**Managing Government Records Directive**

**Senior Agency Official (SAO) Annual Report**

This is the template providing guidance for the first Senior Agency Official (SAO) Annual Report to the Chief Records Officer for the U.S. Government. The SAO Annual Report documents progress towards the successful implementation of the OMB/NARA Managing Government Records Directive (M-12-18). The requirement to report is described in Section B Item 1, and referred to in RM Communications AC 23.2013: Goals Due On or Before December 31, 2013.

The SAO Annual Report provides each agency with an opportunity to describe plans for achieving the goal of the Directive. The report requires that SAOs identify concrete steps, annual progress, and challenges. As this is the first annual report agencies are also encouraged to provide information on current practices, short- to intermediate-term plans, and new or proposed initiatives. This template contains information on what should be included in this year’s SAO Annual Report.

This report is to be sent electronically to the Chief Records Officer of the U.S. Government at [**prmd@nara.gov**](mailto:prmd@nara.gov). Reports will be accepted beginning October 1, 2013, and received no later than close-of-business December 31, 2013.

**If you have any questions, please email** [**prmd@nara.gov**](mailto:prmd@nara.gov).

Please provide a contact person:

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| --- |
| Name (First and Last Name) |
| Agency Name |
| Component (if any) |
| Office |
| Title |
| Email Address |
| Mailing Address |
| Phone Number |

**Section One:**

**Electronic Records Management for Permanent Records (1.1):** *By December 31, 2019, all permanent electronic records in Federal agencies will be managed electronically to the fullest extent possible for eventual transfer and accessioning by NARA in electronic format. By December 31, 2013, each agency will develop and begin to implement plans to achieve this transition. Agencies should also consider the benefits of digitizing permanent records created in hard-copy format or other analog formats (e.g., microfiche, microfilm, analog video, and analog audio).*

1. Describe how your agency’s permanent electronic records are currently captured, retained, searched, and retrieved.

2. Describe any plans to digitize permanent records currently in hard-copy format or other analog formats.

3. Describe your agency’s plans to manage all permanent electronic records in electronic format by December 31, 2019. Report must address how the plans will be implemented including:

* use of contracted services, procurements, related budget requests with details on how these will help meet the 12/31/2019 target date
* changes that have already been and/or will be made to recordkeeping practices with details on how these will help meet the 12/31/2019 target date
* a list of major milestones with dates that show steps towards meeting the 12/31/2019 target date
* what electronic formats will be used, whether they are native formats, and if they are open source or proprietary

4. Describe any challenges your agency faces in achieving this goal. Are there any areas where NARA could assist your agency including changes to official NARA guidance, training, or other avenues?

**Section Two:**

**Electronic Email Management (1.2):** *By December 31, 2016, Federal agencies must manage all email records in an electronic format. Email records must be retained in an appropriate electronic system that supports records management and litigation requirements (which may include preservation in-place models, including the capability to identify, retrieve, and retain the records for as long as they are needed).*

*Note: If your agency is implementing the Capstone approach to permanent email messages, other email messages designated as temporary records must still be managed appropriately.*

1. Describe how your agency’s email records are currently captured, retained, searched, and retrieved.

2. Describe how your agency identifies temporary and permanent email records and preserves long-term and permanent email records.

3. Describe how the authorized disposition is applied at the end of the appropriate retention period for temporary and permanent email records.

4. Describe your agency’s plans to manage all email records in electronic format by December 31, 2016. Report must address how the plans will be implemented including:

* use of contracted services, procurements, related budget requests with details on how these will help meet the 12/31/2016 target date
* changes that have already been and/or will be made to recordkeeping practices with details on how these will help meet the 12/31/2016 target date
* a timeline of major milestones that show steps towards meeting the 12/31/2016 target date

5. Describe any challenges your agency faces in achieving this goal. Are there any areas where NARA could assist your agency including changes to official NARA policy, guidance, or training?

**Section Three:**

**Use of Cloud Computing Services (A4.1):** *By December 31, 2013, NARA will incorporate into existing reporting requirements an annual agency update on cloud initiatives, including a description of how each new initiative meets Federal Records Act obligations and the goals outlined in this Directive. For the initial report the agency will identify any existing use of cloud services or storage, and the date of implementation.*

1. Describe your agency’s cloud environment or any cloud initiatives for your agency. (Note: If your agency does not currently have any cloud initiatives and does not have any future plans, please indicate this in the report.)

2. Describe how records management controls are incorporated into your agency’s cloud environment.

3. Describe your agency’s future plans to expand current use or implement additional cloud computing, and include recordkeeping functionality.

4. Describe any challenges your agency faces in achieving this goal. Are there any areas where NARA could assist your agency including changes to official NARA policy, guidance, or training?