



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 Linda Dent
- Position title Associate General Counsel
- Address 1775 Duke Street, Alexandria, VA 22314
- Office telephone number 703-518-6540

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

Please provide list National Credit Union Administration

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: NARA approved the National Credit Union Administration's (NCUA's) implementation of Capstone in 2016. In 2017, the NCUA identified and trained Records Liaisons in each office throughout the agency. Among other responsibilities, the Records Liaisons support the management of permanent electronic records in electronic format. The NCUA also began to develop office specific file plans that include the office's permanent electronic records. The file plans facilitate management of these records in electronic format. In addition, the NCUA implemented mandatory records and information management (RIM) training for new staff and mandatory annual RIM training for all staff, which further supports management of permanent electronic records in electronic format. In 2017, the NCUA also finalized a Records Management Program Instruction (agency-wide policy; approved and issued in January 2018) that requires offices and staff to conduct business electronically to the maximum extent possible. In addition, the NCUA continued its multi-year Enterprise Solution Modernization program to update the technology supporting the NCUA's business activities, including more robust management of permanent and temporary electronic records.

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 NCUA is digitizing permanent records that are in paper format, including records of the NCUA Board and records maintained on federally insured credit unions.

- 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: The NCUA announced and began implementing an agency-wide reorganization plan, including steps to ensure recordkeeping requirements and other records management needs are accounted for and implemented as part of the reorganization. For example, the NCUA is addressing the proper retention and disposition of records as part of the planned consolidation of five regional offices into three offices. Digitization of files maintained in regional offices supports the consolidation and effective records management.

- 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: In 2017, as part of the agency-wide reorganization, the NCUA transferred responsibility for the agency's records management program to the Office of General Counsel (OGC) and created a new Information and Access Law (IAL) section within OGC. This new section is comprised of the records management team, the privacy team, the Freedom of Information Act (FOIA) team, and the Paperwork Reduction Act (PRA) team. Effective January 2018, the Associate General Counsel for this section became SAORM. The new IAL section better enables the NCUA to take a holistic and strategic approach to records management, privacy, FOIA, and PRA.

In addition, in 2017, the NCUA Board approved increased staffing for the agency's records management 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: Outgoing senior officials receive records management briefings and complete a form that supports the proper retention of records. Formal records management briefings for incoming senior officials are in development.

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: The NCUA has incorporated planning for management of electronic records into its Enterprise Solution Modernization program.

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)**

We appreciate NARA's continued efforts to identify best practices in electronic recordkeeping and promote collaboration and communication among agencies.