NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

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 related records management initiatives.

The reporting period begins on <u>January 13, 2020</u>, with reports due back to NARA no later than <u>March 13, 2020</u>.

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
  John Moses

- Position title
  Director, Governance & Enterprise Management Services Division, Office of the Chief Information Officer

- Address
  U.S. Nuclear Regulatory Commission
  11555 Rockville Pike
  Rockville, MD 20852

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:

   U.S. Nuclear Regulatory Commission (NRC)

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:

   NRC's permanent records reside in our primary electronic recordkeeping system, the Agencywide Documents Access and Management System (ADAMS). Records retention schedules are linked to these records, and can be automatically applied (i.e., managed electronically from receipt or creation through transfer to the National Archives), once the trigger date is reached.

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):

All electronic records, permanent and temporary, residing in ADAMS have appropriate metadata associated with them, in accordance with NARA regulations. In addition, the NRC started a large project on September 25, 2018, to digitize 2.6 million documents. These documents are from the Atomic Energy Commission (pre-NRC) up to 1999, when ADAMS was implemented. A large percentage of these documents are permanent records. As of December 31, 2019, NRC had digitized 900,162 documents (35% of the total) and added 534,712 documents (21% of the total) with appropriate metadata into ADAMS, where they are being managed electronically. The agency anticipates this project to be completed by December 31, 2020.

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):

   Just as the agency is managing our permanent electronic records in ADAMS, we are also managing a collection of temporary records in ADAMS. We are continuing to expand the collection of temporary records associated with retention schedules.

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):

   Records management program performance, objectives, and measures are included and tracked in the agency performance management program.

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)**

   X Yes
   ☐ N o

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

The NRC has no agency-operated records centers; the NARA Federal Records Centers are used for off-site storage of agency records.

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):

   Management Directive (MD) 3.53, "NRC Records and Document Management Program," directs how records of all staff, including senior officials, are captured and processed into ADAMS and not improperly removed, altered, or deleted. In addition, the NRC operates a Capstone program to ensure the capture of senior officials' emails. Departure procedures include MD 10.8, "Clearance before Separation or Reassignment," and filling out NRC Form 270 to ensure records are turned over properly upon departure. There are additional rigorous procedures for the capture and retention of Commissioner records upon departure from the agency.

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

   ☐ Y es
   X No

   Please explain your response (include details of specific challenges, if applicable):

   The NRC is currently digitizing mission-critical information to make it more easily accessible to staff. Additionally, we are exploring alternatives for meeting our schedule management requirements, which will look across all platforms to apply policies and business rules as part of a "manage in place" strategy for electronic recordkeeping.

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

   ☐ Y es
   X No

   Please provide details on what support is needed:

While the NRC does not need NARA's assistance, the agency welcomes the opportunity to share its lessons learned from its successful digitization effort to assist other agencies in their efforts to transition to electronic recordkeeping.