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 related records management initiatives.

The reporting period begins on <u>January 13, 2020</u>, with reports due back to NARA no later than <u>March 13, 2020</u>[1].

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

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[1] Submission date extended to April 15, 2020.

NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

Gisile Goethe
Director, Office of Resource Management
Federal Retirement Thrift Investment Board
Suite 1000
77 K Street, NE
Washington, Dc 20002

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 FRTIB is a small agency, this report will cover all offices within the agency.

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

   ☐ Yes
   X No

   Please explain your response:
   The FRTIB Records Management Branch is engaged in a series of projects to move to managing all permanent records in electronic format. We are in the process of digitizing permanent records housed here at the FRTIB before transmittal to NARA. Our last project will include the procurement of an ERMS, however we are exploring options that might meet this requirement as our technology staff procure cloud based desktop applications and we gather cost estimates for single ERMS. Our goal is to have both permanent and temporary records converted by December 31, 2022.

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
 X No

Please explain your response (include specific goals and example metrics):
We have not coordinated the work to cover metadata with our CIO staff. However, CIO contractors have done some work through SharePoint team's document center to automate metadata between its Libraries and Document Registry. The CIO staff are also working with Azure team has identified metadata tags that they plan to use as we change operation platforms.

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

☐ Yes
X No

Please explain your response (include specific goals and example metrics):
The FRTIB has scheduled management of temporary records in electronic format as part of the larger agency records management project, after transition to managing permanent records electronically. Our goal is to have both permanent and temporary records converted by December 31, 2022.

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
☐ No

Please explain your response (include specific goals and example metrics):
Although not incorporated into agency strategic plans, the records management program is prioritized and given resources to coordinate and implement as part of an agency-wide project. An element of project planning now includes establishing measurable performance objectives that will indicate if we are meeting our goals. We are working on establishing measurable objectives that would appropriately indicate the agency has processes in place that indicate compliance with the FRA.

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
 X NA

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

The FRTIB does not have 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.

   X Yes
   ☐ No

   Please explain your response (include specific details of procedures):
   Yes, these procedures are captured in the Agency's Records and Email Management policies and procedures which include coordination with agency IT services and Records Management Staff.

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

   X Yes
   ☐ No

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

   Agency challenges are associated with mission related operations. We expect to mitigate future issues during the selection and post transition to a new TSP record keeper. Our goal is to have electronic records management in place by December 31, 2022.

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

   ☐ Yes
   X No

Please provide details on what support is needed: