



29 March 2018

From: Seán F. Crean

To: National Archives Office of the Chief Records Holder

Subj: Senior Agency Official for Records Management (SAORM) 2017 Annual Report

1. Enclosed please find the subject report for the U.S. Small Business Administration.

Sincerely,

A handwritten signature in blue ink that reads 'Seán f. Crean'. The signature is fluid and cursive, with a long horizontal stroke at the end.

Seán f. Crean  
SBA/SAORM



Provide the following information (required):

- Name of SAORM                    Seán F. Crean
- Position title                    Executive Director, Office of Executive Management,  
Installations & Support Services
- Address                            409 3<sup>rd</sup> Street, SW Washington, DC
- Office telephone number    202-205-6340

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

This report covers all program offices of the Small Business Administration.

**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 SBA has an on-site contractor that is conducting inventories and updating retention schedules. This effort will ensure that we have all permanent records identified, regardless of format.

**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:*

Once the inventories and draft schedules are complete we will have a thorough understanding of our permanent records universe. This will enable us to develop a comprehensive plan moving forward. In FY 2016 the SBA Records Management Division conducted an imaging pilot test to begin documenting processes. Our Agency Records Officer is working with the Office of the Chief Information Officer (OCIO) to develop technical specifications and working with the



Office of the Chief Financial Officer (OCFO) to develop a financial structure to streamline the acquisition of digitization services. One of our main obstacles, as with most federal agencies, is obtaining the necessary funding resources to meet our requirements.

- 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:*

At the time of this report, the SBA's reform plan is still under OMB review. Once completed all recordkeeping requirements will be met and monitored.

- 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 review of SBA's Records Management is underway and to identify practices, polices execution and resources necessary to ensure compliance. Scheduled completion date is 30 September 2018.

- 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:*

The Records Management Division is developing an interactive annual training module for all senior level officials and employees that compliments the onboarding and outgoing procedures including orientation briefings and review/signoff of the separation 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

*Please explain your response:*

Records management is not part of the traditional information management plan which is incorporated within the OCIO planning process. Records management has historically assumed its role within the administrative services planning strategy.

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)**

It would be helpful if NARA would facilitate use of its contracts engaged to support electronic recordkeeping as part of a concerted federal wide sharing of resources. It would help create efficiencies and mitigate agencies from having to develop these contracts on their own.