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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 rmselfassessment@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):

- Yao-Chin Chao
- Assistant Secretary
- 20th & C St., NW, Washington, DC 20551

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:

   Federal Reserve Board

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

   X Yes
   ☐ N o

   Please explain your response:

   The Board has met this goal.

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)**

   X Yes
   ☐ N o

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

   All current permanent electronic records are maintained in electronic format with appropriate metadata. Legacy permanent paper files are being digitized.

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

   X Yes
   ☐ N o

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

The Board continues to work towards this goal and most current temporary records are managed in electronic format.

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)**

   X Yes
   ☐ N o

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

   Each year the Records Management Program (RMP) establishes its objectives, goals, and performance measures to meet the mission of the RMP. The RMP uses a dashboard to track progress on the work.

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)**

   ☐ Y es
   ☐ N o

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

   Not applicable

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.

   X Yes
   ☐ N o

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

Senior officials receive tailored incoming and outgoing briefings on records management. All other officers, managers, and staff receive a records management briefing as part of new employee orientation. All departing employees must review the Board's policy on Removal or Disposal of Board Information by Departing Personnel and confirm in writing that they have read and complied with the policy.

At the Board, the division records liaisons contact the RMP when a senior official is preparing to retire or leave the Board so that a briefing and special assistance can be provided.   RMP staff brief the outgoing official on his/her responsibilities and assist the outgoing official with the review of materials to identify which records to transfer to successors, nonrecords that may be destroyed, records eligible for destruction, and records to be transferred to the RMP for preservation. The RMP will also review any materials the official requests to take with him or her when departing to ensure it does not contain Board records or nonpublic Board information.

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

   Yes
X No

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

The Board is working towards this goal.

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

☐ Y es
X No

Please provide details on what support is needed: