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):

- Name of SAORM   William J. Bosanko
- Position title   Chief Operating Officer
- Address   8601 Adelphi Road, 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:

   This report covers the management of all corporate (operational) records of the National Archives and Records Administration. There have been no changes from previous reports.

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:

   Google Shared Drives have been established for each permanent electronic records series. These drives will be crawled and the records ingested into a records management application to provide full recordkeeping controls.

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):

   NARA's Records and Information Management (RIM) Strategic Plan 2020-2022 includes a strategy to manage permanent electronic records with appropriate metadata by December 31, 2022.

When working on meeting Target 1.1 of M-19-21, Corporate Records Management (CM) conducted an analysis on file and system metadata to determine what was automatically captured and whether additional metadata would need to be created. CM reviewed NARA Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records and consulted with the Office of the Chief Records Officer. It was determined that no additional actions were needed at this time.

CM continues to monitor for changes in how metadata is captured as well as looking for any changes to NARA requirements or guidance. As additional activities are identified, CM will track and report progress via the internal controls program and reports.

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):

   In NARA's Records and Information Management (RIM) Strategic Plan 2020-2022, nearly all goals and strategies are focused on creating an electronic recordkeeping environment by December 31, 2022. Strategies include updating the NARA Records Schedule, transferring analog records to records centers, addressing training and staffing needs, ensuring systems have the capacity to manage records, revising policies, and analyzing tools and methods for electronic recordkeeping.

   Activities to meet the goals identified are monitored and reported quarterly in NARA's Internal Controls Program report. Controls include:
   # of analog accessions via ERA
   # of destruction requests including disposal notices from FRC
   # of electronic accessions via ERA
   # of electronic systems reviewed by CM that have incorporated controls for records
   # of transfers by ARCIS
   # of communications and outreach
   # of mandatory trainings completed
   # of policy related products created
   % of records schedules revised

   CM may also leverage the solution used to manage permanent electroinc records as a means to manage long-term temporary records.

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):

NARA continues to develop a robust records management program that complies with the Federal Records Act and its regulations. The Records and Information Management (RIM) Strategic Plan 2020-2022 addresses strategies to ensure agency records are appropriately retained, stored, and transferred according to their disposition schedules. Supporting activities are monitored via the internal controls program. (Example metrics are cited in #4.)

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):

N/A

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):

NARA has maintained the practice that all 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 and may receive additional training if they take part in the Supervisor/Manager training. Making sure that they are aware of these responsibilities

early in their appointment ensures that that are properly managing records throughout their tenure and not just at the end.

Corporate Records Management staff are also involved in exit briefings and clearance processes for departing senior officials.

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):

Resourcing and appropriately aligning responsibilities for full electronic recordkeeping is a challenge. A traditional records program, such as ours, usually does not have the budget or expertise to appropriately manage electronic records. Because the records program cannot do this alone, it will require close coordination with and support from other offices to successfully make the transition. In addition, additional investment is likely necessary. CM will maintaing policy and evaluation responsibilities within the records program even as greater involvement of other offices becomes necesesary.

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

X Yes
☐ No

Please provide details on what support is needed:

NARA is making great strides in supporting the government's move towards electronic recordkeeping such as the Federal Electronic Records Modernization Initiative. However, it would be good to see new ways to expedite the approval of non-granular records schedules for temporary records so that agencies can quickly provide records retention policies and requirements associated with information technology. 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.