



*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

Anthony Haywood

- Position title

CIO

- Address

800 North Capital Street, N.W.
Washington, DC 20573

- Office telephone number

(202)523-0001

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

All Federal Maritime Commission bureaus, components, and offices are covered by this report as well as its SAORM position.

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. The agency has established a working group that is developing a program to transition and manage all permanent electronic records in electronic format by the target due date.

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)**

No. FMC's electronic records management working group will determine, develop and implement plans to achieve this transition and address this requirement.

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?**

N/A. FMC's reform plan does not result in the elimination of offices and/or functions. No changes to the agency's records management program is required.

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. To comply with OMB's Circular A-130 requirements, the FMC has implemented the following:

1. The agency has designated the CIO as the senior agency official for records management with agency-wide responsibility for records management;
2. Is continuing the agency's record management programs and has updated all of its agency records management guidance and procedures;
3. Implemented technology and processes to manage all permanent electronic records for eventual transfer and accessioning by NARA in electronic format and has incorporated email records management, archival functions and litigation requirements - using a cloud based data email and data storage service - into the Commission's electronic systems;
4. Implemented lifecycle access, retrieval records management procedure and policy to manage records regardless of form or medium;
5. SAORM has implemented policy to ensure agency records are managed and treated as an information resource in accordance with the requirements mandated in the OMB circular;
6. Established and implemented policies and procedures to obtain approval of the Archivist of the United States for retention schedules for records in a timely fashion;
7. Has provided training and guidance to all agency employees and contractors regarding their Federal records management responsibilities.

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. All agency employees have been provided training on the management of Federal records, including email accounts, and the protection of Federal records 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. Initiatives to improve efficiency and reduce costs by replacing paper-based records processing with workflow and automated document management solutions is included in the agency's Draft IT Strategic Plan FY 2018-2022.

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)

None at this time.