



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):

- Name of SAORM
Bob Stafford
- Position title
Chief Administrative Services Officer and Senior Official for Records Management
- Address
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WASHINGTON DC 20405-0001

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.**

This report covers the General Services Administration, which includes the Federal Acquisition Service and the Public Buildings Service. No portion of GSA will be reporting separately.

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:

GSA is managing all permanent electronic records in an electronic format. GSA has implemented an electronic document management system (EDMS) over the past several years, migrating data and records from legacy systems. The EDMS system will be a staging area for permanent records prior to accessioning to NARA.

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):

As GSA migrates more permanent records into EDMS, we are simultaneously identifying and including appropriate metadata in response to NARA's 2019 transfer guidance.

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):

The vast majority of GSA records are created digitally. In addition to permanent records, GSA's EDMS system also includes temporary records, staging them prior to appropriate destruction according to their disposition authority. The SAORM also regularly coordinates with GSA's Chief Information Officer (CIO) to discuss electronic records issues. Members of the records management program work closely with regions ensuring the continued progress towards the goal of complete electronic recordkeeping.

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):

As the director of GSA's Office of Administrative Services and as the SAORM, I regularly meet with other senior executives to ensure they have what they need to comply with our records management program requirements. When necessary, I provide staff resources to offices and regions that request help with the process. In FY18 and FY19, I sent records management staff to GSA regional offices to provide training and help with the records retention and disposal process. I have routine meetings with GSA's Chief Information Officer (CIO) to discuss electronic records issues the agency is working on and provide records management support to the CIO team that is implementing GSA's EDMS system. GSA's current Information Resources Management Strategic Plan includes records management as a goal and IT commitment ("Records management: Create and preserve records documenting the organization, functions, policies, decisions, procedures, and transactions of GSA and implement the full lifecycle of information management from creation or acquisition through its final disposition.")

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

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

This question is not applicable to GSA. GSA does not operate any 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):

The GSA Office of General Counsel trains incoming senior officials on records management responsibilities. GSA has training for exiting senior officials and a form that all employees must complete that addresses records before they separate from the agency. In FY19, GSA created on-demand training to offer for all incoming senior officials on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.

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 vast majority of GSA records are created digitally. To prepare for the December 31, 2022 deadline, the agency is developing an Electronic Records Management Strategic Plan with business line leaders and records management experts. The plan will include an inventory of the agency's electronic record holdings, along with a matrix of the appropriate Records Schedules for the holdings. This plan will be used to implement the agency's electronic records program. Our greater challenge is to manage the volumes of legacy paper records stored in filing cabinets and in boxes around the agency.

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

Yes

No

GSA is confident that our strategic plan regarding the transition to fully electronic recordkeeping will ensure a successful transition. We do look to NARA for continued guidance via NARA bulletins to clearly explain, in plain language, requirements and illustrations of what constitutes a "successful transition".