



Senior Agency Official for Records Management 2019 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. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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, 2019.
- 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 2019 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):

- Diana Forti
- CAO/CIO
- 4191N. Mesa Street, El Paso, TX 79902

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

All of the U.S. Section of the International Boundary and Water Commission

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

Yes
 No

Please explain your response:

The agency has a mature electronic Document Management System (eDMS) in place that has been audited by NARA inspectors. We have converted most internal paper based, business processes to an electronic format to include the creation and storage of official agency correspondence. In addition, thousands of sole source physical maps, survey books, photographs and Boundary and Realty documents, containing vital record information of the agency are being professionally digitized, indexed and uploaded into our eDMS to preserve them in accordance M-19-21, 1.1.

3. **Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

Yes
 No

Please explain your response:

Currently, all permanent electronic records created and preserved by the U.S. IBWC are fully managed electronically to the extent possible for eventual transfer and accessioning by NARA in an electronic format. The agency has implemented business processes that support the creation of permanent electronic records and eliminate the need to produce and manage hard copy paper records. Policies have been updated to facilitate a full electronic lifecycle of our records. We have disseminated updated

manuals that provide training and guidance to all personnel on their records management responsibilities to create, process and manage all permanent records in an electronic format. Our established eDMS protects against unauthorized access, use and alteration of permanent records. The agency is in the process of identifying a successful process for transferring electronic records to NARA in electronic format and is making progress.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

Yes
 No

In accordance with M-19-21, 1.3, the agency headquarters has identified all temporary records and has transferred most inactive, temporary records to our Federal Records Center. Existing temporary records are stored electronically to the extent possible and we are making progress in identifying temporary records stored electronically to ensure their proper disposal based on their individual records disposition. Our field offices are also making progress but are not as advanced as our headquarters in this endeavor. The agency is initiating connectivity improvement projects to facilitate faster access to our electronic records resources and improve our compliance with this requirement. The U.S. IBWC does not maintain any commercial records storage facilities. Our field offices record management programs will be receiving more support and guidance from headquarters to help them progress more quickly towards going fully electronic.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

Yes
 No

As the agency designated SAORM and in accordance with M-19-21,1.4, I have designated an Agency Records Officer responsible for overseeing agency recordkeeping and holds a NARA Certificate of Federal Records Management Training. We have consistently provided training to agency personnel of their records management responsibilities and have added our records management goals and objectives into an agency wide strategic plan that is in the process of being updated.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

Yes
 No

Please explain your response (include specific goals and example metrics):

The U.S. IBWC does not have any agency operated records centers, this question is not applicable.

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes

No

Please explain your response (include specific details of procedures):

The agency conducts exit interviews with outgoing senior officials as part of our clearance process, to ensure their records are properly captured and processed and not improperly removed, altered or deleted. Reviews of senior official personnel and records in their offices are identified as official records or copies. The location of their electronic record holdings are also identified and reviewed for uploading into our eDMS. Our clearance process ensures senior officials do not take any agency documents or records with them.

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

Yes

No

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

As the agency SAORM, I do see some challenges in getting employees used to performing all functions, such as digitally signing documents, maintaining and preserving all records throughout their lifecycle. We are taking immediate steps to more aggressively inform and train employees on operating fully electronically. We are improving the frequency in which we remind and push new guidance to our employees and field offices on our requirement to go fully electronic. Having most employees teleworking at this time is helping get employees used to working with records lifecycles in a totally electronic format.

9. Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?

- Yes
 No

As a small agency we always like to leverage any assistance we can obtain to help us comply with requirements. I am confident we are doing what needs to be done to get us there, but it is always helpful to have the experts validate our efforts are effective and validate we are on the right track. I am aware we need some assistance in transferring electronic records to NARA. The in house eDMS we have in place is PaperVision v.85 and our staff could use some guidance on what format our records database and linked .pdf documents need to be in or converted to, in order to be accepted electronically by NARA. We would benefit from someone reaching out to help us establish our electronic records transfer procedures so we can begin transferring our records electronically as soon as possible.