



## *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 [rmsselfassessment@nara.gov](mailto:rmsselfassessment@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: Michael Anthony
- Position title: Chief Information Officer
- Address: National Transportation Safety Board  
490 L'Enfant Plaza, SW, Washington, DC 20594

- 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.**

*National Transportation Safety Board*

- 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:*

*Records determined to be permanent are managed electronically. Other records are under review for disposition determination.*

- 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):*

*After fulfilling the requirements for the CAPSTONE approach and receiving approval, the NTSB implemented a process to manage the permanent records in electronic format with appropriate metadata.*

*Ongoing action continues with collaboration with staff to digitize existing records.*

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

Yes

No

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

*Staff are informed to create/maintain records in electronic format.*

**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 Chief Information Officer (CIO) is designated as the SAORM, who has ensured the Chief of Records Management (CRM) maintains certifications; oversees the agency's recordkeeping requirements; annually validates record requirement with offices; provides training across the agency; and collaborates with NARA on record scheduling requirements. The CRM is continually engaged in the strategic direction of the agency's alignment of record keeping requirements and strategic management of information resources within the agency.*

**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*

**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):*

*Onboarding and Exit briefings occur for senior officials concerning records; CAPSTONE officials are managed in the system and maintained properly.*

**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):*

*Lack of human capital, budget, and system resources present challenges with federal recordkeeping requirements.*

**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:*

*The NTSB will seek support from NARA for a successful transition to fully electronic recordkeeping. As the transition occurs, we will reach out to NARA to clarify our procedures as needed.*