



Senior Agency Official for Records Management 2018 Annual Report

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 rmselfassessment@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
Director, Governance & Enterprise Management Services Division
Office of the Chief Information officer (OCIO)
- Address
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- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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 the NRC's permanent records. The NRC continues to add 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 implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response:

NRC Response:

The NRC has implemented an Information and Records Management (IRM) Plan, which includes an Electronic Records Management (ERM) project with alignment to the criteria requirements in NARA's *Criteria for Successfully Managing Permanent Electronic Records.* As far as a high-level view, the agency has effective policies and systems, the ability to access records, and the ability to execute disposition. Operational activities include prioritizing and allocating resources, training records management staff, reviewing records schedules, consulting with stakeholders, maintaining systems. The NRC has successfully transferred electronic records to NARA.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes

No

Please explain your response (include specific goals and example metrics):

NRC Response:

The NRC will comply with the December 31, 2022, deadline as described in the Administration's Reform Plan. Internally-generated records and externally-generated electronic records are added into ADAMS as electronic records and managed accordingly. The agency has many processes whereby electronic record material is automatically added to ADAMS with no manual intervention. Externally-generated paper records received at the NRC are scanned and placed into ADAMS as electronic records and managed accordingly. The NRC plans to send no new paper records to NARA after December 31, 2022.

Additionally, the agency is beginning a project where we will digitize all old permanent records that are currently stored at (or permanently withdrawn from) the Washington National Records Center. The project should be completed in the first quarter of FY2021. These permanent records will be transferred to the National Archives in electronic format at the appropriate time.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Please explain your response:

NRC Response:

The NRC is using existing contractor resources to add the agency's approved retention schedules to ADAMS. The agency is currently using GSA's Schedule 36 SIN 51 600 for Electronic Records Management Solutions to procure a new toolset to support NRC Information Life Cycle Governance (ILG). Purchase and use of the schedule management software will support NARA's *Criteria for Successfully Managing Permanent Electronic Records* that will allow NRC to:

- Associate approved records schedules with the permanent electronic records and systems.
- Generate and print reports, both routine and customized, that demonstrate effective controls and compliance with requirements for managing permanent electronic records.
- Account for electronic records series and systems defined as permanent.
- Track impact of changes in technology or business processes on retention/disposition instructions

Additionally, the agency procured software services from a vendor to scan more than 40 million images of legacy permanent microfiche and paper records so that they can also be added to ADAMS.

6. Have you, as the SAORM, established or improved your agency procedures that ensure 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

Changes were unnecessary (click [here](#) for your agency's 2017 report)

- No, changes are being considered but have not been made
 No

Please explain your response:

NRC Response:

Although the response in 2017 to this question was already “Yes”, the agency has made one improvement. When a new Commissioner is on-boarded, the Agency Records Officer (ARO) participates in the briefing previously only provided by the Office of the Secretary.

- 7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
 No

Please explain your response:

NRC Response:

Knowing that a higher percentage of agency records are permanent than at most agencies due to the NRC’s mission, the agency records management program is very important to the NRC and receives attention from the Commission level down to staff.

As per NARA Bulletin 2017-02, “SAORMs must identify and advocate for the financial, personnel, and technological resources necessary to ensure that adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency are preserved and usable for as long as needed to protect the legal and financial rights of the Government and of persons directly affected by the agency’s activities.”

As SAORM, I am at a level to advocate for the agency records management program, as I report directly to the Chief Information Officer. The ARO reports directly to me.

- 8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
 No

Please explain your response:

NRC Response:

The NRC has implemented required records management training for all staff, including those with dedicated records management roles, Federal employees, contractors, and senior executives. This required training is not role-based.

In addition to the all-employee required training, office staff with dedicated records management roles are provided quarterly personal training by the records management staff. The online "Records Management for Records Managers" training is also available.

When a new Commissioner is appointed, they and their staff are provided individualized role-based records management training as a joint initiative by the Office of the Secretary and ARO.

A new Capstone Official is provided one-on-one training by records management staff on Capstone roles and responsibilities.

9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

Yes

No

Please explain your response:

NRC Response:

Every 2 years, the agency records management staff consults with all offices/regions to review updates of file plans and to ensure accuracy and accountability of all records including electronic systems.

In the revised IRM Plan, the NRC is developing an annual self-assessment survey for offices that would assist in responding to NARA's annual Records Management Self-Assessment. In addition, as part of the NRC ERM project, the records management program is developing auditing checkpoints and assessment procedures within the IT/IM Governance Framework to determine the degree of compliance of ERM and Records and Information Management (RIM) Certification policies and procedures.

The Office of the Inspector General has audited an aspect of the records management program twice in the past 3 years, i.e., processes utilized in ADAMS. Additionally, in 2014, NARA conducted an inspection of NRC records management to ensure the program is in accordance with all required laws and procedures.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

Please explain your response:

NRC Response:

Not at this time.