



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. 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 – Terrell Dorn
- Position title – Managing Director/Chief Agency Privacy Officer
- Address – 441 G Street, NW, Washington DC 20548

- 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:

Government Accountability Office

- 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:

We have had an electronic records management solution at GAO since the late 1990s. Our system is the official records repository for the agency and all records are maintained within the system. Our system handles all temporary and permanent agency records. All of our recent records are accessible, retrievable, electronically stored, maintained and disposed of in this tool. We have the capability to transfer permanent electronic records to NARA when the retention ends.

- 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:

We have funded a digitization project for the GAO Historical Collection to begin in FY19.

- 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:

We will continue to develop a plan to assess, digitize and eliminate paper records in accordance with the Administration's Reform Plan and Reorganization Recommendations.

- 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:

Our agency utilized GSA Schedule 36 to procure a multi-year Document Destruction contract in FY17 and digitization contract to evaluate vendors for the scanning in FY19.

- 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:

When new executives are hired, we provide them with an overview of their records and privacy obligations. They are also trained on the use of our Agency-wide electronic records management solution, DM/ERMS. We conduct regular DM trainings throughout the year in order to provide additional understanding of GAO's records and where they are housed and retrieved in this tool. The use of DM is part of everyone's core competencies at GAO and is mandatory. All emails of our senior executives are ingested from Outlook and housed in a product called Archive Manager because they are permanent records.

For separating employees, we use our separation checklist for how to handle agency records before their departure. We also ensure that database access to DM/ERMS and other business databases is passed along to their successors.

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:

GAO has an Electronic Records Management System to manage all unclassified agency records. Part of our strategic direction is to replace or evaluate upgrades to the current system. Additionally, we periodically evaluate the Records Management (RM) Standard Operating Procedures and Orders. We have a Records Liaison Officers program and regularly share information regarding new NARA and GAO initiatives. There is also a mandatory annual RM training requirement, and we encourage NARA and other external training opportunities for our team. The RM program has the support of senior management including the Comptroller General and General Counsel.

- 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:

The GAO Records Program provides annual mandatory online training to all employees and contractors on records management responsibilities. Sections on records responsibilities for each employee are also contained in the newly revised and adopted GAO Records Management Order. We provide mandatory briefings to all new hires. All employees and contractors meet with Records Management staff to discuss their records responsibilities upon separating from the agency. In addition:

- Most of the Records Management staff has completed the NARA Records Certification Program.
- We offer specific briefings to Records Liaison Officers.
- GAO provides role-based training to senior agency officials (and to our one political appointee, the Comptroller General) both upon entry and exit.
- Our Records Management Program Intranet page provides information on records management responsibilities and offers a variety of informational resources.
- Records Management staff provides desk-side trainings to teams upon request.
- Records Management staff collaborates with attorneys in the General Counsel's office to provide information and briefings on records retention and obtain legal advice.
- Records Management staff collaborates with COOP personnel to identify vital records and discuss emergency records preservation methods.

- 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:

At GAO, we have implemented the requirements of the Federal Records Act. The Records Management Program at GAO is audited by two internal entities approximately every three years, and the components outlined in the SAO's responsibilities are many of the items that are examined during the internal audits. We have periodic reviews of our Orders and standard operating procedures to ensure policies are being implemented.

Additionally, we have a NARA approved big bucket schedule and provides training and guidance on all facets of the records management program.

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

Yes

No

Please explain your response:

NARA could continue to assist by providing additional communication, guidance, and implementation assistance for agencies to prepare for the 2022 decision to curtail receipt and storage of paper records.