Senior Agency Official for Records Management 2022 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 (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):

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

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

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

   Practices related to records management have changed in that the telework environment has caused separation from the norm in carrying out the lifecycle of records management. Most

offices moved into (and remain in) a new unclassified domain for managing records; many offices have adjusted to new RM business processes they've learned in an effort to manage records in an unclassified environment.

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

   NGA continues utilizing some digitization capabilities that implement digitization processes where these capabilities minimize costs and resources while maximizing digitization of existing analog records.

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

   NGA has put in place digitization processes and procedures in an effort to meet requirements of M-19-21, 1.3 and M-23-07, 1.3.

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.

   NGA's temporary records are now created in electronic format. NGA has established a digitization program that will address its analog temporary records.

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

NGA data stewards continue sharing the work load by using metadata tagging to ensure the data is in accessible databases to improve discoverability, eliminate duplication, and speed up the decision-making process. The NGA Records Management program continues its liaison with appointed Primary Information Officers and Information Officers across the agency by verifying the reliability, authenticity, and preservation of agency records and information assets throughout their lifecycle. Collectively, there remains an overarching vision to improve mission delivery, customer service, and reliable stewardship of agency records and information. The goal remains to develop automation techniques that transition data and recordkeeping business processes to a fully electronic environment.

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

NGA has adopted the Capstone approach for capturing, managing, and preserving electronic messages based on guidance found in GRS 6.1.

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.

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

NGA is in the process of deploying an enterprise-wide electronic recordkeeping system. This application will enable offices to distinguish between temporary and permanent retention.

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.)

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

In an effort to oversee and evaluate the effectiveness of the records management program, regular meetings and discussions are held with the Agency Records Officer (ARO) to ensure program progress is consistently made towards achieving compliance with mandated regulatory requirements.

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

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

☐ Yes
X No
☐ Do not know

NARA has, and continues to provide sufficient support as it relates to the strategic direction of the NGA records management program.

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

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

The Office of the Chief Records Officer for the U.S. Government emails are sufficient communications channels.

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