



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 Terrell Dorn
- Position title, MD, Infrastructure Operations/ Chief Agency Privacy Officer
- Address GAO 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. 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:

We have had a records management solution at GAO since the late 1990s. Our system is the official records repository for the agency and all records are maintained within the system. Our system handles all temporary and permanent agency records. All of our recent records are accessible, retrievable, electronically stored, maintained and disposed of in this tool. We have the capability to transfer permanent electronic records to NARA when the retention ends.

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.

We are proposing a digitization project for the GAO Historical Collection and building blueprints, providing we secure funding for the procurement of these services.

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:

As a legislative branch agency, the OMB Memorandum on reform and reorganization plans does not apply to GAO, but we are using it as a guide in areas where we can provide more efficiency and cost savings in the records program. In 2016 we insourced several records staff and did not renew a records management contract which achieved considerable savings to the agency.

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:

At GAO we have implemented the requirements of the Federal Records Act and the NARA Bulletin 2017-02. The Records Program at GAO is internally audited at least every three years, and the components laid out in the SAO's responsibility are many of the items that are examined during the internal audits.

GAO has an Electronic Records Management System in place to manage all unclassified agency records. Part of our strategic direction is look at upgrades to the system we have in place. Additionally, we periodically evaluate the Records Management (RM) Standard Operating Procedures and Orders. We have a Records Liaison Officers program and regularly conduct meetings to share information regarding new NARA and GAO initiatives. There is also a mandatory annual RM training requirement, and we encourage NARA and other external training opportunities for our team. The RM program has the support of senior management including the Comptroller General and General Counsel.

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:

When new executives come into the agency, we provide them with an overview of their records and privacy obligations. They are also trained on the use of our Agency-wide tool, DM/ERMS. We have regular DM trainings during the year which they can attend in order to gain more understanding of GAO's records and where they are housed and retrieved in this tool. The use of DM is part of everyone's core competencies at GAO and is mandatory. All emails of our senior executives are ingested from Outlook and housed in a product called Archive Manager, as they are permanent records.

For separating employees, we use our process and checklist for how to handle agency records before their departure. We also ensure that database access to our content management system and to other business databases is passed along to their successors.

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:

As the SAORM and the Chief Agency Privacy Officer (CAPO), I maintain oversight for the records and privacy programs. At GAO, we have an Information Resources Management (IRM) board, which is comprised of the Chief Administrative Officer (CAO), the Chief Agency Privacy Officer (CAPO), and the Chief Information Officer (CIO). This Board provides the information governance, strategy, and direction for the various GAO information services, and oversees technology and information management initiatives.

We also have an Integrated Assessment Committee wherein we discuss privacy, records, and security issues for all new systems that are introduced to GAO. Though not subject to the OMB Circular A-130, we follow the records and information management, access, risk management, security, and privacy guidelines outlined in that document, as much as is practicable. We maintain inventories of our agency's major information systems as well as an inventory of systems using Personally Identifiable Information (PII) in our product called RoadMap Builder. In this system we record those extant systems using Social Security Numbers and the business

reason for doing so. In new systems we minimize the use of SSNs. Our privacy program ensures compliance with applicable developments, evaluates privacy policy, and mitigates risks.

The CAPO coordinates with the CIO, Director of Information Security, Director, Records and Privacy and other officers as appropriate. Our records program manages most GAO records and emails electronically in our agency-wide content management tool. Those items in hardcopy are transferred to NARA when necessary, and if electronic are transferred in a mutually agreeable electronic format. Our electronic tool supports litigation holds, and we can access, retrieve, store, maintain, and dispose records throughout their lifecycle. We use a NARA Archivist-approved, big bucket schedule and provide training and guidance on all aspects of the program. We are also implementing the internal system controls for privacy using the requirements outlined in NIST 800-53.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to full electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

NARA could assist by providing more communication, guidance, and implementation assistance/plans for agencies to prepare for the 2022 decision to curtail receipt and storage of paper records.