



Senior Agency Official for Records Management 2019 Annual Report

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats, and to identify best practices and model solutions within Federal agencies.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 rmsselfassessment@nara.gov. Include the words "SAORM 2019 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):

- **Jennifer Li**
- **Chief Information Officer**
- **2300 Clarendon Blvd., Suite 500, Arlington, VA 22201**

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.**

American Battle Monuments Commission (ABMC).

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
 No

Currently, most of our permanent records are being created and maintained electronically. We recently hired a new records officer, and he will begin work on developing strategic plans—including inventorying electronic-systems, drafting records disposition schedules, and updating policy and guidance—to ensure we meet full compliance as quickly as possible.

For email: ABMC recently completed and submitted NA Form 1005 to NARA to identify Capstone designees and to receive approval to use the Capstone approach for managing permanent email records.

3. **Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

- Yes
 No

Currently, most of our permanent records are being created and maintained electronically. The digitization of legacy paper files will be addressed as we move forward with developing our agency's strategic plans.

4. **Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)**

- Yes
 No

Currently, most of our temporary records are being created and maintained electronically. We recently hired a new records officer, and he will begin work on developing strategic plans for handling legacy paper records—especially long-term temporary holdings.

For email: ABMC recently completed and submitted NA Form 1005 to NARA to request approval for using the Capstone approach for managing email records, and in that submission, we proposed maintaining non-Capstone or temporary email records for a 7-year retention period.

- 5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

- Yes
 No

ABMC recently hired a new records officer who will work closely with the SAORM on creating strategic plans and performance goals to ensure that the agency's records management program complies with the Federal Records Act.

- 6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

- Yes
 No

The ABMC does not have agency-operated records centers.

- 7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

***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 ABMC currently has procedures in place that require an exit interview for all departing officials.

- 8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

- Yes
 No

As a small agency with limited resources (including funding), ABMC faces some challenges in meeting compliance with total electronic recordkeeping. For instance, as a very decentralized organization with many over-seas field sites, we have experienced inconsistencies with how records management has historically been performed across the organization. In addition, many ABMC records series and systems remain unscheduled, and disposition schedules will need to be developed and approved.

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

- Yes
 No

Please provide details on what support is needed: