



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. 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 Diana J. Veilleux
- Position title Chief, Legal, External Affairs and Performance
Branch, Program Counsel Division
- Address 1201 New York Avenue, N.W., Washington, D.C.

- 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 all U.S. Office of Government Ethics Offices.

- 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:

OGE currently manages all permanent records in an electronic format in an authorized electronic recordkeeping system or application.

- 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):

OGE currently manages all permanent and temporary records in an electronic format in an authorized record keeping system or application OGE has issued an agency-wide records management policy in accordance with the Federal Records Act, 36 CFR Chapter XII Subchapter B, and guidance issued by the National Archives and Records Administration (NARA) and the Office of Management and Budget (OMB). During FY 2019, the OGE Records Officer provided guidance and training for all OGE personnel on how to manage permanent and temporary electronic records. In addition, the OGE Records Officer has issued guidance on managing records in electronic recordkeeping systems to ensure that the systems meet the universal ERM requirements.

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):

See response to Question 3.

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):

Records management is included and measured as an element of OGE's annual performance goals and objectives.

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):

OGE does not have any agency-operated records centers.

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):

As the Senior Agency Official for Records Management, I have worked closely with the OGE Records Officer to ensure that OGE Senior Officials are aware of their records management responsibilities when entering and exiting federal service at OGE. During FY 2019, the Records Officer conducted records management briefings for Senior Officials, including guidance on documenting their public service, email management, including use of personal email, and other record keeping requirements. In addition, all Senior Officials are required to complete annual records training.

No Senior Officials entered on duty or departed from OGE during FY 2019. Nevertheless, procedures exist to ensure that Senior Officials are timely apprised of their responsibilities when joining the agency and to ensure that records are properly captured prior to Senior Officials departing from the agency.

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):

OGE has already met this goal.

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:

OGE has already met this goal, so no support is needed at this time.