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 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: **Raymond Peeler**

- Position title: **Associate Legal Counsel**

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

   This report covers all offices of the U.S. Equal Employment Opportunity Commission (EEOC).

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.)

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 EEOC is working towards establishing a comprehensive information governance framework by collaborating with the Chief Information Officer to ensure Agency electronic information systems have the capability to capture, manage, preserve, and secure records throughout their lifecycle in accordance with NARA's Universal Electronic Records Management requirements. Additionally, the EEOC Records Officer conducts records inventories and surveys, develops records management instructions and training materials to ensure all information that is created, received, and maintained across all business lines is properly identified, managed, and scheduled in accordance with NARA regulations and requirements.

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.)

   As the SAORM, I meet weekly with the Agency Records Officer to discuss records management matters such as NARA issuances, records management issues, status of projects, program goals, and review agency-wide records management instructions and tip sheets. I also brief senior leaders on their records management responsibilities including any new records management initiatives.

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?)

   The Agency Records Officer has developed digitization procedures and checklists to ensure digitized records are an exact image of the original source record that can be used to conduct agency business in compliance with NARA's digitization standards and requirements.

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.
Social media records are captured and managed in a content management system and destroyed in accordance with NARA-approved records schedules.

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.