



*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: David A. Garcia
- Position title: Chief Information Officer
- Address: 1900 E St. NW, Suite 5415, Washington, DC 20415
- Office telephone number: 202-606-1129

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

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

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:

The Office of Personnel Management (OPM) is updating its records management policies to ensure automated systems incorporate proper records management lifecycle controls, including the implementation of disposition within systems. The agency is building these requirements into our lifecycle management and systems development lifecycle processes.

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.

OPM is in the process of scheduling the records for the Office of Communications. Once the schedule is approved, OPM will be able to evaluate any permanent special media for digitization.

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:

OPM's agency reform plan does not call for the elimination of the records management functions.

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

A senior executive was assigned to manage, resource and drive the strategic direction for the Office of the Chief Information Officer (OCIO) Strategy and Policy division and all of its associated programs, to include records management. Previously, the Associate Chief Information Officer role for this division was filled in an Acting capacity.

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:

Several briefings were conducting for incoming and outgoing senior officials. OPM will schedule briefings with new incoming and outgoing officials as needed. However, we cannot affirm that all senior officials received briefings.

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:

The records management program is included in OPM's currently published Strategic Information Technology Plan.

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)

The regulations required by 44 USC 3302, which would establish "standards for the reproduction of records by photographic, microphotographic, or digital processes with a view to the disposal of the original records."