

Senior Agency Official for Records Management FY 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 SAO: Sylvia W. Burns

Position title: U. S. Department of the Interior Chief Information Officer

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1. What are the agencies, components, or bureaus covered by this report and your position as SAO? *Please list them below:*

The Department of the Interior (DOI) Senior Agency Official (SAO) represents the component bureaus and offices in the table below (identified by Bureau/Office name and NARA Record Group).

DOI SAO TABLE 1

Department/Agency	Organization/Component Office	Record Group
Department of the Interior	Department of the Interior	RG048
Department of the Interior	Office of the Secretary	RG048
Department of the Interior	Indian Arts and Crafts Board	RG435
Department of the Interior	Bureau of Indian Affairs	RG075
Department of the Interior	Bureau of Land Management	RG049
Department of the Interior	Bureau of Ocean Energy Management	RG473
Department of the Interior	Bureau of Safety and Environmental Enforcement	RG589
Department of the Interior	Bureau of Reclamation	RG115
Department of the Interior	National Park Service	RG079
Department of the Interior	Fish and Wildlife Service	RG022
Department of the Interior	Office of Special Trustee	RG075
Department of the Interior	Office of Surface Mining, Regulation and Enforcement	RG471
Department of the Interior	United States Geological Survey	RG057

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 ☒ No ☐

DOI implemented the eMail Enterprise Records and Document Management System (eERDMS) as a solution to address OMB M-12-18 Goal 1.2. The eERDMS solution was operational on January 23, 2013, and DOI has realized significant improvements in both our capacity and responsiveness in support of eDiscovery and other e-mail search requirements. DOI will continue relying upon "Print and File" as the authoritative records source until eERDMS is authorized as the authoritative source.

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 ☒ No ☐

DOI has been leading a project to convert all bureau records schedules into a series of Departmental Records Schedules (DRS), which will provide consistent retention guidelines for all records including the electronic records. This DRS approach allows DOI to align related records schedules and consistently apply records retentions and controls leveraging auto-categorization of electronic email records through software modeling.

In 2014, NARA approved the Administrative Departmental Records Schedule. In 2016, NARA approved the Policy Departmental Records Schedule, which includes records for High Level Officials and special media records. In addition the following three mission related schedules are in the final stages of the NARA appraisal process:

- Natural and Cultural Resources Protection & Management
- Natural Resource Planning & Development
- Indian Trust, Tribal Government, and Insular Areas

The remaining two mission and one legal schedule listed below are still under development within the Department:

- Science and Technology Administration
- Community & Social Services, Education, and Transportation
- Legal, Regulatory Compliance, and Enforcement

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 XX No

If Yes, please describe this progress.

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

In support of the goal of OMB M-12-18 Goal 1.1, DOI implemented the eERDMS enterprise records management cloud program, which incorporates training, auditing, tracking, access rights, version control, physical security, secure authentication, records schedules, and Departmental Records Management integrated in a DoD 5015.2 records management system.

Additionally, DOI revised the Departmental Manual (DM) for Records Management and developed Standard Operating Principles and Procedures (SOPPs) to address specific records management functions ensuring uniform management.

DOI also conducted a data call to identify those sources of permanent electronic records across all bureaus. DOI is still developing plans to integrate each of these sources into the enterprise cloud records management program.

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 XX No

Please describe your specific plans or actions.

DOI awarded an enterprise-wide contract for record digitization; bureaus, offices, and programs can leverage this cost effective contract to digitize records based upon their needs and priorities. DOI continues to evaluate opportunities to convert hard copy and analog records, however the costs and resources required for broad scale conversion are prohibitive in the declining fiscal environment. The DOI approach is to maintain newly generated permanent

records in electronic format. Digitization of existing permanent records will be addressed based on mission needs and funding availability.

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 ☒ No ☐

If Yes, please describe what steps have been taken.

As the DOI SAORM, I have ensured that the Record Management Program is:

- Establishing formally approved electronic records policies;
- Using automated systems to capture electronic records;
- Providing access / retrievability of electronic records, and
- Establishing disposition practices for agency electronic records.

In FY2012, the Department performed a data call to identify existing and/or legacy records management systems. This data call also included physical storage locations. In FY2016, the Department issued a request to DOI offices and bureaus to update the FY2012 records system inventory data call.

In FY2017, the Department is leveraging the updated records system inventory to identify mission system records management strategies and establish migration or manage-in-place plans. These plans will address funding, policy, preservation and automation to ensure appropriate management, classification and accessing of identified records.

DOI plans to work with bureau offices to prepare the migration and or management-in-place through the centralized enterprise records management cloud program for legacy records. In doing so, the DOI expects to be in steady-state by December 31, 2019.