA: This question cannot be addressed by VHA Records Management. The SAORM position is organizationally aligned under the VA Records Management Office, not VHA RM. VHA does not have its own SAO.