



*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 Christinia Thomas
- Position title Chief of Staff (A)
- Address 90 K St. NE, Suite 200, Washington, DC 20002
- Office telephone number (202) 418-9818

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

The National Indian Gaming Commission

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

In 2017, the NIGC Records and Information Management (“RIM”) Program conducted multiple, agency-wide inventories of the NIGC’s electronic storage sites and had consultations with relevant business units about the reorganization of the NIGC’s e-document archives. These activities took place within the context of the NIGC’s ongoing project to renovate the NIGC’s 1997 paper-based record schedules and obtain NARA approval for the disposition of electronic records. As of December 31, 2017, the NIGC had obtained NARA approval for 12 of its 15 new e-schedules.

In the summer of 2017, new and comprehensive RIM trainings were rolled out across the agency. These trainings included an overview of lifecycle management of electronic records and discussions of draft electronic recordkeeping policies.

In 2017, the NIGC completed the integration of its email system with an email management platform that now enables the agency to conduct fully functional search and retrievals across all agency emails and email archives with de-duplication, formatting and packaging capabilities built-in.

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

Not applicable. In 2017 the NIGC updated all of its agency-specific record schedules and no longer maintains analog records. The NIGC has established procedures for the expeditious digital conversion of the small number of analog documents that it may continue to create and receive.

- 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

In late 2017, NIGC leadership made the decision to integrate the FOIA Response Office into the RIM Program. This decision was based on the fact that the RIM Program was better positioned than the FOIA Office to effectuate records searches and interface with requesters about agency records holdings. In making this decision, NIGC leadership has streamlined the FOIA response process and consolidated agency functions. As a result, FOIA response times have dramatically decreased and resources that were previously burdened by FOIA duties have now been redirected to tasks that urgently need support.

- 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

NIGC leadership has identified records and information management as an agency priority and this has been communicated to division directors.

In anticipation of the agency's transition to electronic recordkeeping, the RIM Program was moved into the Division of Technology and staffed with personnel who are knowledgeable of not only federal electronic recordkeeping requirements but also the technology that will be vital for fulfilling these requirements. As part of the IT Division, the RIM Program manager works with the Director to identify software (most recently, an email repair add-on) that the Program needs to efficiently perform its duties.

In 2017, the RIM Program was allocated funds for the development and deployment of agency-wide comprehensive RM trainings. These trainings communicated the agency's vision of records management, elevated employee RM knowledge and skills, and instituted a consistent agency-wide approach to NIGC records management. As a show of support, the NIGC Chairman volunteered to be the first trainee and directed all business units to make arrangements to follow.

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

The NIGC is in the process of updating all of its agency policies. Draft updates include incorporating new policies that require 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.

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

The NIGC is in the process of finalizing a budget that will allow the IT division to make IT hardware upgrades that will enhance the security and reliability of the NIGC IT network. Components will be added to enhance oversight and management of records and they will integrate with those components already in place that provide access, search and irretrievability of information. Because the new systems will be web-based, they will be less reliant on proprietary formats and better ensure that NIGC can handle electronic records across their maintenance lifecycle stages and transfer those permanent records to NARA in acceptable format.

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)