

## *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 SAORM:  
David J. Nelson
- Position title:  
Chief Information Officer and Director, Office of the Chief Information Officer
- Address:  
11555 Rockville Pike, Rockville, MD 20852
- Office telephone number:  
301-415-8700
- Email:

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

*Please list below:*

- U.S. Nuclear Regulatory Commission (NRC)

**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)**

X 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)**

X 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.

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

**NRC Response:**

The NRC has updated email policy and implemented a technical solution based on the National Archives and Records Administration (NARA) Capstone Guidance. NEED MORE

**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.

**NRC Response:**

The NRC has developed a Digitization Plan and has begun implementation. In that plan, we digitize small amounts of paper records (3 boxes or less) when they are requested from storage at the Federal Records Center in Suitland, Md. We have prioritized a list of permanent records to be digitized to meet the intent of M-12-18, and have begun to digitize them and add them to our electronic recordkeeping system, the Agencywide Documents Access and Management System (ADAMS).

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)**

X Yes

No

If Yes, please describe what steps have been taken.

**NRC Response:**

Records management is a key component in the NRC's information resources management strategy. In accordance with the revised OMB Circular A-130, the NRC:

- Designated a SAORM.
- Instituted a records management program that is documented in Management Directive MD 3.53, "NRC Records and Document Management Program."
- Manages most of its electronic records, including permanent electronic records, Capstone officials' emails, and other agency email records in the Agencywide Documents Access and Management System (ADAMS). ADAMS allows for easy access and retrieval of agency electronic records.
- Instituted a Records and Information Management Certification (RIMCert) process to certify other electronic recordkeeping systems besides ADAMS have proper records management controls.
- Maintains an electronic database of all paper records, including permanent records, stored at the Federal Records Center, which ensures easy retrievability.
- Has obtained approval from the Archivist of the United States for retention schedules of all records managed at the agency, and follows the disposition schedules accordingly.
- Has instituted required training on Federal records management responsibilities for all agency employees and contractors.

SENIOR AGENCY OFFICIAL FOR RECORDS MANAGEMENT  
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\*concurring by email

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DATE	3/6/17	3/9/17	3/6/17	3/13/17

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