



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: Abioye E. Mosheim
- Position title: Assistant General Counsel
- Address: 4330 East West Highway, Bethesda MD 20814

- 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: The entire agency is covered by this report.

- 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: In FY19, we performed an inventory of all our permanent records and determined that all except one are were being managed electronically. That remaining category of records was digitized by December 31, 2019.

- 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): We are currently discussing metadata specifics with our vendor. The SAORM meets monthly with the agency's IT department to discuss, among other things, compliance with M-19-21, 1.2.

- 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): In FY18 we began conducting an inventory of our agency's temporary records. To date we have determined that half of our temporary records are currently maintained in electronic format. This inventory will be completed in early FY21.

- 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): In FY18 I conducted a review of the agency's records management program and drafted a project plan that we have been operating under since; the review and project plan cover all of the elements listed in M-19-21, 1.4, including designating a SAORM and ARO; annually informing all staff of their records management obligations; designating records liaisons in each of the agency's program offices; beginning an inventory of the agency's records; and a plan to work with the agency's IT department to electronically manage all agency records by December 31, 2022.

- 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): We do not have agency-operated 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): All outgoing senior officials meet with the SAORM to discuss their obligations under the Federal Records Act. An inventory of their records is conducted prior to departure. Requests to remove any records must be authorized. Additionally, the agency's IT department captures their electronic records upon their departure, and any legacy physical records are turned over to the Records Management department.

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): A lack of resources has been the biggest challenge since late FY18 and through FY19.

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: Technical guidance for our IT department on how to implement Capstone would be helpful.