



*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: Ruth Ann Abrams
- Position title: Deputy Secretary
- Address: 901 New York Ave., NW Suite 200 Washington, DC 20268
- Office telephone number: 202-789-6843

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

Postal Regulatory Commission

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

The Commission plans to be compliant before FY 2019. We are in the process of implementing a new holistic electronic document and records management system this fiscal year. This system will ensure the reliability, authenticity, integrity, and usability of our electronic records and will allow the Commission to manage all permanent records electronically as required by the directive.

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

The Commission has a small inventory of audio files scheduled to be accessioned to NARA for disposition this fiscal year. Once accessioned, the Commission will have no other permanent hard copy or analog records in our inventory.

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

The Commission has elevated records management responsibilities to the senior level, which ensures that records management needs are accounted for and implemented in any reorganization or changes made agency-wide.

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

Yes, as the SAORM for the Commission, I ensure that the records management program remains a budgetary and strategic priority with senior officials. As a small agency, the Commission is fortunate that we have effective communication among departments at the Commission. Our records management strategy is included in the Commission's overall Strategic Plan. Moreover, our IT team, which handles information resource management, and our records management teams are closely linked.

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

The Commission has records management on-boarding and exit training and a briefing process in place for all staff. All staff, including senior officials, are informed of their records management responsibilities and complete mandatory annual training. The briefing process includes an opportunity for feedback which allows the records management staff to continually improve our process.

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

Our Records Management policy is the foundational document for the Commission's information resource management plan. The Commission is currently revising its information and records management plan to align with the new electronic records program.

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 ongoing support of NARA's appraisal archivist has been key to our successful records management program. The Commission will continue to have open and timely communication with NARA. The primary support NARA could provide to ensure a successful records management transition is to institute a basic records management online/web-based training for small agencies, which would then be used to train Commission staff and strengthen our current training process. This would be most beneficial to the Commission in the long-term and would ensure that our records management program continues to be a success.