



## *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: Vaughn Noga
- Position title: Deputy Assistant Administrator for Environmental Information and Chief Information Officer
- Address: U.S. EPA Headquarters, William Jefferson Clinton Building, 1200 Pennsylvania Avenue, N.W., Mail Code 2810A, Washington, DC 20460

- 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:* Environmental Protection 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:*

EPA continues to work with owners of electronic information systems to ensure permanent electronic records are scheduled and transferred per instructions in the approved records schedules. To date, there are 32 EPA electronic information systems containing permanent records, and EPA tracks and assists headquarters program and regional office contacts with transfers of data from these systems to NARA.

Two other major EPA records collections containing permanent records, the Federal Docket Management System (FDMS) and the Superfund Enterprise Management System (SEMS), are in the process of implementing or developing records management modules in their electronic systems. FDMS has a NARA-approved records schedule; a records schedule for SEMS will be resubmitted to NARA in CY 2019.

EZ Desktop Records was developed for non-email electronic records and implemented agency-wide in CY 2018. EZ Desktop Records allow EPA staff to easily transfer records on their desktop computer to the Agency's record repository (Enterprise Content Management System).

To help identify any gaps, EPA sent a data call to the headquarters program offices and regions asking them to review the current list of permanent records to determine if there were any permanent electronic records that are not currently being captured in an electronic recordkeeping system. The results will be used to help determine the most efficient method for managing and eventually transferring the records to NARA in an electronic format.

**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:*

EPA has communicated to all staff, the Office of Management and Budget (OMB) and the National Archives and Records Administration's Managing Government Records Directive goal that by December 31, 2019, all permanent electronic records in federal agencies will be managed electronically, to the fullest extent possible, for eventual transfer and accessioning by NARA in an electronic format.

EPA requires electronic systems to be registered in the Agency's Registry of EPA Applications, Models and Data Warehouses (READ), which is the authoritative source of information about EPA electronic information resources. Each information resource has a record in READ that identifies if it is an application/system or a model. The record also includes basic information about the resource such as the title, acronym, description, contact information and organization that owns or operates it. More detailed information is also available, such as whether the resource supports a particular federal statute and, in the case of an application/system, how the application/system conforms to the Enterprise Architecture (EA). Life cycle information, user types, and access information are also included.

EPA's National Records Management Program has made it a requirement that the appropriate records schedule that applies to each system also be included in READ. The database is updated with new systems on an ongoing basis and reviewed to ensure that the records schedules assigned are accurate and that permanent records are transferred to NARA in accordance with the records schedule.

In late 2018, EPA commissioned a cross-Agency workgroup to develop a plan and make recommendations for meeting the December 31, 2019, goal as well as NARA's 2018-2022 Strategic Plan goal that by December 31, 2022, Federal Records Centers will no longer accept records in analog format, to the fullest extent possible. With these goals in mind, EPA developed an Agency-wide data call and inventory with several objectives, one of which is to ensure that permanent electronic records are identified and managed electronically.

**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):*

EPA's National Records Management Program (NRMP) formed a 2019/2022 Workgroup in 2018 to develop a strategy and make recommendations to meet OMB's and NARA's Managing Government Records Directive and the NARA's 2018-2022 strategic plan goal of no longer accepting paper records at Federal Records Centers after December 31, 2022.

EPA seeks to accomplish the following goals at the end of this initiative:

- Ensure that all permanent electronic records are managed electronically for eventual transfer and accessioning by NARA in an electronic format;
- Ensure that all closed/eligible permanent and long-term temporary analog records are transferred to the Federal Records Center with adequate lead time before December 31, 2022;
- Estimate the volume of paper records maintained in offices that may require digitization; and
- Ensure that all permanent records comply with NARA transfer standards starting in CY 2023.

**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:*

The EPA is currently using Documentum as its Agency-wide records repository and evaluating this and other technologies for use in the future. In CY 2018, EPA worked with the GSA to conduct market research to understand electronic records management capabilities that may be available under the GSA Schedule 36, Special Item Number 51 600, related to Electronic Records Management (ERM) Solutions.

A detailed statement of objectives was developed outlining desired requirements for EPA's future enterprise records management (ERM) solution. In addition, EPA hosted an Industry Day on November 28, 2018, and invited staff from across the Agency who are involved in records management to talk with prospective vendors and view demonstrations of new ERM solutions.

**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:*

All incoming and outgoing senior officials are required to receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements. These briefings help ensure that they are aware of their records management responsibilities and that the records they will create and have created during their tenure are captured in a recordkeeping system.

All outgoing EPA personnel, including senior officials are required to complete an EPA Records Management Checklist for Separating/Transferring or Separated Personnel, EPA Form 3110-49, when they separate from the Agency or transfer within the Agency. This checklist helps ensure that the records created during an employee's tenure are appropriately identified, saved in a recordkeeping system and maintained according to the appropriate EPA Records Retention Schedule.

Additionally, all EPA personnel, including senior officials are required to take mandatory records management training. This training includes guidance on all records management responsibilities.

**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 SAORM, I have worked with multiple agency offices to ensure that records management requirements are addressed as the Agency migrates email from its previous on-premises email system to its current cloud-based email system. In CY 2018, I also supported the Agency's efforts to implement the Capstone approach for managing email records beginning in early CY 2019. I have also championed the creation of a cross-Agency workgroup to identify ways to improve the Agency's approach to records management.

- 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:*

All EPA personnel, including senior officials are required to take mandatory records management training annually. This training includes guidance on all records management responsibilities.

Additionally, training for Records Liaison Officers (RLOs) and other records contacts is available, which covers records management roles/responsibilities, records management requirements, and the use of NARA's Archives and Records Center Information System (ARCIS) and Electronic Records Archives (ERA).

- 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:*

EPA's National Records Program ensures that records management policies, procedures, and retention schedules are being properly implemented by encouraging awareness and use of the Agency Records Management Policy and records retention schedules, as well as by convening periodic meetings with RLOs and other records contacts. In addition, the Agency advances the

implementation of records management policies, procedures, and retention schedules by providing annual mandatory online records management training to all EPA employees.

Finally, RLOs and records contacts across the Agency have access to Enterprise Content Management System (ECMS) usage statistics through Qlik dashboards. Qlik currently displays active user and usage information and can show who is saving email versus desktop records. In addition, regular checks of the ECMS system logs are performed, which can be used to track various records management activities.

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

- Yes
- No

*Please explain your response:*

NARA's continued commitment to support agencies with expert advice on policies, procedures, guidance and technology issues is invaluable in ensuring a successful transition to fully electronic recordkeeping.

As the federal government progresses toward fully electronic recordkeeping, it is critical that NARA allows for the transfer of permanent records electronically over the Internet for accessioning into the Archives.