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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, 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 rmselfassessment@nara.gov. Include the words "SAORM 2020 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: William J. Bosanko
- Position title: Chief Operating Officer
- Address: 8601 Adelphi Road, College Park, MD 20740

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

   Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

   - Office of the Archivist of the United States
   - Deputy Archivist of the United States
   - Office of Inspector General
   - Equal Employment Opportunity Office
   - National Historical Publications and Records Commission
   - General Counsel
   - Congressional Affairs Office
   - Office of the Chief of Staff
   - Office of the Chief Operating Officer
   - Office of Human Capital
   - Office of Innovation
   - Office of the Federal Register
   - Agency Services
   - Research Services
   - Legislative Archives, Presidential Libraries, and Museum Services
   - Office of the Chief of Management and Administration
   - Office of the Chief Acquisition Officer
   - Office of the Chief Financial Officer
   - Information Services
   - Business Support Services

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

   X Yes
   ☐ No
   ☐ Do not know

   Policies related to records management have not changed. However, in practice, the agency has transitioned to electronic recordkeeping faster than anticipated. Paper records have been

replaced by electronic records with staff filing them in designated locations such as Google Shared Drives.

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

X Yes
☐No
☐Do not know

Please provide details on what support is needed:

No support is needed. NARA Corporate Records Management (CM) takes part in several working committees and boards related to information governance such as the Technical Reference Model Working Group, Enterprise Architecture Governance Board, Data Governance Board, and the Investment Review Board. The CIO, CDO, SAORM, ARO, and other RM staff serve on these depending on the level of engagement.

4. **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)**

X Yes
☐No
☐Do not know

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

NARA's Records and Information Management (RIM) Strategic Plan 2020-2022 includes a strategy to manage permanent electronic records with appropriate metadata by December 31, 2022.

When working on meeting Target 1.1 of M-19-21, Corporate Records Management (CM) conducted an analysis on file and system metadata to determine what was automatically captured and whether additional metadata would need to be created. CM reviewed NARA Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records and consulted with the Office of the Chief Records Officer. It was determined that no additional actions were needed at this time.

CM continues to work with Information Services, Acquisitions, and other stakeholders to refine the processes for managing our permanent records. As additional activities are identified, CM will track and report progress via the internal controls program and reports.
Example metrics to meet goals include:
- Monitor adherence to permanent records retention policy based on monthly ZL reports which validates system configuration against current Capstone and permanent records list.

- Monitor RIM Policy adherence according to the NARA and General Records Schedule during accessions by cubic feet and/or bytes

5. **Has your agency made progress towards managing all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

X Yes
☐No
☐Do not know

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

In NARA's Records and Information Management (RIM) Strategic Plan 2020-2022, nearly all goals and strategies are focused on creating an electronic recordkeeping environment by December 31, 2022. Strategies include updating the NARA Records Schedule, transferring analog records to records centers, addressing training and staffing needs, ensuring systems have the capacity to manage records, revising policies, and analyzing tools and methods for electronic recordkeeping.

Example metrics to meet goals include:
- Revise 20% of the mission related items in the NARA Records Schedule based on Category/Function/Activity.
- Track number of electronic systems with records retention controls.
- Track number of file plans reviewed and updated by CM and offices

6. **Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

X Yes
☐No
☐Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes.

CM is working on transitioning to electronic records by leveraging current investments and tools so that electronic recordkeeping can be done at minimal costs. The program also seeks budgeted projects where record requirements or approaches can be embedded instead of creating a single budget item for records management.

If No or Do not know: Please explain.

7. **To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

☐Yes
X No
☐Do not know

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

Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* 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.

X Yes
☐No
☐Do not know

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

All NARA senior and appointed officials are required to attend new employee orientation training, which includes a presentation on their responsibilities for managing records under their immediate control. They are also required to take additional training within 30-days of employment which includes a records management component.

CM staff are also involved in exit briefings and clearance processes for departing senior officials.

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

X Yes
☐No
☐Do not know

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

Resourcing and appropriately aligning responsibilities for full electronic recordkeeping is a challenge. A traditional records program, such as ours, usually does not have the budget or expertise to manage electronic records in a fully automated manner. Because the records program cannot do this alone, it will require close coordination with and support from other offices, not necessarily under the SAORM span of control, to successfully make the transition.

Using the structure of the program, CM will maintain policy and evaluation responsibilities while implementation and operational aspects will be required of other offices.

9. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

☐Yes
X No
☐Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):