

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 Howard Spira
- Position title Chief Information Officer (CIO)
- Address 811 Vermont Ave., NW, Washington, DC 20571
- Office telephone number 202 565-3844

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

EXIM Bank of the United States

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?

(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?

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?

YES - As part of the comprehensive Electronic Records Management (ERM) Program, in compliance with the 2012 Presidential Directive for Federal Records, the Bank executed system planning and specification for the four major modules of the ERM: BoardEffect Archives System (BDAS), Permanent Email Archives System (PEAS), the planned Permanent Records Archives System (PRAS), and the OMB Forms Archives System (OFAS). All four components of ERM use the EMC Document capabilities for the archival implementation. Additionally, OFAS implements workflow automation in Documentum.

The BDAS component developed, implemented, and deployed to production, electronically archives the permanent records of the EXIM Board of Directors, encompassing the meeting briefing packages and the meeting minutes. The BDAS repository engine relies on the EMC Documentum and the attendant suite of products. Part of the routine maintenance of the system encompasses version upgrades of the engine and the technical stack. The enhancement of BDAS planned for 2017 implementation is the implementation of the Records Management aspect using the capabilities of the EMC Records Manager (RM) and Retention Policy Services (RPS).

The second component of the ERM, Permanent Email Archives System (PEAS) has been deployed in September 2016. PEAS is being populated with the Capstone accounts email per EXIM Records Schedule policy. PEAS is of specific importance in the FY 2017 due to the changeover of the politically appointed senior personnel. Analogously, to the implementation and enhancement plans for BDAS, the next planned capabilities development for PEAS is the implementation of the Records Management aspect using the capabilities of the EMC Records Manager (RM) and Retention Policy Services (RPS).

PRAS will fully implement the ERM Program. The concept of the system has been developed to date and the work of full scope requirements definition, system design and implementation, as well as deployment and procedural use concepts remain to be performed.

The management of e-mail is a significant component of the Ex-Im Bank's implementation of an Electronic Records Management Program in compliance with the 2012 Presidential Directive for Federal Records. The goals of the Presidential Directive are enumerated in the Table 1, Presidential Directive Goals and Implementation Dates, below.

Table 1. Presidential Directive Goals and Implementation Dates.

Item	Overall Goal	Target Date
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1	By 12/31/2013 each agency will develop and begin to implement plans to achieve transaction of all permanent records being managed electronically. Agencies should also consider the benefits of digitizing permanent records created in hard-copy format or other analog formats.	12/31/2013
2	All Federal agencies must establish a method to inform all employees of their records management responsibilities in law and policy, and develop suitable records management training for appropriate staff.	12/31/2014
3	Federal agencies must manage all email records in an electronic format. Email records must be retained in an appropriate electronic system that supports records management and litigation requirements (which may include preservation-in place models), including the capability to identify, retrieve, and retain the records for as long as they are needed. Beginning one year after issuance of tis Directive, each agency must report annually to OMB and NARAA the status of its progress toward this goal.	12/31/2016
4	By December 31, 2019, all permanent electronic records in Federal agencies will be managed electronically to the fullest extent possible for eventual transfer and accessioning by NARA in an electronic format.	12/31/2019

Ex-Im Bank has completed Items 1 through 3. The implementation of Item 4 is in progress.

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.

The following hardcopy materials containing permanent records were digitized to date:
The annotated Briefing Materials of the Bank’s Chairman.

The hard copy permanent records created prior to approval of the Bank’s media neutral records schedule in FY2015 will not be digitized and will be accessioned to NARA as paper. The volume of the permanent records generated and managed by the Bank is very small as compared to the overall records volume.

Beginning in FY2015, all permanent records of the Bank are managed in electronic formats. By the end of FY2019 a dedicated Documentum-based Electronic Records Archives will be used for the lifecycle management of the non-email permanent records.

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.

- 1) EXIM Bank designated a senior agency official, EXIM CIO, for records management (SAORM) who has overall agency-wide responsibility for records management;
- 2) The bank instituted records management program, documenting agency activities;
- 3) The Bank is on track in implementing the process of establishing the management of the agency's electronic records in accordance with Government-wide requirements, including:
 - a) Beginning in 2014, all permanent electronic records are managed electronically to the fullest extent possible for eventual transfer and accessioning by NARA in an electronic format. Only legacy permanent records, created prior to 2014, remain in paper. A significant portion of the permanent records has been fully electronic for their entire lifecycle beginning in 2012.
 - b) All agency email records are managed and retained electronically. Temporary record business email records are retained in the appropriate electronic systems collocated with other related business records. Permanent record emails are preserved in a dedicated Permanent Electronic Archives System that supports records management and litigation requirements, including the capability to identify, retrieve, and retain the emails until their legal accession to NARA.
- 4) The Bank ensures the ability to access, retrieve, and manage records throughout their life cycle regardless of form or medium as follows: a) the existing paper records reside at the National Records Centers (Permanent paper records) and the Iron Mountain records centers (Temporary paper records); b) the electronic records are stored in the electronic records systems, as applicable.
- 5) The agency records are treated as information resources with appropriate considerations of information security, privacy, records management, public transparency, and supply chain security issues throughout the records lifecycle from creation to disposition. The Bank is in full compliance with the applicable information Federal Information Security Management Act (FISMA) Certification and Accreditation (C&A) requirements.

Records management functions and retention and disposition requirements are fully incorporated into information life cycle processes and stages of the electronic records systems for the management of the Bank's permanent records that have been deployed or are under development within the Records Management Division.

6) EXIM Bank offers its customers the option to submit information or transact with the agency electronically in most cases. The electronic records that are created in support of these electronic transactions are maintained in electronic form. Electronic signatures are considered sufficient and valid with the exception of such international transactions where only signature on paper would be legally acceptable outside the United States.

7) The Bank is moving towards the use of electronic contract formation, signatures, and recordkeeping. Within the Bank electronic signatures are already accepted in lieu of pen and ink

signatures. Select portions of the contract documents are accepted electronically and the goal is to achieve full scope electronic contract formation and recordkeeping.

8) All records of the Bank are scheduled. The retention schedules are reviewed annually to assure that the schedules are current and adequate for the Bank's records management. Specifically, after the FY 2016 review, the Bank requested approval of the Archivist of the United States for two additional Records Schedules - the records of the Inspector General Office in FY2016, and ICRAS Reports in FY2017, both records categories were hitherto scheduled in the Bank's comprehensive Records Schedule DAA-0275-2014-00.

9) The Bank's File Plans are reviewed annually to ensure appropriate records disposition.

8) All Bank staff, federal and contractor, receives annual general records management training. The training materials are reviewed and updated annually. The Records Liaison officers receive annual specialized training. New staff, including appointed staff, receive new employee training within 30 days of coming on-board. Senior and appointed staff receives additional targeted records management training and position-specific exit briefing when leaving the agency.