

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 | Terrell Dorn |
| • Position title | Managing Director, Infrastructure Operations/Chief Agency Privacy Officer |
| • Address | 441 G St. NW, Washington, DC 20548 |
| • Office telephone number | 202.512.6923 |

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

Government Accountability Office

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.

All of our permanent records are managed electronically in our mandated content management system, DM/ERMS. We schedule these permanent records under the Policy Retention Schedule, which is the third “big bucket” of our NARA Archivist-approved records retention schedule. Our schedule is medium and format neutral. We have been managing the permanent emails of our Executive Committee members and other select senior executives in a product called Archive Manager since 2010. We do so through automated scripting without human intervention.

If No, please list which part of your agency or components did not and why?

- 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.

Our Records and Privacy office has an ongoing procedure of identifying any older permanent records as part of our GAO file room cleanup and review process and evaluating whether those records can be digitized cost effectively. We are currently working with our appraisal archivist and other NARA colleagues on appraising, inventorying, and disposing of records in our GAO Historical Collection. Any records that we identify as permanent, rather than Historical Collection copies of original documents, will be reviewed for electronic conversion.

- 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.

Though not bound by the parameters laid out in the revised OMB Circular A-130, Managing Information as a Strategic Resource because we are a legislative branch agency, we use the Circular to fill gaps proactively in various elements of our records and privacy programs. As an example, we actively contribute to the Internal Assessment IT group on records review and approval of all new systems. Further, our Internal Controls group audits us on a regular basis to ensure that we are working collaboratively with our colleagues in Information Technology, Information Security, and Security to harmonize our individual and collective operations, disciplines, and processes. We also recognize the interdependencies between all of these disciplines to manage information as a strategic asset.