

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: [Anthony C. Thompson](#)
- Position title: [Executive Director](#)
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- Office telephone number: [202-418-5770](#)
- Email:

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

Please list below

[Commodity Futures Trading Commission \(CFTC\)](#)

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 X

If No, please list and explain which part of your agency or components did not meet the deadline? [CFTC is a small, resource-constrained agency. As we reported in our FY15 SAORM report, CFTC is engaged in a phased Capstone development and implementation effort, which is ongoing past December 31, 2016. While we did not complete our development and implementation efforts by the deadline, we are actively working toward the goal.](#)

(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 X

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

CFTC did not have the resources available to address this goal until early FY2017. However, we are currently working toward this goal.

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 **X**

No

If Yes, please describe this progress.

Most of the CFTC's permanent records are maintained by one custodial Office. In furtherance of the *Directive* goals, the CFTC has undergone several rounds of beta and parallel testing on some near-term improvements in retrieving, storing, and managing these permanent records electronically with positive results. We have drafted prototype procedures for having staff apply these near-term improvements, and we are gathering feedback and making further refinements to these procedures. Also, we have conducted and are continuing to conduct staff training on the application of these near-term improvements. With respect to these permanent records, CFTC plans to continue streamlining business processes and will identify and implement more long-term solutions for receiving, storing, and managing these permanent records. CFTC also plans to improve the processes for transferring those records in electronic form to NARA. For the remainder of CFTC's permanent records, several of them are undergoing business process transformations, which will result in processes that create electronic records that can be managed electronically. With respect to these records, we are making progress as the timelines for those business process transformations or our resources permit.

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 **X**

No

Please describe your specific plans or actions.

CFTC's approach is to focus its finite resources on developing systems and processes to create and manage new permanent records in electronic format. For those permanent records that already exist in hard copy or other analog formats, CFTC will continue to maintain those records in those formats, as it does not have the resources to digitize them.

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 **X**

No

If Yes, please describe what steps have been taken.

Prior to the revision of OMB Circular A-130, the CFTC had already accomplished some of the broad steps identified in the revised Circular A-130 to include records management in the larger information resources management strategy. These steps included: designating a SAORM; making progress toward the M-12-18 directive goals to manage permanent records electronically and transfer them to NARA in electronic format and to manage email records electronically in an electronic system; developing training for all employees; and having business practices that incorporate records management into the information system life cycle processes. We will continue our efforts to intertwine records management with in the agency's information resources management strategy in accordance with Circular A-130.