



*Senior Agency Official for Records Management
2017 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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 - [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.

Provide the following information (required):

*Rodney W. Turk
Acting Chief Information Officer and Senior Agency Official for Records Management
Department of Commerce
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Washington, DC 20230
(202) 482-4797*

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

*Department of Commerce (DOC) Office of the Secretary
Bureau of Economic Analysis (BEA)
Bureau of Industry and Security (BIS)
U.S. Census Bureau (Census)
Economic Development Administration (EDA)
Economics and Statistics Administration (ESA)
International Trade Administration (ITA)
Minority Business Development Agency (MBDA)
National Institute of Standards and Technology (NIST)
National Oceanic and Atmospheric Administration (NOAA)
National Technical Information Service (NTIS)
National Telecommunications and Information Administration (NTIA)
FirstNet*

This report excludes the U.S. Patent and Trademark Office, which will submit a separate report.

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

The Department has formulated a multi-prong approach that we will use to manage permanent electronic records electronically by December 31, 2019. Among the key initiatives are:

Establish Visibility at Senior Levels: *The Department established the SAORM at a strategic level to interface with the bureau leadership. This includes promoting the Department's strategic goal of meeting M-12-18 among the heads of the bureaus, the bureau CIOs, and other senior stakeholders.*

Insert into Governance: *RM is a component of the Department's Enterprise Architecture (EA), Capital Planning and Investment Control (CPIC) process, and the Commerce IT Review Board (CITRB) for major acquisitions. These three pieces of governance ensure that acquisitions are properly aligned with the Department's EA. This alignment will better position the Department to ensure that Records Management requirements are met in the investments of new systems or large enhancements.*

Communicate Through Policy and Outreach: *The Department is mid-way in the overhaul of its Records Management policy and guidance. This includes draft policy addressing electronic management of permanent records. Since the last SAORM report, the Department has posted minimum electronic RM requirements on an internal MAX.gov page, and the Department successfully established an email campaign targeted for IT program and project leaders, to promote our outreach for IT and Records Management policy.*

Provide Subject Matter Expertise: *The Department Chief Records Officer cross-pollinates (e.g. communicates, shares, and disseminates) within the Department solutions embraced by the federal community to meet M-12-18 requirements. The Department Chief Records Officer coordinates externally with other federal agencies on electronic Records Management issues and solutions, represents the Department at the Federal Records Management Council (FRMC) sub-committee for electronic records systems, and provides inter-bureau coordination and information sharing on electronic system solutions.*

3. 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

Commerce is minimizing the volume of records we are responsible for digitizing. Commerce has established a target of May 31, 2021 to address requirements regarding our paper permanent records holdings in the National Archives and Records Administration (NARA) Federal Records Centers (FRC) and transfer of the burden of digitization to NARA. The internal Department target is ahead of the NARA December 31, 2018, deadline. For those permanent paper records that will not be stored in a FRC by May 31, 2021, the Department will make a digitization decision on a case-by-case basis, considering cost, risk and benefit to the Department. The Department believes the long-term strategy is not digitization of paper permanent records, but rather a focus on having records born in a digital format.

- 4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

Yes
 No

The Department of Commerce has a policy documented in our “Department Administrative Order 205-1, Records Management” to ensure adequate recordkeeping requirements are established and implemented for new or revised programs, processes, systems, and procedures.

- 5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>)

Yes
 No

The Department’s Records Management Program establishes strategic goals for the program and flows the goals down to the bureaus. The SAORM meets directly with the Department’s Chief Records Officer on a regular basis. In addition, the SAORM leverages his co-role of also being the Department’s Chief Information Officer (CIO) to raise Records Management to the Department’s CIO Council to support Records Management success. Unfunded NARA requests continue to be a challenge.

- 6. Have you, as the SAORM, ensured that 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
 No

The Department is proactive in ensuring incoming and outgoing senior officials receive briefings on their Records Management responsibilities. For the 2017 change of administration, briefings began in 2016 with:

- *Department Management Council briefings,*
- *Mandatory briefing sessions to political employees in collaboration with human resources, privacy, and ethics; and,*
- *Direct support to the political appointees.*

Briefing sessions to accommodate the incoming administration were held in 2017, in concert with updates on cyber-security, FOIA, privacy, human resources, and ethics. The Department's Records Management Program augments larger sessions with one-on-one meetings. Outreach addresses documenting their public service, use of personal email, and other recordkeeping requirements.

7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?

Yes

No

The Department plans to incorporate Records Management into the next Information Resource Management (IRM) Plan. The IRM Plan will include updates contained in the Office of Management and Budget (OMB) Circular A-130 revision dated July 28, 2016. The OMB Circular expanded on Records Management scope to reflect changes in law and advances in technology.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

The Department would appreciate NARA providing a comprehensive, Government-wide Records Management-as-a-service environment, wherein NARA becomes a Records Management shared service provider.