



## *Senior Agency Official for Records Management 2018 Annual Report*

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 [rmsselfassessment@nara.gov](mailto:rmsselfassessment@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: Mr. James Wachter
- Position title: Assistant Inspector General for Management & Support
- Address: 1550 Crystal Drive, Suite 1002 Arlington, VA 22202

- 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.**

*Please provide list:*

All SIGAR offices/directorates/divisions/programs are covered by this report. This includes those in Arlington, VA and Kabul, Afghanistan.

SIGAR Offices:

Front Office  
General Counsel Office  
Management & Support Directorate  
Audits & Inspections Directorate  
Investigations Directorate  
Research and Analysis Division  
Congressional Affairs Division  
Forward Operations Division  
Quality Control Division  
Special Projects Division  
Public Affairs Division  
Lessons Learned Program

- 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:*

SIGAR is making progress towards managing all permanent electronic records in electronic format. SIGAR has taken steps to address the four key aspects of records management with policies and systems in place for access and disposition.

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:*

SIGAR has implemented a plan that aligns to the criteria and requirements published by NARA in its *Criteria for Successfully Managing Permanent Electronic Records (March 2018)*.

1. High Level View
  - a. Policies: All new-hires receive Records Management Training which includes policies on emails during their in-processing. This training is also provided on a refresher basis to existing employees.
  - b. Systems: SIGAR maintains a network shared drive where all data is automatically backed up per DOD guidelines. In addition, SIGAR emails are managed by Outlook and auto-archived after a certain point in time. All emails are backed up to .pst files on the shared drive, which are retrievable as required.
2. Operational Activities
  - a. Train RM Specialist: RM Specialist will be required to attend any needed NARA or other RM courses. In addition, the NARA Federal RM Training Certificate will be highly encouraged.
  - b. Records Schedules: Records schedules are reviewed regularly.
  - c. Consult Stakeholders: RM Specialist will work closely with IT, General Counsel and NARA staff.
  - d. Maintain systems: IT systems are maintained by DoD and follow the rules for usage and maintenance under DoD policy, DoDI 5015.02.
  - e. Prepare for transfer, execute: SIGAR has records schedules in place.
  - f. Institute policies: SIGAR policies are in place for proper scheduling, managing and transferring permanent records to NARA.
  - g. Evaluate program and progress: Weekly FOIA reports are provided to management. A process for overall RM program effectiveness and progress will be updated upon arrival of the new Records Management Specialist upon appointment.

3. Universal ERM

- a. SIGAR will research vendor options for records management systems that will help with capturing, maintaining, disposal, transfer and reporting.

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):*

SIGAR is working towards an exclusive electronic environment for all business processes. SIGAR is updating its electronic records policy to comply with the latest NARA guidance on managing government records. Also, to date, SIGAR has implemented the following electronic systems:

1. SIGAR Government Purchase Card (GPC) statements and documentation which are scanned and saved on the shared drive.
2. SIGAR "I Want, I Need" (IWIN) systems which is a full cycle request system for purchase requests which routes electronically for signature approvals.
3. SIGAR Travel request system, EVS, is a full cycle travel request system which routes electronically for signature approvals.
  - a. The Defense Travel system – Travel records required for DTS are maintained in the DTS system under substantiating records. Records uploaded to DTS are automatically archived to the Defense Manpower Data Center (DMDC) after 6 years and 3 months.

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:*

Currently, SIGAR does not have a solution in place, but will utilize GSA Schedule 36 to procure a records management system upon arrival of the new Records Management Specialist.

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  
 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:*

All SIGAR employees are trained on agency records management policies during new hire orientation. Improvements to assure senior officials receive tailored training will be incorporated into new procedures.

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](#))

- Yes  
 No

*Please explain your response:*

Yes, the RM program has the support and resources it needs to be successful. In addition, the RM program has utilized a NARA consultant. To ensure the program remains

successful, SIGAR is interested in leveraging an agreement for continued support from NARA.

- 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](#))**

- Yes  
 No

*Please explain your response:*

Training, as noted above, is provided to all SIGAR employees on how to properly maintain electronic records and what their role is in the various processes.

The incoming RM specialist is also a highly qualified individual with many years of records management experience. This individual will be encouraged to take continued NARA training as well as earn the NARA training certification and incorporate any new requirements into the training.

- 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:*

Weekly metric reports are provided to senior officials in addition to substantive checks on records to determine which files are permanent and should be scheduled. SIGAR realizes improvements can be made, therefore upon procurement of a records management system, evaluation and auditing the RM process will be up to NARA standards.

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

- Yes  
 No

*Please explain your response:*

Yes, support from NARA would be extremely helpful in ensuring successful transition to fully electronic recordkeeping. NARA has provided support to our agency in 2017 and we look forward to leveraging another agreement for support again, if possible.