



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):

- Mr. Glenn Sklar
- General Manager
- 625 Indiana Avenue, N.W. #700, Washington, D.C. 20004

- 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: The Defense Nuclear Facilities Safety Board (DNFSB) is an independent agency, and all components are covered in this report.

- 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: The DNFSB implemented a solution to manage permanent e-mail records in the government cloud. The DNFSB's E-mail managed under Capstone Approach was approved January 25, 2017, and has been subsequently implemented. Permanent email records generated by officials identified in the Capstone approach are retained electronically. Additionally, the DNFSB Electronic Records Management Working Group was established in 2019 to meet and regularly determine the best solution for managing permanent and temporary electronic records which fall outside of the e-mail system.

- 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): Progress was made in 2019 and is gaining more traction in 2020. The following steps are in progress to meet the goal of managing all permanent records electronically with appropriate metadata by 2022: Agency stakeholders have been identified, research has begun to identify, procure, or build products with the ability to pull metadata, the agency has an Electronic Records Working Group that has reached out to other agencies to share information and learn best practices. This group had a meeting with

a similarly-sized agency where the group observed a helpful demonstration and had a helpful Q&A session. The IT department also continues to explore storage solutions.

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): Progress with temporary records is closely aligned with the progress made with keeping permanent records electronically in 2019, and continues in 2020. The following steps are in progress to meet the goal of managing temporary records electronically: agency stakeholders have been identified, employees receive annual records management refresher training, and the Agency Records Officer is available for any questions related to temporary records and schedules.

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): The agency has a designated Senior Agency Official for Records Management (SAORM) who is responsible for ensuring the agency complies with all applicable statutes. The agency has a designated Agency Records Officer (ARO) who will complete the new required AROC training as soon as it is available from NARA. All employees receive annual records management refresher training, and this year will mark the first year the agency has developed an online module in conjunction with NARA. Records Liaisons and Records Custodians receive additional guidance in their roles from the ARO. The agency transferred all permanent records to NARA in 2019, and the agency has an internal auditing program to review departmental file plans against records schedules to plan for disposition if necessary. The agency has established an Electronic Records Working Group that meets regularly to discuss various areas including updating business practices as the agency transitions to electronic record-keeping and workflows, where applicable.

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 (N/A)
 No

Please explain your response (include specific goals and example metrics): Not Applicable, the agency maintains no 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): Senior officials are briefed by the Records Manager when they on-board and are provided a link to NARA's training. Senior officials also receive annual RM refresher training. Additionally, the senior officials are interviewed prior to their planned departure to ensure records are appropriately captured and stored. Finally, during the exit process, the senior official is required to sign a Records Management Exit Checklist, which must also be signed by their manager (if applicable) before the Records Manager clears their departure on the exit form.

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): The agency will have to use a third-party solution in the event current cloud services cannot be used. The agency is actively seeking solutions and believes it will find services/vendors in time to meet the goal, but a small risk remains.

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: None identified at this time other than the guidelines and standards by NARA, including any changes to current requirements.