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):

- Name of SAORM: Beth Ann Killoran
- Position title: Deputy Chief Information Officer, General Services Administration
- Address: 1800 F Street, NW Washington DC 20405

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

   As the Deputy CIO, I serve as an advisor to the CIO, Administrator, and other senior GSA officials on all technology and data management initiatives, leveraging technology for innovative business practices and leading enterprise-wide modernization efforts. Therefore, this report covers the General Services Administration, which includes the Federal Acquisition Service and the Public Buildings Service. No portion of GSA will be reporting separately.

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?**

   ☐ Yes
   X No

☐ Not applicable, no adaptations were needed
☐ Do not know

Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)

GSA has been in the transition to electronic processes in business including the move to the associated electronic recordkeeping before the COVID pandemic occurred. Although the transition to significantly larger electronic recordkeeping has occurred, the movement in that direction occurred before the COVID pandemic and is not attributed to the response to the pandemic.

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

Please explain your response with specific actions taken, challenges and results.

GSA made great strides during FY2022 towards the preservation of permanent records, and business process changes have moved GSA very close to the 2024 goal of managing, preserving, and transferring all permanent records in an electronic format with appropriate metadata. Specific examples include increased communication during the year to all employees known for having records management responsibilities for how to improve electronic recordkeeping, meeting with offices looking for hands-on guidance in changing their electronic recordkeeping processes, ensuring all IT business systems are scheduled, and including functionality in our Enterprise-wide Document Management System to both track permanent electronic records for their proper disposition as well as including meta-data with the storage of electronic records to include during the transfer of those records to NARA.

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

Please explain your response with specific actions taken, challenges and results.
GSA made great strides during FY2022 towards the preservation of temporary analog records in federal records centers where needed to meet the original goal of doing so by the end of 2022. Business process changes have moved GSA very close to the 2024 goal of managing, and preserving all temporary records electronically. As with our approach for meeting the recordkeeping goals of permanent records, similar actions, sometimes

concurrently, were taken to meet the recordkeeping goals of electronic temporary records. These examples include increased communication during the year to all employees known for having records management responsibilities for how to improve electronic recordkeeping, meeting with offices looking for hands-on guidance in changing their electronic recordkeeping processes, ensuring all IT business systems are scheduled, and including functionality in our Enterprise-wide Document Management System to track temporary electronic records for their timely destruction when their end of life disposition date arrives.

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.
GSA does not have any agency-operated storage facilities. As for transferring inactive, temporary records to NARA FRCs by 2024, GSA is well on its way to having these records transferred having worked diligently to try to make the original deadline (M-19-21) of having these records transferred by the end of 2022. Regular communications were exchanged with offices packing and transferring boxes of records ensuring processes were done correctly and entered in the ARCIS system. Additional communications occurred with federal records centers across the country reviewing transfers and arranging for their acceptance. One challenge was keeping offices motivated to meet the year-end goals when FRCs were telling agencies for several months before the end of the year that an extension was going to occur. Although that extension did occur, there was no guarantee that it actually would, and in fact it did not occur until the last week of the year.

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

Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.

GSA reorganized the records management program at the start of FY2021 placing it back into GSA IT, within the Enterprise Data & Privacy Management Office where it is better connected to other information functions including Data Governance and Privacy, Controlled Unclassified Information and Privacy Offices and the technology functions of the agency. GSA IT has a governance board that oversees IT activities and is aware of the need for ongoing attention to records management.

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

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.

The GSA records management program provides written guidance on the management and decommissioning of systems and meets with IT teams as necessary to tailor advice to the uniqueness of each upgrading/decommissioning situation. Additionally, GSA created a team "Text Retention Working Group" to look at the important issue of preserving electronic messages and will have a recommendation in FY2023.

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.

☐ Yes

X No

☐ Do not know

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?**

☐ Yes
☐ No
☐ Do not know

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

As the SAORM I am involved in regular meetings where the issues of records management requirements of the Agency are discussed. As needed, I meet with the records management team to ensure the important issues are addressed.

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

Please explain your response and include any comments on existing, pending, and future topics.
GSA remains current on new recordkeeping requirements per NARA and the CFR and appreciate NARA's Bulletins and other guidance. When necessary, the Agency reaches out directly on specific needs on an ad hoc basis.

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

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

The relationship between NARA and GSA is a positive one. I do not have any suggestions at this time.