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 <u>March 11, 2019</u> with reports due back to NARA no later than <u>April 19, 2019</u>.

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: William J. Bosanko
Position title: Chief Operating Officer
Address: Archives II, 8601 Adelphi Road, Room 4200, College Park, MD 20740

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:
   • Office of the Archivist of the United States
   • Deputy Archivist of the United States
   • Office of Inspector General
   • Equal Employment Opportunity Office
   • National Historical Publications and Records Commission
   • General Counsel
   • Congressional Affairs Office
   • Office of the Chief of Staff
   • Chief Operating Officer
   • Office of Human Capital
   • Office of Innovation
   • Office of the Federal Register
   • Agency Services
   • Research Services
   • Legislative Archives, Presidential Libraries, and Museum Services
   • Office of the Chief of Management and Administration
   • Office of the Chief Acquisition Officer
   • Office of the Financial Officer
   • Information Services
   • Business Support Services

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)**

   X Yes
   ☐ No

   Please explain your response:

NARA's Corporate Records Management program (CM) created a baseline inventory of NARA's permanent records series. The inventory tracks actions needed for each permanent records series based on NARA's Success Criteria for Managing Permanent Records. In addition, NARA's Investment Review Board approved the utilization of currently available tools to meet Goal 1.1. Other activities include developing or updating policy and procedures, revising retention schedules, and working with offices to file permanent records in an acceptable repository.

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)?**

> X Yes
> ☐ N o

Please explain your response:

See above answer for #2. CM also developed an Electronic Records and Information Management (eRIM) Implementation Plan to address 2019, and 2022, goals.

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.*

> X Yes
> ☐ N o

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

CM addressed strategies and goals for 2019, 2022, and beyond in a Records and Information Management (RIM) Strategic Plan that aligns with NARA's Strategic Plan 2018-2022. CM used NARA's Records and Information Management Maturity Model as an outline for this plan to align strategies with key components of a Federal records program.
An example of a specific goal within the RIM Strategic Plan is Goal 3: Improve the RIM program through development and implementation of practices that cover the entire records and information lifecycle in an electronic environment and meet government

requirements and mandates. Objective: Ensure that all records are retained for the appropriate and approved period; and, are easily retrievable and made accessible in a timely manner for agency business. Strategies: 1) Develop file taxonomy and schema and 2) Revise records retention schedules to reflect full electronic recordkeeping by December 31, 2020. The metrics used for this Goal are monitored in NARA's Internal Controls Program where CM states "Monitor the revision of the NARA Records Schedule. For the quarter, CM will draft records dispositions covering 25% of records created under the file taxonomy's, Agency Mission category."

As a companion to the RIM Strategic Plan, CM created an Electronic Records and Information Management (eRIM) Implementation Plan to chart NARA's transition from its current, primarily manual records management program, to a fully electronic environment by developing and implementing a coherent set of policies and tools that support managing electronic records.

5. **Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

> ☐ Y es
> X No

Please explain your response:

At this time, we have not identified a need.

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.

> ☐ Y es
> X Changes were unnecessary (click [here](#) for your agency's 2017 report)
> ☐ N o, changes are being considered but have not been m ade
> ☐ N o

Please explain your response:

NARA has maintained the practice that all new senior and appointed officials are required to attend new employee orientation training, which includes a presentation on their responsibilities for managing records under their immediate control. They also are required to take a comprehensive records management-training module within 30-days of employment. Corporate Records Management staff are also involved in exit briefings and clearance processes for departing senior officials.

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*)**

    X Yes
    ☐ N o

    The SAORM has identified the financial, personnel, and technological resources necessary for a compliant RM program and is positioned to monitor investments in information technology that affect the management and preservation of records.

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*)**

    X Yes
    ☐ N o

    Please explain your response:

    To supplement our training for all staff, we are developing additional role-based training. CM has developed an outline for role-based training that includes All Staff, Executives and Capstone Officials, Managers and Supervisors, Information Management Officers and Records Custodians, Information Technology staff, Students/Interns, Contractors, Volunteers, and specific training for topics such as Managing Email. CM is working with the Organizational Development and Learning Division to implement training for these roles.

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?**

    X Yes
    ☐ N o

Please explain your response:

CM works closely with offices to monitor compliance. In addition, all CM functions, monitoring plans, indicators, and test results are reviewed and reported on a quarterly basis as part of NARA's Internal Controls Program. The controls in place are adequate and mitigate risks to ensure the records management program's objectives are achieved. In addition, the controls in place allow CM to meet its objectives and operate efficiently to protect against waste, fraud, and abuse; and are compliant with records management related laws, authorities, and regulations. Each program owner within Corporate Records Management provides an analysis of monitoring results for the three functions that align with the three goals in the RIM Strategic Plan.

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

    ☐ Yes
    X No

Please explain your response:

Prior to the 2022 deadline, it would be valuable to have additional guidance and tools based on realistic approaches to managing the vast amount of temporary electronic records. For example, ways to expedite the approval of non-granular records schedules for temporary records. Also, a standardized set of auditing tools for monitoring the management of electronic records would be useful, particularly if it defines risks and impacts for how those records are managed. Consider expanding or refining the Maturity Models as a way to facilitate these activities.