

Provide the following information (required):

Name of SAORM: Diana J. Veilleux

Position title: Chief, Legal, External Affairs and Performance Branch,  
Program Counsel Division

Address: 1201 New York Avenue, NW, Washington, DC 20005

- 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.**

*Please provide list:*

This report covers all U.S. Office of Government Ethics (OGE) offices.

- 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:*

OGE manages all permanent records in an electronic format in an authorized electronic recordkeeping system or application.

- 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

*Please explain your response:*

OGE has issued an agency-wide records management policy in accordance with the Federal Records Act, 36 CFR Chapter XII Subchapter B, and guidance issued by the National Archives and Records Administration (NARA) and Office of Management and Budget (OMB). The OGE Records Officer has provided guidance and training for all OGE personnel on how to manage permanent and temporary electronic records.

Additionally, the OGE Records Officer has issued guidance on managing records in electronic recordkeeping systems to ensure the system meets the universal ERM 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

*Please explain your response (include specific goals and example metrics):*

OGE has already fully transitioned to electronic recordkeeping to comply with the December 31, 2022 deadline for NARA's acceptance of paper records.

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

Yes

No

*Please explain your response:*

OGE develops in-house systems and applications to manage its records; therefore, OGE has not used General Service Administration 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

*Please explain your response:*

As the OGE Senior Agency Official for Records Management, I continue to work closely with the OGE Records Officer to ensure OGE Senior Officials are aware of their records management responsibilities when entering and exiting federal service at OGE. The OGE Records Officer conducts records management briefings for all incoming OGE Senior Officials which includes guidance on documenting their public service, email management including use of personal email, and other recordkeeping requirements.

Additionally, the OGE Records Officer briefs outgoing OGE Senior Officials on their records management responsibilities when departing from the agency to ensure their records are properly captured prior to their departure. OGE Senior Officials are also required to complete annual records management training.

**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

*Please explain your response:*

As the OGE Senior Agency Official for Records Management, I ensure that OGE's Records Management program efficiently and appropriately complies with all applicable records management statutes, regulations, NARA policy, and OMB policy. I ensure that OGE's Records Management program has the support and resources it needs to be successful by:

- Designating a Records Officer to implement the agency-wide records management program.
- Obtaining support from OGE Senior Officials for records management functions.
- Ensuring records management is addressed in OGE's strategic plan.
- Working closely with the OGE Records Officer to ensure records management policies, procedures, and guidance are developed and issued to effectively manage OGE records.

- Ensuring OGE staff including OGE Senior Officials comply with OGE's Records Management program.
- Ensuring that records, regardless of media type, are fully accessible and retrievable for as long as needed to conduct agency business.
- Ensuring disposition schedules are submitted to NARA for approval and upon NARA's approval the disposition schedules are implemented agency-wide.

**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

*Please explain your response:*

As the OGE Senior Agency Official for Records Management, I work closely with the OGE Records Officer to ensure that all OGE staff including OGE Senior Officials and contractors receive records management training on their recordkeeping responsibilities. The OGE Records Officer provides annual records management training which includes the records management training requirements outlined in NARA Bulletin 2017-01. Additionally, the OGE Records Officer conducts briefings for OGE Senior Officials and issues guidance for all staff including contractors on how to properly manage records.

**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

*Please explain your response:*

As the OGE Senior Agency Official for Records Management, I have worked with the OGE Records Officer in evaluating OGE's records management directives, policies, procedures, and retention schedules. As a result of the evaluation, OGE has updated its records management policy, issued new records management guidance and procedures to incorporate new work processes, and developed media neutral schedules for approval by NARA. OGE has also developed new file plans for each division/branch to ensure records are properly managed in accordance with records management policies, procedures, and retention schedules.

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

Yes

No

*Please explain your response:*

OGE has already successfully transitioned to fully electronic recordkeeping.