



## *Senior Agency Official for Records Management 2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 [rmselfassessment@nara.gov](mailto:rmselfassessment@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
- Position title
- Address

**Robert McCarty**  
**Chief Financial Officer**  
**Corporation for National and Community Service**  
**250 E Street SW, Suite 300**  
**Washington, DC 20525**

- 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.**

Corporation for National and Community Service – entire agency.

- 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:*

CNCS has implemented SharePoint, a software application that will be used as a framework that allows each business units across the agency to store the agency's data assets. The Office of Information Technology is currently configuring a 'Records Center' within SharePoint as our electronic records management system. While initial configurations have been completed (to include schedules, CUI categories, and other metadata fields), further configuration of work-flows and testing are required.

Improved tracking of permanent records (to include detailed record logs) is in place and offices are aware of the requirement to move forward with electronic formatting archived hardcopy records. All new/current records are being converted (if not originating) into an electronic format. Efforts continue in reviewing older hardcopy permanent records stored onsite to ensure they are prepared for accessioning to NARA.

The Records Manager holds weekly meetings with designated staff members from the Office of Information Technology to further develop specific goals and milestones for finalizing the configuration and implementation of 'Records Center' with focusing on training and submission of permanent electronic records to NARA to meet requirements in M-12-18, Goal 1.1.

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:*

CNCS has taken several steps to ensure our agency plan aligns with the criteria and requirements in the guidance shared by NARA in March 2018. CNCS has updated its Records Management Policy and Procedures and in its new employee training guidance and resources, to highlight the agency's concerted move towards permanent electronic records management. The agency has also updated several its records schedules and are continuing as required by NARA to reflect our focus on improving our electronic records management process.

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):*

While concrete milestones are still to be inserted into our agency plan, it is the agency's goal to review remaining permanent hardcopy records and prepare them for accessioning to NARA by the end of the 2019 calendar year. Currently the agency is nearly complete in reviewing all field office location records (both hardcopy and electronic), transferring all hardcopy records to a FRC/NARA, and digitizing active records. Additionally, offices are reviewing existing permanent hardcopy records that remain onsite.

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

Yes

X No

*Please explain your response:*

CNCS is not using GSA to procure solutions to assist in transitioning to Electronic Format. If the level of effort is deemed greater than currently understood, CNCS will consider conducting a Request for Information. CNCS is using in-house resources and contractors within our Office of Information Technology and Office of Facilities and Support Services to develop our electronic records management system, update/conduct training, and plan for roll-out and implementation with staff.

**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:*

Training and resources exist for the agency records management program (to include records management training, new employee orientation, and privacy training), however procedures that specifically target senior officials are still under development. Existing training and policies include a focus on the documentation of public service, use of personal email and other recordkeeping requirements, however, the agency is still in the development stage of designing specific training resources and guidance for senior officials.

**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](#))**

- X Yes  
 No

*Please explain your response:*

The SAORM assists in supporting and pushing down guidance and requirements to staff, provides input into the records management program and associated policies, and supports the agency Records Officer with resource needs.

- 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:*

Existing training and policies include a focus on the documentation of public service, use of personal email and other recordkeeping requirements. CNCS is still developing specific training resources for senior officials.

- 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:*

The SAORM has supported the evaluation of the records management program and has supported mitigation and action strategies to address areas of potential weakness. The SAORM has support the annual review/updating of the agency Records Management Program and associated policies/procedures, the development and updating of agency records schedules, as well as large records related projects associated with the implementation of agency transformation and regionalization plans.

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

Yes  
 No

*Please explain your response:*

As we transition to our Electronic Records Management System, we anticipate that some changes may lead to a change or slight increase in each staff member's responsibilities in managing records. We recognize that NARA can assist us in strengthening our program by sharing with us its best practices guidance, tools and expertise in setting up a records

management system. NARA could also help the agency by sharing NARA's established benchmarks and lessons learned from assisting other agencies in creating a robust records management program. CNCS also solicits NARA support and expertise with helping to establish the agency's SharePoint Records Center to help support the best way to configure of our records management electronic system and to make it as user-friendly as possible.