



*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. 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: Christopher J. Bavasi
- Position title: Executive Director
- Address: Office of Navajo and Hopi Indian Relocation,
P.O. Box KK, Flagstaff, AZ 86002
- Office telephone number: (928) 779-2721, ext 115

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

Office of Navajo and Hopi Indian Relocation

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

All permanent electronic records are managed electronically and will be ready for eventual transfer to NARA in electronic format.

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

The agency will not be digitizing any permanent records created in hard copy as these records have already been scheduled and placed into records series and due to the future closure of the agency which is targeted for September 2018.

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

The Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce introduced in April 2017 to federal agencies requires all federal agencies to submit a plan for re-organization and reduction of functions. The ONHIR, as a sunset agency, in accordance with this directive, has submitted a Transition Plan to OMB that addresses steps to ensure record keeping requirements and management needs are accounted for during phase-out and closure activities.

- 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

Steps have been taken to ensure that our records management program has the strategic direction, support and resources for a successful program. An on- site records assessment was conducted in 2016 with the assistance of our NARA Regional staff assigned to this agency. Currently, we are considering contracting with NARA FRC services for assistance in providing support and resources for the management, disposition and transfer of agency records to NARA in the future.

- 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

Although there have been no senior officials hired within the last ten years at the agency due to a self-imposed hiring freeze and the sunset status of this agency, all new employees, including senior officials, are required to go through an orientation or briefing process that includes orientation training on records management and record keeping procedures and practices. All staff who are separating from the agency, including Senior officials, are required to complete an Agency Exit Clearance Form in conjunction with their Supervisor and agency branch Managers, which addresses record keeping and management practices, retention and/or disposition of records held by staff.

- 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

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)

As the agency approaches closure which is targeted for the end of September 2018, the agency is considering contracting with NARA Federal Records Center or other contractor to assist with the preparation and disposition of agency records that are scheduled for transfer and shipment to NARA Federal Records Center.