



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):

- Name of SAORM : Sylvia W. Burns
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1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

The Department of the Interior (DOI) Senior Agency Official (SAO) represents the component bureaus and offices in the table below (identified by Bureau/Office name and NARA Record Group).

Organization/Component Office	Record Group
Department of the Interior	RG048
Office of the Secretary	RG048
Indian Arts and Crafts Board	RG435
Bureau of Indian Affairs	RG075
Bureau of Land Management	RG049
Bureau of Ocean Energy Management	RG473
Bureau of Safety and Environmental Enforcement	RG589
Bureau of Reclamation	RG115
National Park Service	RG079
U. S. Fish and Wildlife Service	RG022
Office of Special Trustee	RG075
Office of Surface Mining, Regulation and Enforcement	RG471
United States Geological Survey	RG057

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

Please explain your response:

In support of OMB M-12-18 Goal 1.1, DOI implemented the eMail Enterprise Records and Document Management System (eERDMS). This is a DOI-wide cloud-based records

management system, that support the Departmental electronic records program. This program integrated training, auditing, tracking, access rights, version control, physical security, secure authentication, records schedules, and Departmental Records Management into a DoD 5015.2 records management system.

DOI also conducted a data call to identify sources of permanent electronic records across all bureaus. DOI is still developing plans to integrate each of these sources into our eERDMS solution with the appropriate program management at the Department level.

In addition, DOI has developed a Records Management Program Strategic Plan that is in final review. This plan will help ensure bureaus and offices work towards the 2019 goal for permanent records, as well as the 2023 goal for managing all records electronically.

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

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

DOI awarded an enterprise-wide contract for record digitization. Bureaus, offices, and programs can leverage this cost-effective contract to digitize records based upon their needs and priorities. DOI continues to evaluate opportunities to convert hard copy and analog records, however the costs and resources required for broad scale conversion are prohibitive in the declining fiscal environment. DOI's approach is to maintain newly generated permanent records in electronic format. Digitization of existing permanent records will be addressed based on mission needs and funding availability.

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

Please explain your response:

DOI and NARA are working together to create a Department Record Schedule (DRS) based on the Federal Enterprise Architecture Lines of Business used by DOI. This flexible schedule allows

records to be dispositioned at a level of aggregation that best supports the evolving mission needs of DOI.

The DOI Lines of Business are divided among administrative, mission, policy, and legal schedules. NARA approved the Administrative and Policy schedules for DOI, and these schedules are in place. The Mission and Legal schedules are currently being developed. As each of the DRS schedules are implemented, all bureaus and offices will have access to them for transferring and dispositioning records.

- 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

Please explain your response

The DOI Records Management Program Strategic Plan is undergoing final review in the Department. The plan will help ensure that bureaus and offices meet the 2019 goal for permanent records and the 2023 goal for managing all records electronically. The plan will be surnamed by the DOI Chief Information Officer (CIO), the DOI Solicitor's office and the Deputy Secretary of DOI. This will help ensure full compliance across all bureaus and offices.

DOI has established Associate Chief Information Officer (ACIO) positions in every bureau to meet the requirements of the Federal Information Technology Acquisition Reform Act (FITARA). The ACIO is the senior information management leader for each bureau. The ACIO maintains purview over the bureau information management strategy and its alignment with the objectives and expected outcomes of the DOI CIO's key priorities and program objectives. Since the ACIO is part of the bureau's executive leadership and reports both to the CIO (SAO RM) and the Bureau Deputy Director, they are the avenue to obtain executive sponsorship when required.

Each ACIO is a member of the Information Management and Technology Leadership Team (IMTLT) which is the primary DOI IMT governing body that provides input on all information management and technology related matters within the Department. The IMTLT reviews standards, manages the IT governance review process, reviews enterprise architecture policies and standards, provides advice and guidance to the Deputies Operations Team (DOT) and establishes IMT working groups and integrated project teams. The IMTLT meets weekly and the DOI Records Management Program, as well as other programs can bring up items that need to be addressed with the bureaus. Likewise the ACIOs can bring bureau issues to the various OCIO program areas for resolution. It is through this governance mechanism that all program and

compliance efforts, including Records Management, engage with the bureaus for executive sponsorship and ongoing support.

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

Please explain your response:

DOI requires that all employees, including political appointees and other high level officials, take an on-line Records Management awareness course on an annual basis. Completion of this course is tracked and managed across the Department.

At the end of the previous Presidential Administration, DOI conducted Town Hall style meetings where briefings were provided to all departing political appointees on their ethics, Human Resources, and Records Management responsibilities. Records management briefings and counseling continues to be provided for departing political appointees as needed.

In January 2017, DOI began conducting in-person records management training with all incoming political appointees. These training sessions have continued on a bi-weekly basis since the start of the current administration to ensure that all incoming political appointees are aware of their records management responsibilities.

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

Please explain your response:

The Records Management Program requirements and goals are included in the Department's IMT Management Plan for 2018. The Records Management Program and requirements are explicitly stated in the DOI Records Management Program Strategic Plan as noted in response to question 5. This records management-specific plan is currently in the final review and signoff processes with DOI senior management. Once complete, the requirements in the Records Management Strategic Plan will be made more explicit in future versions of the DOI IMT Strategic Plan.

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)

DOI would request that NARA provide consistent updates on Electronic Records Management (ERM) guidance and policies based on current technology trends. Recent briefings at the SAO RM meetings and deliverables around ERM use cases have been useful, but updates to the Enterprise-wide ERM guidance to include topics like the use of digital signatures, would be extremely helpful.

DOI would also request that NARA continue to update scheduling policies and functionality within the Electronic Records Archive (ERA) system to enable the consistent and simplified implementation of media-neutral schedules, as well as the ability to execute transfers of extremely large volumes of email and other electronic records that will be accessioned to NARA over time.