



*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):

- Gisile Goethe
- Director, Office of Resource Management
- 77 K Street, NE, Washington, DC 20002
- 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 (FRTIB), all offices within the FRTIB

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:

The FRTIB established a strategic plan that outlines our timeline for electronic records management, scheduled for implementation during FY 2020. The Records Management Branch within the Office of Resource Management is outlining a schedule and plan to begin coordination with each office within FRTIB to begin the process of creating and converting records in an electronic format during FY 2018 and into FY 2020.

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.

The Records Management Branch is working with offices as resources and capacity is available within those offices to covert hard copy and microfiche/film into a digitized format. The Records Management Branch has prioritized and identified offices with records that require digitization of existing hard copy formats and is developing a schedule to work with the records coordinators within each office to determine the additional resources and time needed to begin and complete 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?

Yes

No

Please explain your response:

The FRTIB is in the process of acquisition and implementation of improved TSP systems for account record keeping, financial management, and IT operational support. Records management requirements are included in the overall requirements, acquisition, and implementation of these program areas and will be accounted for as part of a change management strategy should they impact human capital management.

- 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

As the SAORM, I've:

- Ensured regulatory and statutory requirements are incorporated into FRTIB strategic plan
- Advocated for the FRTIB records management program to ensure training, schedules, and activities relating to records management are incorporated into steady state operations.
- Collaborated with OGC and Technology Services staff to ensure records are captured and protected against unauthorized loss
- Ensured the Records Officer, Liaisons, Coordinators and staff receive training on records management responsibilities
- Formally designated a Records Management Officer
- Led an initiative this past summer to update file plans and records schedules across the agency for submission to NARA by the end of calendar year 2017

- 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:

The FRTIB has an onboarding process that ensures new senior officials are given a preliminary and follow up briefing on records management responsibilities, and an off boarding process that includes an out brief of officials. Briefings and training are documented during employment, as are required interviews during out-processing.

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 Agency does not publish an Information Resource Management Plan, but does have a series of policies and procedures that address information management, IT security management, enterprise data strategy, and privacy. When applicable, records and information management input and review occurs as these policies are developed and published.

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.