



## *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: Diana J. Veilleux

Position title: Chief, Legal, External Affairs and Performance Branch,  
Program Counsel Division

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Email:

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

**U.S. Office of Government Ethics**

- 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**

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**

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**

If Yes, please describe this progress.

- The majority of OGE permanent records have been digitized and are maintained electronically in the OGE e-Records Room or document storage application. The digitization process will continue until all permanent records have been digitized.
- Significant progress has been made in obtaining media neutral schedules for existing schedules that do not include electronic records. These efforts will continue until NARA approves a media neutral schedule for the remaining existing schedules that do not cover electronic records.
- Eligible permanent records will be prepared for transfer to NARA by FY 2018.

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**

Please describe your specific plans or actions.

- Permanent records have been identified and most have been digitized into a portable document format (PDF) with optical character recognition (OCR) to enhance search and retrieval capabilities.
- The digitized permanent records were checked for accuracy and electronically maintained in the secured OGE e-Records Room or document storage application.
- The OGE Records Officer is in the process of preparing and presenting training material on managing electronic (permanent and temporary) records for OGE employees.

**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**

If Yes, please describe what steps have been taken.

As the OGE Senior Agency Official for Records Management, the following steps have been taken to include records management as a key component of OGE's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource:

- Digitizing records and managing electronic records in accordance with Government-wide requirements.
- Implementing an agency-wide electronic mail records management system to manage all email records.
- Developing standard operating procedures for records management processes.
- Developing file plans for all OGE offices to ensure records are captured, retrievable, and accessible when needed.
- Conducting a review and assessment of agency websites to ensure web-based records are captured and managed as records throughout their life cycle.
- Developing media neutral retention schedules for approval by the Archivist of the United States for existing approved agency schedules that do not cover electronic records.
- Developing training material on managing electronic (permanent and temporary) records.