



*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 Brent Newton
- Position title Deputy Staff Director
- Address One Columbus Circle NE, Suite 2-500, Washington, D.C. 20002
- Office telephone number 202-502-4565

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

US Sentencing 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

Please explain your response:

The USSC has converted from a traditional, largely paper-based records management system to a nearly 100% electronic system for permanent records that will be sent to NARA. That conversion has been occurring since 2010. We have finished scanning the vast majority of our historical paper records – using OCR scanners – and uploading them into an Oracle electronic documents-and-records-management system that is DOD 5015.2 compliant. That system is called “Oracle WebCenter Content”; we use an “Oracle WebCenter Content: Records” module specifically for records management. (The two components make up the “eCommission” system.) We currently are in the process of transferring many of our electronic files (e.g., pdf, Word, Word Perfect, Excel, and Power Point files) into the eCommission system – including all files that qualify as permanent records. Our records specialist, Brittany Davis, is responsible for moving the documents uploaded into the eCommission from the “documents” side to the “records” side of the eCommission (if the documents qualify as “permanent” records), pursuant to our CRDS. Once a file is moved to the “records” side, it will be disposed of in accordance with the CRDS (i.e., depending on the document’s creation date, it will be sent to NARA in electronic form). An electronic copy of all records will remain in the eCommission after they are sent to NARA.

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.

The Commission previously contracted with the private sector to digitize some of our audio recordings. This measure was costly, but did provide us with digitized copies of these tapes.

Our current videos are saved with both Piksel and YouTube. We are able to download copies of these videos with the relevant metadata with Piksel.

- 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:

This circular does not apply to the Commission.

- 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

I have met regularly with the agency's record officer to determine where our program stands and what needs to happen next. I provide guidance for current projects. I assist in determining new projects and improvements for the program.

- 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 receive records management training as part of their new employee training. All senior Commission employees (Commissioners and senior staff) have been trained repeatedly – including very recently – about the importance of preserving all permanent records in whatever form (including email communication) and assuring that they are uploaded to the eCommission system.

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 personnel are in regularly talks with IT and IS personnel about what they require from systems.

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 Commission has transitioned successfully to fully electronic record keeping. More guidance on email management and resources available to enhance email management would be helpful. Hearing other agencies success stories would also provide needed insight.