

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 SAO: Mr. Edgar Bennett
Position title: Budget Director
Address: 1200 K. Street NW Washington, DC 20005
Office telephone number: 202-326-4000 Ext. 3127

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

Pension Benefit Guaranty Corporation (PBGC)

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

(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

No

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

PBGC has taken the following steps to meet the M-12-18 deadline to manage all permanent records electronically:

- *Conducted a document scanning pilot program that includes: development of standardized naming conventions, image capture and storage, records dispositioning, and the migration of legacy paper records to digital format. The scope of the pilot was limited to a few PBGC departments but may be expanded in the future if resources are available*
- *Reviewed and updated departmental file plans and created a spreadsheet for tracking permanent records*
- *Began migration of records that are stored on network shared drives to Microsoft SharePoint 365 where they will be managed through their life-cycle*
- *Began managing permanent email records using the Capstone approach and GRS 6.1 (PBGC's list of Capstone officials was reviewed and approved by NARA in 2016)*
- *Started using digital signatures as standard business practice on PBGC internal documents.*

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

In 2016, PBGC began an information management scanning pilot that includes: development of standardized naming conventions, image capture and storage, records dispositioning, and the migration of legacy paper records to digital formats.

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

I have coordinated with the Records Management Staff to address the following activities noted on the revised OMB Circular A-130 (OMB-A-130 5.h, page 19):

- *Served as PBGC's SAO for the past two years*
- *Supported the development of a records management program that provides documentation of the agency's activities and communicates the importance of preserving records*
- *Championed the records management program at all levels of the organization*
- *Sponsored the adoption of a Capstone approach for managing email records, including use of GRS 6.1*
- *Participated in a document scanning pilot to digitize and manage records electronically*
- *Supported an agency initiative for the adoption and use of digital signatures as a standard business practice*
- *Ensured that PBGC employees and contractors receive annual training regarding their Federal Records Management responsibilities*
- *Met with Records Management Program Manager bi-weekly to discuss program activities and acted as liaison with senior management*
- *Attended NARA sponsored SAO meetings and NARA training classes*