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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.

NARA plans to post your 2022 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: Alan F. Boehm
- Position title: Executive Director
- Address: 1717 H Street NW Suite 825, Washington, DC 20006

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately?**

   Please provide a list and indicate any that are new or have been changed due to reorganization or other circumstances.

   Council of the Inspectors General on Integrity and Efficiency (CIGIE) Staff Offices.

2. **In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?**

   x Yes
   ☐ No
   ☐ Not applicable, no adaptations were needed
   ☐ Do not know

Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)

The COVID-19 pandemic significantly affected records management operations. Physical records management disposition could not occur as a result of the maximum telework posture and closure of Federal Records Centers for all but emergency requests. The pandemic also forced a shift toward electronic business processes, such as increased adoption of electronic signatures, and virtual collaboration tools such as Microsoft Teams, which have been incorporated into agency business processes.

3. **Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)**

   x Yes
   ☐ No
   ☐ Do not know

   Please explain your response with specific actions taken, challenges and results.

CIGIE have identified and confirmed permanent records and potentially permanent records are in electronic form. CIGIE will preserve and transfer all future permanent records in electronic format, according to approved records schedules and NARA transfer guidance.

4. **Has your agency taken action to meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)**

   x Yes
   ☐ No
   ☐ Do not know

   Please explain your response with specific actions taken, challenges and results.

CIGIE identified and transferred non-electronic temporary records to a Federal Records Center according to M-19-21, M-23-07, and NARA bulletins. CIGIE is in the process of completing agency-wide initiatives for the disposition of temporary records, non-records, and personal files within the Department.

CIGIE is working on a consolidated plan to address compliance changes with electronic recordkeeping requirements across the Department. Records inventories, records scheduling, and digitization planning will allow CIGIE to identify, manage and preserve analog temporary records in an electronic format across the Department more fully.

5. **Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?**

   x Yes
   ☐ No
   ☐ Not applicable, all records are in electronic format
   ☐ Do not know

   Please explain your response with specific actions taken, challenges and results.

The Department has no agency-operated records storage facilities. All inactive temporary records will be transferred to the Federal Records Center and destroy all expired paper record content. This effort has full support of senior leadership.

6. **Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)**

   Note: The incorporation of records management into information governance is part of the framework covered by [OMB Federal Data Strategy - A Framework for Consistency (M-19-18)](#) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in [OMB Circular A-130, Managing Information as a Strategic Resource](#).

   ☐ Yes
   x No
   ☐ Do not know

   Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.

CIGIE does not currently have the policies and procedures to incorporate records management into the information governance (IG) framework needed for records, data and information compliance. As part of the CIGIE consolidated plan to address recordkeeping, CIGIE plans to solidify, with leadership support, the framework creation process.

7. **Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?**

   Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are

electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: [Email Management](#) and [CFR 1236: Electronic Records Management](#))

☐ Yes
x No
☐ Do not know

Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.

As part of CIGIE consolidated plan to address recordkeeping challenges, CIGIE plans to review electronic message preservation with the CIO, in accordance with existing and recently updated NARA guidance related to not only electronic messaging, but to social media, text messaging, Capstone as well as other requirements.

8. **Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?**

   Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

   ☐ Yes
   x No
   ☐ Do not know

   Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

   CIGIE have not integrated any of this work with distinguishing records for retention.

9. **Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?**

   x Yes
   ☐ No
   ☐ Do not know

   Please explain your response including what specific measures you have incorporated into the SAORM role.

   As the CIGIE's Executive Director and the SAORM. CIGIE's overall resources are very limited. While an independent agency, it is so small that personnel are charged with various additional

duties to maintain all of the requirements of a larger agency. While manpower is an issue major records management compliance, communications, and implementation efforts requires my engagement. As the SAORM, I am kept abreast of strategic records management efforts. I am consulted by the Agency Records Officer or senior leadership on records management matters that have a major impact on the Department.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

x Yes
☐ No
☐ Do not know

Please explain your response and include any comments on existing, pending, and future topics.

CIGIE suggests NARA provide additional how-to-guidance and tool kits with dedicated websites for managing electronic records in cloud and Microsoft 365 environments. Additionally, the Department is dependent upon NARA finalizing the proposed rule on the digitization of permanent records. CIGIE could benefit from examples of Information Governance policies from similar sized agencies.

CIGIE could also benefit from templates of policy, standards, and internal controls to facilitate recordkeeping across the Department. The Agency Records Officers would like to see examples of acceptable policies, internal controls, and other metrics to ensure that we are adhering to NARA requirements.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
x No
☐ Do not know

Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.