



*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](mailto: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  
John Moses
- Position title  
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Office of the Chief Information Officer (OCIO)
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**1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

The U.S. Nuclear Regulatory Commission (NRC)

**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:*

**NRC Response:**

Approved records retention schedules exist for all of the NRC's permanent records. The NRC is currently adding these retention schedules to our electronic recordkeeping system, the Agencywide Documents Access and Management System (ADAMS) so that they will be automatically applied, e.g., managed electronically from receipt or creation through transfer to the National Archives.

**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.*

**NRC Response:**

In 2014, OCIO developed a Digitization Plan and is currently implementing it. 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 also prioritized a list of groups of related permanent records to be digitized to meet the intent of M-12-18, and are digitizing them and adding them to ADAMS.

Recently, OCIO wrote a plan to digitize key docketed information, which covers the majority of permanent records at the agency. The Executive Director of Operations supports immediate implementation of the plan, which is to digitize all hardcopy records of the Atomic Energy Commission (AEC) and then the microfiche and aperture cards that were created from 1979 to 1999. Since 1999, records have been digitized and added to ADAMS as they were created or received. OCIO is requesting FY18 shortfall funding to support this digitization work.

- 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:*

**NRC Response:**

The agency has policies and procedures in place to ensure that recordkeeping requirements and other records management needs are accounted for when implementing reorganizations or elimination of offices and/or functions. For example, the agency recently went through downsizing in its program offices as well as corporate offices. During the checkout process, employees leaving are required to obtain a signature from a member of the records management team to ensure that their records have been properly turned over. In addition, two major program offices are planning on merging within the next 2-3 years. Records management staff plan to meet with the offices to clearly discuss responsibilities for records before, during, and after the merge.

- 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

**NRC Response:**

In 2014, OCIO wrote an Information and Records Management Program Plan, detailing the strategic direction of the program. The SAORM is involved in strategic planning within OCIO, as well as within the agency, to prioritize agency goals and resources.

- 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:

**NRC Response:**

Management Directive 3.53, "NRC Records and Document Management Program," describes records management responsibilities for all staff, including providing for the "adequate documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the NRC." Additionally, all staff must take records management training upon entering the NRC, and every 3 years thereafter. OCIO is currently working on a revision to the procedure to brief incoming and outgoing Commissioners, the highest position in the agency, on their recordkeeping responsibilities throughout their tenure and upon leaving the Commission.

OCIO maintains a web site with recordkeeping requirements, including personal email usage, instant messaging, and texts.

Upon leaving the agency, all staff must complete a clearance form, "Separation Clearance," and obtain a signature from a member of the records management team to ensure that their records have been properly turned over.

- 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:

**NRC Response:**

Records management is a key component in the NRC's information resources management strategy. In accordance with 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 ADAMS. ADAMS allows for easy access and retrieval of agency electronic records.
- Instituted a Records and Information Management Certification (RIMCert) process to certify that 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 scheduled accordingly.
- Has instituted required training on Federal records management responsibilities of all agency employees and contractors.

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

Nothing, at this time.