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
- Position title
- Address

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.**

The National Indian Gaming Commission (NIGC)

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

On July 14, 2018, the NIGC completed its transition from paper-based to electronic records schedules. With the exception of some legacy files held in storage, the NIGC Now maintains all agency records in electronic form.

2. **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

NIGC's permanent records are located among three record groups.

One record group maintains its active records in an agency-customized electronic document storage archive that is part of a case tracking system. In FY 2019, staff were added to assist in the scanning and archival processes and work was begun on creating schedules and procedures for extracting permanent documents from the tracking system and transferring/re-labeling them in preparation for eventual transfer to NARA

The other two record groups maintain their permanent record items in electronic folders that are structured as annual collections. In FY 2019 weaknesses were identified in this system that were due to IT instability and inconsistent administrative

support. This prompted discussion of bringing in new personnel and the need for more customized training (which has been incorporated as goals for FY 2020).

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

   X Yes
   ☐ N o

   The overwhelming majority of NIGC records are temporary records and, in general, all NIGC record groups made good progress in separating their records from nonrecords and in archiving them in folder systems that are designed to facilitate records management. In FY 2019, the NIGC undertook a wholesale data migration and this presented the RM Office with the opportunity to train and encourage RM groups to identify and purge nonrecords and thus not only reduce systematic data overloads but also clarify and better organize recordkeeping structures. Additionally, the NIGC made progress in increasing the standardization of file structures and file-naming across regions.

4. **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

   NIGC's decision to align its Records Management Office within the Technology Division underscores the NIGC's commitment to achieving the electronic RM goals enumerated in the M-19-21 Memorandum.

   The NIGC's current Strategic Plan includes, under Objective 3.3, a strategy to "develop and maintain appropriate records management procedures and tools."

   In FYI 2019, the NIGC migrated its data to upgraded hardware, added cloud services and storage, and strengthened its data back-up systems. These changes have resulted in enhanced RM electronic search ability, better controls and oversight over electronic email, greater flexibility for controlling records in collaborative work spaces and more powerful tools for the application and use of meta-data.

   Performance goals for FY 2019 included completing the agency's full transition to electronic recordkeeping (100% complete); pulling back all paper files from storage and retrieving and setting aside all permanent and non-expired temp records for future electronic conversion (approximately 40% complete and ongoing), and the

establishment of detailed file plans for all record groups (approximately 25%, disrupted by technology IT infrastructure projects, ongoing).

5. **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
X No

Not Applicable

6. **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
X No

These procedures were under development in FY 2019 (and approved in FY 2020).

7. **Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

☐ Yes
X No

NIGC is currently fully converted to electronic recordkeeping.

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

☐ Yes
X No