

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 Kathleen Styles
- Position title Chief Privacy Officer
- Address 400 Maryland Avenue, SW, Washington, DC
- Office telephone number 202-453-5587

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

ALL Department of Education Principal Offices.

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 X
 No

If No, please list and explain which part of your agency or components did not meet the deadline?

(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 X
 No

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

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

The Department has an enterprise electronic records management initiative underway. We have defined department-wide functional and technical requirements. We are currently conducting an EERMS readiness assessment in four ED components. The purpose of the assessment is to establish a baseline for the “ready” office. “Ready” means the office has taken all the steps necessary to organize its processes and procedures for implementation of an electronic recordkeeping system.

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 X

Please describe your specific plans or actions.

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.

Established senior level records management work group, including the Assistant Secretary for Management, the Chief Information Officer, the Deputy General Counsel, and the Federal Student Aid Deputy Chief Information Officer. This group meets monthly to streamline communication between the stakeholders on critical issues or decisions, and to provide strategic direction for the department-wide electronic records management administered by the Office of Management.