

## *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](mailto: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  
Gisile Goethe
- Position title  
Director, Office of Resource Management
- Address  
Federal Retirement Thrift Investment Board  
77 K Street, NE  
Washington, DC 20002
- Office telephone number  
202-942-1452

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

Federal Retirement Thrift Investment Board – All 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  
 No

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

FRTIB is an independent establishment within the Executive Branch, 5 USC 8472. It was created by the Federal Employees' Retirement System Act of 1986 (FERSA) and receives no appropriation from Congress. In light of its Congressionally-mandated independence, and the fiduciary responsibilities required by FERSA, the Agency is not bound to comply with the target date set within M-12-18 and OMB Circular 1-1305(h), 3(b). However the Agency is reviewing the recommendations outlined in both documents as it pertains to managing emails, and plans to implement portions of it as a best practice in FY 2019.

(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?

FRTIB is an independent establishment within the Executive Branch, 5 USC 8472. It was created by the Federal Employees' Retirement System Act of 1986 (FERSA) and receives no appropriation from Congress. In light of its Congressionally-mandated independence, and the fiduciary responsibilities required by FERSA, the Agency is not bound to comply with the target date set within M-12-18. However the Agency is reviewing the recommendations outlined in the Managing Government Records Directive, and plans to implement it as a best practice in FY 2019.

**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?

FRTIB is an independent establishment within the Executive Branch, 5 USC 8472. It was created by the Federal Employees' Retirement System Act of 1986 (FERSA) and receives no appropriation from Congress. In light of its Congressionally-mandated independence, and the fiduciary responsibilities required by FERSA, the Agency is not bound to comply with the target date set within M-12-18 and OMB Circular 1-1305(h), 3(b). However the Agency is reviewing the recommendations outlined in the Managing Government Records Directive, and plans to implement it as a best practice in FY 2019.

**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 Agency is working with individual offices as resources are available to digitize 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.

The Agency will take steps to include records management as a component of its information management strategy as its current state information technologies (to include information security) are improved and updated over the next two years.