

## *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 SAO: William J. Bosanko

Position title: Chief Operating Officer

Address: Archives II, 8601 Adelphi Road, Room 4200, College Park, MD 20740

Office telephone number: 301-837-3604

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

The Senior Agency Official has direct responsibility for ensuring records management related strategies and plans are implemented throughout all organizations of the National Archives and Records Administration (NARA).

*Please list them below:*

- Office of the Archivist of the United States
- Deputy Archivist of the United States
- Office of Inspector General
- Equal Employment Opportunity Office
- National Historical Publications and Records Commission
- General Counsel
- Congressional Affairs Office
- Office of the Chief of Staff
- Chief Operating Officer
- Office of the Federal Register
- Agency Services
- Research Services
- Legislative Archives, Presidential Libraries, and Museum Services
- Office of the Chief of Management and Administration
- Office of the Chief Acquisition Officer
- Office of the Financial Officer
- Information Services
- Business Support Services
- Office of Human Capital
- Office of Innovation

**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.

NARA's Corporate Records Management (CM) policy is to maintain permanent records in the format cited in their current retention schedule. However, based on the assumption that many of the paper based records are created electronically, CM is working towards developing a solution(s) for maintaining these records electronically. In 2016, the 1.1 Electronic Records Management (ERM) Working Group (which includes the NARA's Records Officer and Chief Information Officer), drafted requirements to be used to develop a solution for capturing and maintaining electronic records. In the second quarter of 2017, CM will conduct interviews with all offices currently identified as creating and maintaining permanent records. Based on that outcome, CM and members of the working group will analyze current options for capture and storage. The short term goal is to leverage one or two solutions that are available, or due to come on-line in the next year, for the management of permanent records.

In addition, CM is developing an action plan for the overall improvement of electronic recordkeeping. The plan will include four key elements: developing policy; identifying the permanent electronic records; conducting a records cleanup that includes both electronic and textual records; and being engaged in looking at long term solutions in collaboration with other NARA entities, Federal government agencies, and professional associations. CM will also explore the possible expansion

of the Capstone approach to manage other electronic messages such as text, chats, voice mail, and social media records for senior officials.

NARA records management staff also participates in the agency's Capital Planning/Governance Process which includes the review and approval of all new IT investment reviews to ensure that records management functionality is an integral part of any new system.

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.

NARA Corporate Records Management (CM) intends to meet the original intent of the Goal 1.1 to manage permanent electronic records electronically by 2019. Once NARA has met Goal 1.1, CM will conduct an analysis of the value of digitizing other hard copy and analog formats. This approach to the overall improvement of managing electronic records will be addressed in an electronic records action plan that is currently under development.

**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.

NARA Corporate Records Management (CM) has an established records management program that is a key component of NARA's information resource management strategy. CM has instituted all of the eight activities cited in OMB Circular A-130 under records management, and continues to improve and refine the management of all permanent electronic records "to the fullest extent

possible.” An immediate action to address this challenge is to interview program offices where CM has identified permanent records to determine how and why they are storing records in paper or electronic form. Based on the input from offices, CM will accession eligible records in their current form and then determine the best way to manage the remaining active electronic records using short-term and proposed long-term solutions. In 2017 CM will also work with Information Services to take an active role in all phases of the Capital Planning/Governance Process to include requirements, development, and implementation phases (more specifically the Pre-Selection, Post-Selection, Evaluation and Control, and Transition phases). To assist CM in the management of their program, the Information Services Program Management Branch recently hired a dedicated Program Manager to shepherd the CM initiatives through the CPIC and governance processes. CM is also working with NARA’s Agency Services to develop a standard set of available core requirements to employ a consistent and reliable method to integrate records management functionality into new technologies and systems.

CM also continues to develop and provide training, guidance, and other tools to prepare NARA for electronic recordkeeping; promote innovation; and enable appropriate information sharing.

To report on progress of these activities and exchange ideas on improving IT and IM governance, NARA’s Records Officer and Chief Information Officer meet on a quarterly basis.