NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

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 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 Linda Dent
- Position title Acting Deputy General Counsel
- Address 1775 Duke Street, Alexandria, VA 22314

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: National Credit Union Administration

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:

   The National Credit Union Administration (NCUA) has met this goal. The agency Records Management Program Instruction (agency-wide policy) requires offices and staff to conduct business electronically to the maximum extent possible. The NCUA has implemented Capstone for management of permanent and temporary email records and, in 2019, developed procedures for the transfer of Capstone official email to NARA in electronic format. Also in 2019, the agency developed an inventory of electronic information systems, and aligned the systems to the applicable records schedules. The NCUA confirmed that the agency will be able to transfer the permanent electronic records in agency systems to NARA in NARA's preferred or acceptable formats with required metadata. In 2019, the NCUA also developed procedures for the migration of records, including permanent electronic records, into new systems for long-term preservation. The agency also continues to expand the use of office file plans to manage permanent records in electronic format.

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):

Most of the NCUA's business processes are already electronic. Further, the NCUA's current multi-year Enterprise Solution Modernization (ESM) initiative is focused on modernizing mission-related electronic information systems. The new systems will provide more automation for the security and management of electronic records, including permanent records. As part of the ESM initiative, in 2019, Records program staff began work with agency stakeholders to develop a records schedule for the new Modern Examination and Risk Identification Tool (MERIT) system.

In addition, the NCUA is digitizing permanent paper records consistent with NARA's preferred file formats for scanned text, and adding required metadata to the records. In 2020, the agency plans to conduct an inventory of analog permanent records stored onsite to determine which records to digitize and which to send to Federal Records Centers prior to the end of 2022.

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

☒Yes
☐No

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

Please see the response to question 3. In addition, in 2019, Records program staff conducted its first records management effectiveness evaluation of a major program area. The evaluation confirmed proper management of records including electronic records. Records staff plan to evaluate at least one major program area annually.

The NCUA's planned modernization of its email system will also provide more robust records management capabilities. In the longer term, the NCUA is considering implementation of an Electronic Records Management (ERM) system, which will also provide more automation of records management.

Over the next two years, the NCUA will identify legacy analog records that the agency must retain past 2022, in order to send them to Federal Records Centers prior to the end of 2022. Records program staff will work with office Records Liaisons on this initiative. To support this effort, in 2020 the agency is providing ARCIS training for Records Liaisons.

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):

The NCUA's records management program utilizes performance goals and measures to help ensure the program complies with legal requirements and meets business needs. The program utilizes NARA's annual Records Management Self-Assessment to measure program maturity, identify areas for improvement and develop performance goals and measures.

In 2019, one goal was to confirm that the agency managed all permanent electronic records in electronic format for transfer to NARA. A measure for the goal included a review of each agency system that houses permanent records. The NCUA confirmed that the agency will be able to transfer the permanent electronic records in agency systems to NARA in NARA's preferred or acceptable formats with required metadata.

Another 2019 goal was to develop records management procedures for the transfer of Capstone official email to NARA, and for the migration of electronic records to new systems for long-term preservation. The NCUA developed both procedures.

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):

Not applicable. The NCUA has no agency-operated records centers. For off-site storage, the agency utilizes Federal Records Centers and a commercial records storage facility that meets NARA requirements. As noted above, the NCUA plans to transfer legacy analog records to Federal Records Centers prior to the end of 2022.

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):

Outgoing senior officials receive a records management briefing from the SAORM or Records Officer, and complete an online form that supports the proper retention of records. The form enables Records program staff to document the exit briefing. Records program staff and FOIA program staff (both located in the Information and Access Law Division in the Office of General Counsel) review requests from staff, including senior officials, to remove copies of records on separation to determine if the staff/senior officials may remove the copies. Records program staff work with staff of departing senior officials and with OCIO staff to prepare any permanent records for transfer to NARA. To support this work, in 2019, the NCUA developed procedures for the transfer of Capstone official email to NARA.

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):

Legacy agency information systems require the development of additional processes and procedures to implement disposition consistently.

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

☒Yes
☐No

Please provide details on what support is needed:

We appreciate NARA's continued efforts to identify best practices in electronic recordkeeping and promote collaboration and communication among agencies.