



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 Lynn Parker Dupree
- Position title Deputy General Counsel
- Address MS2 – C104, Washington, DC 20511
- Office telephone number 202-296-4682

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

Please provide list Privacy and Civil Liberties Oversight Board

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: As a relatively new agency, most of our records are created and maintained electronically. No PCLOB permanent records exist only in hard copy.

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.

As previously mentioned, any permanent records in hard copy form are scanned and saved in a shared drive for record keeping.

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:

The PCLOB is a microagency and there was no records impact for the portion of OMB-17-22 with which the PCLOB had to comply.

- 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

The PCLOB continues to demonstrate its commitment to records management. All agency employees have received annual records management training, and the PCLOB's Agency Records Officer issued guidance regarding email management best practices. Records management is engrained into the agency's operations through the methods by which records are created and stored as a matter of practice, and all employees appreciate the role they play in effective records management.

- 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:

All employees, including senior staff, have a records management briefing during the on-boarding and off-boarding process. The briefings occur on the employee's first and last day at the agency. The briefings occur in addition to annual records management training, and explain all record keeping requirements. Each employee verifies that he or she has received on-boarding and off-boarding guidance.

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:

Records at the PCLOB are maintained for both historical and operational purposes. Accordingly, PCLOB's records are catalogued, maintained electronically, and stored on a shared drive, with corresponding access controls based on the sensitivity of the record. This method allows records to be easily accessed when needed, and will facilitate transfer to NARA when appropriate

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 PCLOB has fully implemented electronic recordkeeping.