



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 John Fowler
- Position title Executive Director
- Address 401 F Street, NW, Suite 308, Washington DC 20001

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: Advisory Council on Historic Preservation

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: The implementation of effective records Management has been added as a strategic objective in the agency's new Strategic Plan. While there remain records in the program office that will be printed and saved because earlier components of the file (associated records) were submitted to our agency in print form, the agency as a whole is working to manage all permanent electronic records in electronic format and no longer adopts the print-and-file approach.

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): The ACHP developed a new email records management policy in 2019. We have established file plans and created electronic folders on our agency's share drive for all our records. Each office is assigned responsibility for managing certain folders. During our annual records management training, we reviewed these file plans and instructed staff to populate the folders accordingly. We also discussed how to save emails electronically

to preserve appropriate metadata and attachments, and where to manage these emails pursuant to the file plans.

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): While our priority has been managing permanent records electronically, our file plans include folders for temporary folders and staff have been instructed to manage temporary records in those electronic folders.

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 ACHP's Records Management Policy includes the following performance goals:

- a. Ensure all ACHP members and staff are aware of relevant records management requirements and best practices.
- b. Ensure all ACHP records are maintained, stored, and disposed of in accordance with the agency records schedules and policies.
- c. Incorporate records management functionality, including the capture, retrieval, and retention of records according to agency business needs and agency records schedules, into the design, development, and implementation of agency electronic information systems.
- d. Transition from a paper-based records management system to an electronic records management system.

These performance goals are being updated in this year's revised Records Management Procedures.

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): The ACHP does not operate any 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): In the agency's records management procedures, we state:

All senior officials, including those incoming and newly promoted, shall receive training on the importance of appropriately managing records under their immediate control.

Exit briefings. All departing ACHP staff must first meet with their immediate supervisor and the Agency Records Officer to ensure that the following activities are complete:

- All ACHP records, regardless of format, are identified, collected, transferred to an appropriate location, and assigned to a new custodian.
- All records are accessible and properly secured.
- File plans are updated as necessary.
- Exit briefings for senior officials shall include a review of personal papers and copies of records to be removed.
- Exit briefings may be documented for accountability.

Departing staff must obtain permission from their supervisors to remove extra copies of any documentary materials which may still be subject to FOIA or discovery actions.

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):
With a micro-agency, it is challenging to fully implement and standardize an electronic record keeping system without utilizing automated software or having additional records management support.

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: Additional guidance on digitizing records and/or transitioning from a paper-based system without the use of automated technology and focused on end user implementation.