



Senior Agency Official for Records Management 2021 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. 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 records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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, 2021, and other aspects of agency records management programs.
- 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 2021 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):

- Name of SAORM: Dorinda Morgan
- Position title: CAO/CIO
- Address: 4191 N. 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?

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

2. Has the COVID-19 pandemic impacted policies or practices related to records management at your agency?

- Yes
 No
 Do not know

Because of the pandemic and travel restrictions, agency records management staff were not able to schedule annual visits to our field offices to continue ongoing assessments of records management programs, identify essential records, train employees on essential records management inventory procedures, identify paper record processes for conversion to electronic processes or help in the production of an inventory of permanent records requiring digitization. This was a continuing effort of the agency to comply with OMB 19-21 Transition to Electronic records. Issues working remotely also effected the practices of uploading finalized correspondence to our Electronic Document Management System (eDMS) by our admin support personnel due to connectivity issues. We found working remotely caused some delays in accessing our eDMS and have noted there was not as many uploads occurring as when personnel work from our HQ.

3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

- Yes
 No
 Do not know

As a small agency, our head of Information Technology is also the supervisor of our Records Management Office (RMO) and is assigned the role of Agency Records Officer. Currently we are

engaged in evolving our existing policies to better define and establish electronic records management practices, solidify procedures for IBWC staff to follow when creating, managing and storing electronic records and fully convert any remaining internal business practices from paper to electronic. Having to work remotely has forced agency personnel to conduct most of our internal business practices electronically however, making the use of electronic signatures more efficient for example, vice capturing wet signatures on documents and scanning them. The agency has also identified the need for a more structured method for our employees to create, manage and store electronic records within a different system than what we have in place. We have identified our current eDMS does not meet the requirements for electronically transferring records to NARA as required and we are actively reviewing other electronic records management applications. The agency will utilize GSA's Electronic Records Management Solutions category (518210ERM) to acquire the services and solutions we need to better manage our electronic records

4. Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

- Yes
- No
- Do not know

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 are being developed 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 compliant solution for transferring electronic records to NARA in electronic format and anticipate we will have a compliant solution in place in early 2023.

5. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

In accordance with M-19-21, 1.3, the agency has identified all temporary records and is managing them electronically to the fullest extent possible. Our existing eDMS application (PaperVision) does not have the capability of exporting temporary records electronically. However, those temporary electronic records will be removed from our eDMS upon reaching their scheduled disposition date. All known temporary analog records that exist are currently stored within agency records storage facilities. The USIBWC does not have any records within commercial storage facilities. Our RM staff is actively working to identify any remaining temporary analog records at

our HQ and field offices for transfer to the FRC prior to December 2022. The U.S. IBWC does not maintain any permanent or temporary records in commercial records storage facilities

6. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

- Yes
 No
 Do not know

The USIBWC does not have a case where replacing analog records with electronic systems would be burdensome to the public or where the cost of managing all permanent records in electronic format would exceed the benefit. The agency does also not have any cases where any of our analog records cannot be replaced.

7. Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No
 Do not know

The agency will select from the solutions available to assist in our transitioning to an electronic environment. We plan on using this procurement vehicle to obtain a new electronic document management system and digitization services for our identified permanent analog records.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

- Yes
 No
 Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

The USIBWC does not have any commercial records centers; and does not plan on using commercial storage space; this question is not applicable

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

- Yes
- No
- Do not know

As the agency SAORM, I have seen some challenges overcome this reporting year, such as the use of electronic signatures to sign off on internal documents and processes. We have also taken steps to more aggressively inform and train employees on operating fully electronically this year. One challenge we are actively working to mitigate is our internet connectivity at our field offices which runs through legacy IT Infrastructure and makes it difficult for employees to access our HQ eDMS server from our field office locations. All field offices are currently having their IT infrastructure upgraded through our ongoing transition to GSA's EIS contract which will allow more efficient access to ERM resources and services over the internet. There is also the need as described in responses above, to implement a better ERM solution that allow the agency to better manage records from their creation to final disposition in an entirely electronic format and within a compliant records management system.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

- Yes
- No
- Do not know

As a small agency we always like to leverage any assistance we can obtain to help us comply with our records management requirements. I am confident we are making progress towards our goal of complying with M-19-21 although somewhat hampered due to the COVID-19 pandemic. It is always helpful to have the experts validate our efforts are effective and validate we are on the right track.