

Senior Agency Official for Records Management 2016 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*, including implementing proper email management and 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 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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" 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 E. Newton**
- Position title **Deputy Staff Director**
- Address **One Columbus Circle, N.E., Suite 2-500, Washington, D.C. 20002**
- Office telephone number **(202) 502-4565**
- Email **bnewton@ussc.gov**

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

Please list below **United States Sentencing Commission (USSC)**

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

- Yes **X**
 No

If No, please list and explain which part of your agency or components did not meet the deadline?

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. [Criteria for Managing Email Records in Compliance with the Managing Government Records Directive \(M-12-18\)](#))

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

- Yes **X**
 No

If No, please list which part of your agency or components did not and why?

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

Yes **X**

No

If Yes, please describe this progress.

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.

We have trained Commission employees to save future electronic records into the new system. The manner in which such records are to be uploaded into the eCommission is very user-friendly: Commission employees simply save the final version of a file with an “_EC” (for eCommission) – *e.g.*, “2015SAOReport_EC” – and a software program that our IT department created will automatically upload all _EC files into the eCommission overnight. All scanned paper records and electronic records will be easily searchable in the new system, using a robust search engine. All paper files have been scanned using high quality OCR scanners and Tele-Form software, which allow for a full text search of the scanned documents. We are currently in the process of transferring permanent records to NARA in an appropriate electronic format in accordance with our CRDS

If No, please list which part of your agency or components did not and why?

5. 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 **X**

No

Please describe your specific plans or actions.

See answer above.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

Yes **X**

No

If Yes, please describe what steps have been taken.

Records management training is included in all new employees training. All employees are trained on their record keeping responsibilities. All employees have the ability to search and read the records and documents inside the eCommission, as described above. Only the records specialist and IT personnel have the ability to edit the metadata of records. For details on records management, see above.

The robust full-text search offers faster access to Commission records. Employees are now often able to find records themselves. The records specialist provides additional help as necessary.

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. Regarding emails in particular, the Commission has created an email address – eRecords@ussc.gov – to which employees can forward any email that they believe may qualify as a permanent record. Our electronic records specialist, Brittany Davis (who has been trained and certified as a records specialist by NARA) regularly monitors eRecords@ussc.gov