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 rmselfassessment@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: 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?

- 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 impacted policies or practices related to records management at your agency?

X Yes
☐ No
☐ Do not know

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

The policies related to records management have not changed. However, in practice, the agency 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

and documenting the new filing locations in program offices' file plans.

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)**

X Yes
☐ No
☐ Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

The SAORM is on the IT Steering Committee. Corporate Records Management (CM), NARA's internal records program, takes part in several working committees and boards related to information governance such as the Technical Reference Model Working Group, Enterprise Architecture Governance Board, and the Data Governance Board. The CIO, CDO, SAORM, ARO, RM, Security, Privacy, and FOIA all serve on boards in varying levels of engagement.

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)**

X Yes
☐ No
☐ Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

When CM met Target 1.1 in 2019 it was determined that no additional metadata was required beyond what was automatically captured. This was validated by CM conducting an analysis on file and system metadata and comparing it with NARA Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records. Staff from the Office of the Chief Records Officer also confirmed that appropriate metadata was captured.

CM continues to work with Information Services, Acquisitions, and other stakeholders to refine the processes for managing our permanent records. CM is developing a process to routinely test the export of permanent records from the records management application to ensure format and metadata compliance.

CM tracks and reports on these activities via the internal controls program. CM also receives a monthly report from the vendor which validates system configuration of the permanent records.

Unless an exception is requested and approved, all permanent records will be managed electronically by the end of 2022 with appropriate metadata using the same process and system that was put in place in 2019.

5. **Will your agency meet the goal to manage and preserve 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, example metrics, and/or challenges):

In 2021 CM conducted a survey with all program offices to determine the volume of remaining paper/analog records and asked for information related to challenges to moving to fully electronic recordkeeping. With few exceptions, most records series are now managed electronically. CM is following up with all offices to ensure the transition to electronic records is accurately documented in their office file plan and will also follow up with getting approval on records schedules to reflect electronic recordkeeping.

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
X Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

CM continues to work with program offices to thoroughly evaluate whether any records will need an exception.

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

☐ Yes
X No
☐ Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

No procurement activities occurred in 2021 related to electronic records management.

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
    X 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.

    Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

    NARA does not use commercial storage facilities for the storage of temporary records. All records will be transferred into a Federal Records Center or covered by an exception by the deadline per the process described in the response to Question 5.

9. **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):

    Coordination and support from other offices, not necessarily under the SAORM span of control, are needed to transition to fully electronic recordkeeping. For success, this may include reprioritizing the budget, resources, and responsibilities. As currently structured, CM has focused on updating policies, developing an evaluation component, and training program staff for handling the implementation and operational aspects of recordkeeping.

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
    X No
    ☐ Do not know

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