



Senior Agency Official for Records Management 2018 Annual Report

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 rmselfassessment@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
Federal Retirement Thrift Investment Board
Suite 1000
77 K Street, NE
Washington, Dc 20002

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

The FRTIB is a small agency, this report will cover all offices within the agency.

- 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 Records Management Branch (RMB) is engaged in a series of projects to move to managing all permanent records in electronic format. We have implemented email management for Capstone Officials, and are in the process of determining cost and resources to digitize permanent records housed here at the FRTIB before transmittal to NARA. Last, we are working on a project to procure an ERMS which is in its early stages. The Agency is engaged in a larger series of IT systems acquisitions in support of its retirement benefits program administration, financial management systems, and desktop and distributed services through CY 2022. Prioritization efforts are focused on these major acquisitions; as the ERMS project moves forward and resources are available, we expect to have an ERMS in place within a year of the completion of these acquisitions.

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response:

The FRTIB has instituted a project as stated in question 2 that encompasses the efforts needed to convert and maintain records in an electronic format. We published a Charter for the multiple records management projects related to the ERMS implementation and each project follows the principles outlined in the above NARA publication. To date, we have published Agency policies and procedures for Records Management, Email Management, and Information Classification (CUI). We did a comprehensive review of our files plans across the agency and submitted updated records schedules in calendar year 2018 for review and NARA-Archivist approval. We implemented GRS 6.1 for Email Management in March of this year. We've identified the location of permanent records and submitted a request to NARA to assist in the digitization of physical records held here at the agency, so we can convert them to electronic format prior to their scheduled transmittal date to NARA. We are also determining the cost and resources needed to convert records with longer retention schedules that were previously generated in paper, cartridge or microfilm format to a digitized format (these records have 30-99 year retention periods). We are ensuring program owners, IT specialists, and contracting officers are aware of records management requirements to incorporate into contract terms and Service Level Agreements, when applicable.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics):

Please refer to response in question 3 regarding the Agency's current strategic focus timelines and efforts.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

Please explain your response:

The FRTIB intends to explore the resources provided (GSA, FSSPs) as part of the process of implementing an ERMS.

- 6. Have you, as the SAORM, established or improved your agency procedures that ensure 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
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response:

The FRTIB RMB conducted Records Management Training for our Board members and senior officials in March 2019, and will do so annually. The agency has specific interview questions that are asked (for these officials) as part of their off-boarding. The FRTIB did not off-board a Board member or a senior official in calendar year 2018.

- 7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
 No

Please explain your response:

The FRTIB will provide RM resources (human capital and funding) as needed, and support from other offices within the agency as priority of effort allows.

- 8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
 No

Please explain your response:

The Agency published a Records Management Policy and Procedures that ensures training is conducted for all federal employees within the first 60 days of on-boarding, then annually thereafter. We are working to ensure all contractors who are required to receive RM training can do so according to contract terms and availability on our enterprise learning management system (ELMS). We expect to have an operational process in place for applicable contractors to receive RM training within 60 days of their on-boarding, then annually within the next calendar year. FRTIB office records coordinators are on appointment orders that specifically explains their roles and responsibilities including the requirement for annual training. In addition to annual training the records coordinators receive RM updates throughout the year when NARA publishes new RM requirements.

- 9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes
 No

Please explain your response:

The RMB requested an Internal Controls review of the RM program in FY 2018. That review is currently ongoing with feedback as needed on recommendations and process improvements.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

- Yes
 No

Please explain your response:

The RMB is currently collaborating with NARA to put an Interagency Agreement (IAA) in place to convert all FRTIB records to electronic format. If NARA is unable to assist FRTIB in its records digitization efforts, FRTIB will seek guidance from NARA to contract and outsource the effort.