



Senior Agency Official for Records Management 2021 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. 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 records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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, 2021, and other aspects of agency records management programs.
- 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 2021 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: **James Biggins**
- Position title: **General Manager**
- Address: **625 Indiana Ave. NW, Suite 700, Washington, DC 20004**

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 also indicate any that are new or have been changed due to reorganization or other circumstances.

The Defense Nuclear Facility Safety Board (DNFSB) is an independent agency, and all components are covered in this report.

2. **Has the COVID-19 pandemic impacted policies or practices related to records management at your agency?**

- Yes
 No
 Do not know

Please explain your response (include details of specific challenges, if applicable):

During the COVID-19 pandemic there was limited to no access of hard files. Prior to the onset of COVID the Agency planned a comprehensive inventory of electronic and hard files with each component of the Agency. Planning efforts to inventory and reconcile hard records with electronic records are scheduled to resume early 2022. The Agency may have challenges meeting the December 31, 2022 deadline.

3. **Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

- Yes
 No
 Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

The Agency's largest component made major progress in 2019 to eliminate hard files, with other components resuming efforts in 2022. The following steps are planned to meet the goal of managing all permanent records electronically with appropriate metadata by the end of 2022: Agency stakeholders consulted, research to identify and procure a records management software/system with the ability to pull metadata, and the agency's Records Liaison Group to fact find and gather information from similarly sized small agencies, and the GSA, to share information and learn best practices. The group will plan to setup several product demonstrations, and the IT department will continue to explore new cloud storage solutions.

4. **Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

- Yes
 No

Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

The DNFSB implemented a solution to manage permanent e-mail records in the government cloud. The DNFSB's e-mail managed under Capstone Approach was approved January 25, 2017 and has been subsequently implemented. Permanent email records generated by officials identified in the Capstone approach are retained electronically. In 2022 the Records Liaison Group will recommence with reconciling hard and electronic files. The group will develop a new schedule towards digitalizing our hard files and fully transitioning to electronic recordkeeping, however, the Agency may have challenges meeting the December 31, 2022 deadline.

5. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

Yes

No

Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

Progress with temporary records is closely aligned with the progress made with keeping permanent records electronically in 2019 and continues in 2021. The Agency continues to take the following steps toward meeting the goal of managing temporary records electronically: agency stakeholders consulted, employees receive annual records management refresher training, and the Agency Records Specialist is available for any questions related to temporary records and schedules. Due to COVID-19 Pandemic and the inability to go into the office, most of the Agency's efforts to manage all temporary records in an electronic format has been delayed and are scheduled to resume in 2022. Thus, the Agency may have challenges meeting the December 31, 2022 deadline.

6. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

Yes

No

Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

DNFSB plans to submit NARA a request for an exception to the M-19-21 requirements by the end of the second quarter, calendar year 2022.

7. Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

The DNFSB Records Liaison Group will resume research to identify and procure a records management software/system with the ability to pull metadata in 2022. The group will fact find and gather information from similarly sized small agencies, and the GSA, to share information and learn best practices. It is unclear at this time whether the SIN for Electronic Records Management will be utilized to procure the records management system or other services.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

- Yes
 No
 Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

The DNFSB stores/archives with NARA, as well as in-house electronically.

9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully electronic recordkeeping?

- Yes
 No
 Do not know

Please explain your response (include details of specific challenges, if applicable):

The agency will have to use a third-party solution in the event current cloud services cannot be used. The agency is actively seeking solutions and believes it will find services/vendors in time to meet the goal, however, the risk of not meeting the December 31, 2022 deadline remains.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

Yes

No

Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):

Provide suggestions for electronic tools to assist with the conversion. Assistance with electronic transfers.