

## *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      Marvin E. Kaplan (Acting SAORM)
- Position title      Chief Counsel to the Acting Chair
- Address              Occupational Safety and Health Review Commission  
1120 20<sup>th</sup> Street NW 9<sup>th</sup> Floor  
Washington, DC 20036-3457
- Office telephone number (202) 606-5374
- Email

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

*Please list below*

Agency: Occupational Safety and Health Review Commission (OSHRC)

**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)**

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

**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

X  No

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

OSHRC is a micro agency whose work primarily results in published judicial decisions that are available to the public. While we have worked with NARA to identify all unscheduled records, such as Strategic Plans, Annual Performance Reports, and Performance and Accountability Reports, we are still in the process of preparing schedules for those records. Our

focus has been to first implement General Record Schedule 6.1 to manage agency email under a capstone approach.

**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?

All permanent electronic records, such as press releases and case decisions, are being retained in an electronic format. OSHRC does not “print to file” but instead maintains permanent electronic records in an electronic format.

**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.

Over the last 3 fiscal years, the agency has completed the conversion of Commission cases and their underlying ALJ decisions previously available only on microfiche into a digital format in preparation for posting on the agency’s web site.

**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.

I have worked with the OSHRC Records Officer to ensure that agency records are treated as information resources in keeping with the requirements of revised OMB Circular No. A-130. I have reviewed the agency’s goals, plans, and actions, such as the agency program of converting decisions from microfiche into a digital format, to confirm that they are performed in accordance with the requirements of the Circular.