

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: Mary James
- Position title: Deputy Chief Information Officer/Deputy Assistant Executive Director/Senior Agency Official for Records Management
- Address: 4330 East West Highway Bethesda, MD 20814
- Office telephone number: 301-504-7213

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

Please list below

U. S. Consumer Product Safety Commission (CPSC)

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?

Response:

CPSC is working to finalize draft policy guidance for email retention and disposition. Once finalized, CPSC will move forward with the implementation of M-12-18, target goal 1.2 to manage all email records in an electronic format. CPSC has completed the following actions to enable implementation of M-12-18:

- Implemented technical capabilities for capturing and retaining all agency email.
- Has in place current embedded capabilities for accessing and retrieving email, as well as additional search and retrieval software to support discovery requests.
- Evaluated the current email platform for the ability to implement disposition rules once policy is completed.

- Is considering the Capstone approach as part of its policy solution for meeting the directive requirements.

(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?

Response:

CPSC continues to work on scheduling all existing paper and non-electronic records as resources permit. CPSC staff resources in the Records Management Program are limited, currently assigned as collateral duties. Every effort is being made to complete this requirement.

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.

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

Response: The CPSC:

- drafted policy guidance for email retention and disposition
- identified several areas for consideration in revision of or creation of new records management policies as a result of the transition to an electronic records oriented policy framework including clarification of roles, impacts to other associated programs (such as FOIA, discovery, knowledge management)
- upgraded many of its information technology systems to include significant electronic records management capabilities including records retention and storage

- incorporated tools with search and viewer capabilities to provide access and retrievability
- implemented tools to provide disposition capability, based on disposition practices that will need to be formalized through policy revision

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.

Response:

CPSC has contracted scanning services to convert agency hard copy permanent records to electronic format. CPSC is researching technology to convert existing microfiche, microfilm, analog video and analog audio records to more current formats.

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.

Response:

In accordance with OMB Revised Circular 1-130 CPSC:

- designated a SAORM
- approved the CPSC Information Resource Management Strategic Plan
- the agency SAORM, the Chief Information Officer (CIO) and the General Counsel (GC) developed a proposal for additional Records Management Resources
- drafted policy guidance for email retention and disposition
- implemented technical capabilities for capturing and retaining all agency email
- implemented embedded capabilities for accessing and retrieving email as well as additional search and retrieval software to support discovery requests
- evaluated the current email platform for the ability to implement disposition rules once policy is completed

- upgraded many of its information technology systems to include significant electronic records management capabilities including records retention and storage
- uses these tools to incorporate search and viewer capabilities to provide access and retrievability
- uses these tools to provide disposition capability based on disposition practices that will need to be formalized through policy revision
- continues to work with agency staff to ensure proper and timely disposition of Federal records in accordance with a retention schedule approved by the Archivist of the United States