



19 April 2019

From: Seán F. Crean

To: National Archives Office of the Chief Records Holder

Subj: Senior Agency Official for Records Management (SAORM) 2018 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

**1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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 Records Management Division (RMD) has concluded Agency-wide records inventories and updated draft schedules (see 2017 SAORM report) with a goal of identifying permanent records regardless of media. This project included training and briefings with program offices to confirm the identification and management of permanent records. The SBA does not practice a “print and file” procedure for permanent records. A new records management policy anticipated by end of FY 19 will document this in SBA practice.

**3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
- No

*Please explain your response:*



The SBA plan for managing permanent electronic records is still in development. The SBA RMD is conducting a project to identify electronic records management requirements that would cover both permanent and temporary records.

4. As included in the Administration’s [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

*The Reform Plan states:*

*Transition to Electronic Environment: Transition Federal agencies’ business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration’s acceptance of paper records by December 31, 2022. This would improve agencies’ efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

*Please explain your response (include specific goals and example metrics):*

The SBA has developed a series of Information Notices and briefings, as well as funding and actionable steps to meet the target date.

5. Is your agency utilizing [General Service Administration’s Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

*Please explain your response:*

The SBA is utilizing the GSA schedule in addition to other technical resources to identify a solution or solutions that best fit our Agency needs.

6. Have you, as the SAORM, established or improved your agency procedures that ensure 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

X Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

*Please explain your response:*

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

X Yes

No

*Please explain your response:*

I as the SAORM am actively involved with the records management program, regularly reach out to individual staff members and support/provide, adequate resources to fund the program.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

X Yes

No

*Please explain your response:*

The SBA has two training platforms, one for all staff and one for senior officials and conducts training and briefings upon request and participates in Agency peer-to-peer



sessions. Additionally, the RMD is included in new employee orientation, having the opportunity to speak to the importance of effective records management to each new staff member as they begin their work with the Agency.

**9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes

No

*Please explain your response:*

The SBA RMD takes an active role in providing guidance, training and compliance to program offices throughout headquarters. Additionally, the SBA has undertaken an outreach program with our field offices across the country where RMD staff spend several days providing training, guidance and program analysis. Each trip concludes with a final report of findings and recommendations.

**10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes

No

*Please explain your response:*

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.