



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 rmselfassessment@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):

- Peter O. Thomas, Ph.D.
- Executive Director
- 4340 East-West Hwy., Rm. 700, Bethesda, MD 20814

- 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.**

Marine Mammal Commission (MMC)

- 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

The MMC has contracted a records management company to perform an assessment of the agency and provide recommendations for meeting the December 31, 2019 goal for managing all permanent electronic records.

- 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

The MMC is working with a records management company to develop a plan to meet the M-12-18 requirements.

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

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

- Yes
 No

The MMC has put in place a contract with BNF Technologies Inc., which utilized GSA Schedule 36.

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

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

The following steps have been taken:

- *Communicated with senior management the strategic benefits of a mature records management program.*
- *Contracted a records management company to assist the agency with its records management activities, including:*
 - *M-12-18 Compliance*
 - *Policy Development*
 - *NARA Reporting*
 - *Disposition*

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

The MMC is a small micro-agency of 13 FTEs, there is no need for role-based 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

The SOARM communicates with the records officer and the records management contractor for progress updates. MMC also utilizes the RMSA results to determine actions still needed.

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

- Yes
 No

The MMC has recently decided to use NARA's Capstone approach for email. The MMC will continue to coordinate its records management activities with NARA.

NARA needs to keep small micro-agencies in mind when they are developing guidelines, policies, and requirements that fit the needs of a large agency but place an undue burden on smaller agencies. Specifically, the financial and personnel burdens of such requirements should be considered.