



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):

- Name of SAORM:
- Position title
- Address
- Office telephone number
- Email

Scott Hefter
Chief Operating 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 managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
 No

Please explain your response:

No, not all permanent records are being maintained electronically. While new records are being converted (if not originating) into an electronic format, efforts continue in the review of older hardcopy permanent records stored onsite to verify they are scheduled as permanent records and are then being properly prepared for accessioning to NARA.

- 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

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

CNCS is implementing Records Center in SharePoint to store the agency data assets. The Office of Information Technology in concert with an Electronic Records Working Group to configure Records Center to support agency electronic records management needs. While initial configurations have been completed (to include schedules, CUI categories, and other metadata fields), further configuration of work-flows and testing are required.

New 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 Electronic Records Working Group participate in bi-weekly meetings 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-19-21, Goal 1.2.

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

Yes

No

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

CNCS is implementing Records Center in SharePoint to store the agency data assets. The Office of Information Technology in concert with an Electronic Records Working Group to configure Records Center to support agency electronic records management needs. While initial configurations have been completed (to include schedules, CUI categories, and other metadata fields), further configuration of work-flows and testing are required.

New 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 Electronic Records Working Group participate in bi-weekly meetings to further develop specific goals and milestones for finalizing the configuration and implementation of 'Records Center' with focusing managing all temporary records in accordance with M-19-21, Goal 1.3.

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

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

Training and resources exist to inform and implement the agency records management program (to include policy, procedure and training) that support the Federal Records Act and its regulations, however the agency needs to make progress in 2020 in incorporating goals, objectives and measures into larger agency planning (to include strategic planning) to ensure those regulations are met.

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

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

CNCS does not have any 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

Please explain your response (include specific details of procedures):

Yes, though not fully. Agency has procedures that ensure records of outgoing Senior Officials are properly captured and processed however additional

procedures/implementation is needed to ensure those records are not improperly removed from eth agency. 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.

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

Yes

No

Please explain your response (include details of specific challenges, if applicable):

Staffing resources were a challenge in 2019 as the agency Records Manager position was vacant for half of the year. The agency continues to make progress in hiring to ensure the void in records management program coordinate support is addressed.

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:

As we transition to our Electronic Records Management System, we anticipate that some changes may lead to a slight increase in each staff member's responsibilities in managing records. We recognize that NARA can assist us in strengthening our program by sharing 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 further support the establishment of Records Center to ensure implementation is thorough and the user experience is positive.