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: Gina Cross
- Position title: Chief Operating Officer
- Address: 250 E St SW, Washington DC 20525

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.

   AmeriCorps– entire agency. Our public facing name is AmeriCorps, though our legal name is the Corporation for National and Community Service (CNCS).

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?**

   ☐ Yes
   ☐ No
   X 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.)

In early 2019, the agency began implementing a Transformation and Sustainability Plan which resulted in the closure of nearly 50 small field offices and a move to a more regionalized model. During the process of office closure, the agency focused efforts on the proper management (storage and destruction) of hardcopy records and the conversion of paper records to electronic documents. That focus on digitization and use of electronic records has been carried over in our agency operations during COVID – heavy use of electronic records (almost exclusively). Lowering our reliance on and use of hardcopy paper records has allowed the agency to increase efficiencies while continuing to and meet mission requirements during COVID-19.

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.

   AmeriCorps continues to improve our electronic records keeping through use of available Microsoft 365 license records management solutions. While initial configurations have been completed (to include some schedules, categories, and other metadata fields), further documentation of workflow, configuration, and testing are required before full implementation.

   AmeriCorps has additionally budget for digitization services to support the conversion of some historical hard copy documents stored at our headquarters location.

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.

   AmeriCorps continues to improve our electronic records keeping through use of available Microsoft 365 license records management solutions. While initial configurations have been completed (to include some schedules, categories, and other metadata fields), further

documentation of workflow, configuration, and testing are required before full implementation.

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.

Hard copy records remain limited at the agency and AmeriCorps currently has space 'in house' to keep any remaining hardcopy records until their disposition date.

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.

X Yes
☐ 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.

Yes, partially. AmeriCorps established an electronic records management working group which brings together the Office of Information Technology with the Agency Records Officer and department records custodians as needed. Resurrecting a more robust records management working group will be the focus of the agency in calendar year 2023 as the use of Microsoft technologies further influence our policies and procedures.

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](#))

X Yes
☐ 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.

Yes, partially. Development of policies and procedures are in place and updates are ongoing as the agency tests and implements Microsoft technologies. At the present time, all electronic records are preserved, however efforts to establish their proper retention schedules remains an ongoing priority.

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.

X Yes
☐ 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.)

AmeriCorps is exploring the abilities of Microsoft 356 records management solutions and plan to focus efforts on the use of M365 automated features to improve our established procedures. The agency will test the use of the M365 machine learning technologies using a smaller testing group before releasing their use to the entire agency.

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 SAORM, I regularly communicated with the Acting Records Officer in 2022 as well as other agency partners (such as legal counsel) to support planning to bring the agency closer to compliance with all NARA regulations. A vacancy within the ARO position as well as competing priorities at the agency limited resources in this area; increased resources are being dedicated to RM activities in 2023.

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.

Continued guidance and support from the NARA and NARA community on best practices around electronic records management will allow the agency to make greater headway in supporting the direction of our records management program.

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.