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](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](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 8, 2024, and reports are due back to NARA no later than March 8, 2024.

NARA plans to post your 2023 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 2023 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: ___Jack Albright_____

- Position title: ___Deputy Chief Information Officer, Senior Agency Official for Records management_____

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

   Reporting is for all DOT agencies, except for the Office of the Inspector General. DOT components include:

   a. Federal Aviation Administration (FAA)
   b. Federal Highway Administration (FHWA)
   c. Federal Moto Carrier Safety Administration (FMCSA)
   d. Federal Railroad Administration (FRA)
   e. Federal Transit Administration (FTA)
   f. Great Lakes St. Lawrence Seaway Development Corporation (GLS)
   g. Maritime Administration (MARAD)
   h. National Highway Traffic Safety Administration (NHTSA)
   i. Office of the Secretary (OST)
   j. Pipeline and Hazardous Materials Safety Administration (PHMSA)

2. **Will your agency 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)**

     ☒ Yes
     ☐ No
     ☐ Not applicable, all records are in electronic format

     If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

3. **Will your agency 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)**

     ☐ Yes
     ☒ No
     ☐ Not applicable, all records are in electronic format

     If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

     > No, DOT will not manage **all** temporary records in an electronic format. Existing temporary hardcopy records will be managed in place and destroyed once eligible per their associated Records Retention Schedule, as it is not cost efficient to scan existing hardcopy records that do not have any long term value. However, newly created temporary records are being managed and preserved electronically.

4. **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 by June 30, 2024? (Choose all that apply)**

     ☐ Yes
     ☐ No
     ☒ Not applicable, my agency does not have agency-operated records storage facilities
     ☐ Not applicable, all records are in electronic format

     If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

5. **Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)**

     ☒ Yes, we will transfer to the FRC

☐ Yes, we will transfer to commercial storage facilities
☐ No
☐ Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

6. **Does your agency have a Data Management Strategy that includes records management principles? (***https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-report.pdf***)**

☒ Yes
☐ No

Please explain your response.

> The SAORM, Departmental Records Management Officer (DRMO) and the Chief Data Officer (CDO) reside within the Office of Chief Information Officer (CIO), which affords the opportunity to establish a collaborating relationship to ensure record activities are identified and managed at all levels. The RM Directive (DOT Order 1341.28) specifically states the policy includes management of government information; therefore, this includes all data. The DOT Data Management policy (DOT Order 1351.24) includes policies for enhancing practices concerning the planning, collection, processing, disseminating, sharing, safeguarding, and evaluating such data and information, including the data and information management lifecycle.

7. **In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program's goals?**

☒ Yes
☐ No
☐ Not applicable, my agency does not currently have a designated Agency Records Officer

Please explain your response. (If 'Yes,' please include how often, a description of topics, and outcomes of these meetings. If 'No,' please explain why not.)

> Meetings with the SAORM and the DRMO are ad-hoc and occur as needed to address a variety of subjects such as text messaging, Capstone management, and resource/budgeting requirements, etc. Also, per the DOT Records Management Directive (DOT Order 1351.28) requires the DRMO to conduct annual reviews of the DOT RM Program, which includes monitoring Components efforts to identify and address weaknesses in their respective RM programs. Based on these efforts,

ad-hoc audits are to be conducted to ensure corrective actions are administered. DOT also uses the results of the annual NARA RM Self-Assessments to identify areas for improvement within each Component and/or DOT wide.

8. **Has your agency incorporated NARA's digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)**

☐ Yes
☒ No
☐ Not applicable, my agency is not currently digitizing records

Please explain your response. (If 'Yes,' what steps have been taken? If 'No,' why not?)

DOT does not currently have an IRM Plan.

9. **Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?**

☒ Yes
☐ No

Please explain your response.
This strategy is in development, including the creation of a new Social Media Record Retention Schedule for OST and confirming the existing or need to create schedules for each Agency in DOT; issuing a policy requiring the capture of such records, including when deactivating a social media account; and creating a Standard Operating Procedures addressing the capture method for each platform used.

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

☐ Yes
☒ No

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

The DOT recommends NARA provide additional information such as templates, examples of project plans, quality management checklists, etc. for use in successfully implementing the Guidance on Digitization of Permanent Records.

The DOT recommends that NARA provide specific training series related to skills relative to M-19/21/M-23-07 implementation and mandates.

The DOT recommends that NARA provide tools to automate and assist in tracking Capstone Officials.

The DOT recommends that NARA should consider providing samples of guidance that agencies could provide as part of an overall effort to transition to electronic recordkeeping and case studies of successful implementation of ERMS across the Federal government.