

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. 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 DeVries
- Position title: Chief Information Officer
- Address: 1900 E St., NW, Washington, DC 20415
- Office telephone number: 202-606-1129
- Email: cio@opm.gov

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

Please list below

U.S. Office of Personnel Management, including the National Background Investigations Bureau

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
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 \(M-12-18\)](#))

We continue to make progress towards this goal: Email services are provided centrally at OPM, and we submitted form NA-1005, Verification for Implementing GRS 6.1: Email Managed under a Capstone Approach, in January 2017 and are awaiting response from NARA.

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

No

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

We are scheduling OPM's mission records on behalf of the U.S. Government to have more updated, accurate, useable, media-neutral schedules. As we discover any unscheduled or outdated series, we are submitting schedules.

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?

We are updating our records management policies to ensure automated systems incorporate proper records management lifecycle controls, including the implementation of disposition within systems. We are building these requirements into our lifecycle management and systems development lifecycle processes.

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.

The few permanent hard-copy records at OPM are being digitized.

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

No

If Yes, please describe what steps have been taken.

We have made significant progress over the last several years in supporting the requirements of OMB Circular A-130:

1. We have designated an SAORM.
2. We are revitalizing our Records Management Program to better meet our records management obligations. For example, Records Management has become more involved in systems design and decommissioning.
3. We continue to explore ways to better manage electronic records.
4. We have embarked on an ambitious scheduling effort of mission records to ensure disposition is applied properly to agency records, regardless of form or medium. As such, we submitted draft schedules to NARA throughout FY2016 and will continue to do so.
5. When Records Management personnel meet with employees from other offices to schedule records, they discuss the records lifecycle, from creation and receipt to disposition, broadly. Often, these discussions include in-depth discussions of processes and procedures for efficient and effective management of records during the maintenance and use phase.
6. Regarding the implementation of proper and timely disposition of records, we reviewed our dead file holdings at NARA records centers and are planning to have those records destroyed upon funding. Additionally, the Records Management Program shares in-depth information with OPM employees when scheduling their records and upon demand.
7. Regarding training and guidance, incoming agency employees are introduced to records management in orientation; incoming and outgoing senior executives and political appointees are provided additional training; records management is included in mandatory training that is provided to all employees and contractors annually, without which they are barred from using OPM systems; and the Records Management Office provides additional guidance to individuals and groups throughout OPM upon request.