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.

The reporting period begins on <u>March 11, 2019</u> with reports due back to NARA no later than <u>April 19, 2019</u>.

NARA plans to post your 2018 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 progress through December 31, 2018.
- 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 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):

- Brian Newby
- Executive Director
- 1335 East West Hwy, Ste 4300 – Silver Spring, MD 20910

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:

   US Election Assistance Commission

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

   x Yes
   ☐ No

   Please explain your response:

   The agency is making progress in evaluating its current technology and the components necessary to implement full electronic data storage in conjunction with system upgrades. The agency anticipates being fully compliant by December 31, 2019.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its *[Criteria for Successfully Managing Permanent Electronic Records](#)* (March 2018)?**

   x Yes
   ☐ No

   Please explain your response:

   The agency is currently reviewing its processes and procedures for storing electronic data in conjunction with system upgrades that will allow for the successful storage, indexing, and retrieval of electronic records in a shared drive environment.

4. **As included in the Administration's *[Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#)* (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:
Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

    x Yes
    ☐ No

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

The agency is currently reviewing its processes and procedures for storing electronic data in conjunction with system upgrades that will allow for the successful storage, indexing, and retrieval of electronic records in a shared drive environment. This evaluation is focused on positioning the agency with the ability to store and transmit all data electronically to NARA by December 31, 2022

5. **Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

    x Yes
    ☐ No

Please explain your response:

The agency CIO is fully aware of the General Service Administration' Schedule 36 and is taking the appropriate steps to ensure that the agency procures the appropriate solutions transition to an electronic environment.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

    *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
    ☐ Changes were unnecessary (click [here](#) for your agency's 2017 report)

☐ No, changes are being considered but have not been made
☐ No

Please explain your response:

All EAC officials have been briefed on records management, the retention schedule and the permanency of certain records depending on the officials' position in the agency; this briefings include the management of personal emails, if used for official business and how to retain those records, if they are created.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02: *Guidance on Senior Agency Officials for Records Management*)**

    x Yes
    ☐ No

Please explain your response:

The entire agency participates in the electronic storage of records and the General Counsel and Records Manager hold periodic meetings with updates on this process. The CIO has conducted a technological assessment of our technical needs and has communicated those assessments to me. I have in turn communicated the agency's needs for additional resources.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See NARA Bulletin 2017-01: *Agency Records Management Training Requirements*)**

    x Yes
    ☐ No

Please explain your response:

The entire agency participates in the electronic storage of records and the General Counsel and Records Manager hold periodic meetings with updates on this process. We have also utilized the resources of NARA support services to train staff on records management and the proper retention of records.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

    ☐ Yes

x No

Please explain your response:

We are working with NARA support services to identify a self-evaluation process to ensure records are being maintained properly. The CIO is also exploring internal methods to assess records storage and retention to ensure policies, procedures and retention schedules are being adhered to.

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

x Yes
☐ N o

Please explain your response:

We routinely communicate and consult with our Senior Records Analyst at NARA for guidance and feedback on our agency efforts to ensure records compliance.