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):

- Susan R. Little
- SAO / Agency Records Officer
- 1331 F St NW, Suite 1000, Washington DC 20004

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 United States Architectural Barriers and Compliance Board (United States Access Board (USAB)

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

X ☐ Yes
☐ No

Please explain your response:

- **Electronic records policies** are documented in our agency directive and in the Records Management handbook. Our file plan includes guidance for electronic records is shared with staff and staff receive regular training and updates.

- **We have a designated architecture for storing permanent electronic records** using a file structure within our SharePoint Libraries that will be sync'd to our RMA via their assigned record category/series. Descriptions of record material and guidance for storing electronic records will be outlined in our internal Records Management handbook. Our records management team monitors the RMA to ensure that the permanent records are being categorized into the appropriate record category/series and dispositioned accordingly.

- **Access and retrievability of electronic records:** Our RMA solutions allow us to filter files by date, subject and content. The structure of our files on the SharePoint site reflects our agency's business functions. Our intuitive hierarchy ensures that we can easily retrieve permanent records relating to a specific subject. Our filing conventions were established in collaboration with our General Counsel to ensure ease of use and compliance with potential FOIA requests.

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 ☐ Y es
☐ N o

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

We have a designated architecture for storing permanent electronic records using a file structure within our SharePoint Libraries that is sync'd to our RMA via their assigned record category/series. Descriptions of record material and guidance for storing electronic records will be outlined in our internal Records Management handbook. Our records management team monitors the RMA to ensure that the permanent records are being categorized into the appropriate record category/series and dispositioned accordingly.

Specific goals were to ensure ease of use for the end users. End users upload the file and assign the appropriate metadata tag. The records management process (autocategorization – aligned to agency records schedules) is built into the RMA.

Metrics: The U.S. Access Board has migrated 90% of its permanent legacy records. The permanent records preserved in the RMA meet the minimum metadata requirements as outlined in NARA Bulletin 2015-04 "Metadata Guidance for the Transfer of Permanent Electronic Records"

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

X☐ Y es
☐ N o

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

We have a duel process in place – using the same architecture for storing temporary electronic records as we do for the permanent records as described above in question 3.

Specific goals were to ensure ease of use for the end users. End users upload the file and assign the appropriate metadata tag. The records management process (autocategorization – aligned to agency records schedules) is built into the RMA.

Metrics: The U.S. Access Board has migrated 80% of its temporary records into the RMA. The metadata associated with these records meet the minimum metadata requirements as outlined in NARA Bulletin 2015-04 "Metadata Guidance for the Transfer of Permanent Electronic Records"

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☐ Y es
   ☐ N o

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

The U.S. Access Board developed a set of strategic goals to meet the original requirements in M-18-12 (superseded by M-19-21). The agency had already purchased a software application to manage records related to ADA Complaints which came with a records management module.

Goals: 1) Training staff to understand the electronic record keeping procedures to manage their electronic records. 2) Development of policy and procedures for (Email, FOIA/PA, Record Management language for procurement, IT Rules of Behavior)

Metrics: The U.S. Access Board plans to send out a survey to identify and address specific agency records management procedures to ensure the agency meets our electronic records strategic goals.

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)**

   ☐ Y es
   X☐ N o

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

This question is not applicable to the U.S. Access Board – we do not use external operating 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.

   X☐ Yes
   ☐ No

   Please explain your response (include specific details of procedures):

   All incoming and outgoing agency employees receive thorough RM briefings which are documented accordingly. Annual trainings on records management are provided to all staff, this training includes the use of our Records Management System for email and electronic documents.

   Outgoing Senior Officials receive a packet and are briefed by the Agency Records Officer explaining their records management responsibilities to include providing the SAORM with a list of passwords for records that have been encrypted. A Separation Questionnaire is signed by the individual employee and their immediate supervisor.

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

   X☐ Yes
   ☐ No

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

   Challenges include bucketing the metadata to minimize the level of effort staff will have to interact within the RMA. Training staff to understand the records schedules that fall under their prevue. A constant challenge is the lack of IT staff understanding the rules of records disposition. There are also on-going challenges to include records management in IT policy, system development and design.

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

   X☐ Yes
   ☐ No

   Please provide details on what support is needed:

The Access Board would like to work with NARA on testing the transfer capabilities of its electronic permanent records from our Records Management System to NARA.

The Access Board has been working actively with NARA for the past several years to transition from a paper to electronic environment by developing an agency record schedule that is media neutral, as well as audio visual and email schedules.

NARA should develop some type of information management forum for SAO, ARO, CIO and IT Professionals (Systems and Database designers and administrators) on how to develop and integrate records management in the development of procedures for systems and database development to ensure that records captured in those systems are maintained throughout their lifecycle.

NARA needs to keep small micro-agency's in mind when they are developing guidelines, policies and requirements that fit the needs of a large agency but place an undue burden on smaller agencies to meet requirements. Specifically, the financial burdens that require staffing and funding to meet the mandates for electronic record systems and storage. The main support that small micro-agencies need from NARA is support in leveraging records management needs in the OMB budget process.