



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):

- Kellie Cosgrove Riley
- Director, Office of Privacy and Information Management

- 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.**

Office of Personnel Management (OPM)

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

Yes

No

OPM is in the process of updating systems/tools to enable management of electronic records.

- 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 (include specific goals and example metrics):

OPM is in the process of updating systems/tools to enable management of electronic records. The Document Management System (DMS) that is used, in part, to process documents signed by the Director of OPM is being updated and the new tool is scheduled to be installed in FY20. OPM's Agency Record's Officer (ARO) participated in the requirements meetings and electronic document management with appropriate metadata was identified as a requirement. Additionally, Microsoft O365 has been installed and we are working with the Office of the Chief Information Officer (OCIO) to implement Capstone requirements for email by Q4 FY20.

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

Yes

No

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

OPM is in the process of updating all record schedules to be media-neutral with the goal of managing agency records, regardless of disposition, electronically to the maximum extent possible.

- 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

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

Both the OPM SAORM and ARO are new to the positions. We are in the process of reviewing the agency's records program and will develop performance goals, objectives and measures.

- 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):

OPM is in the process of procuring services for commercial offsite storage. Once NARA identifies the criteria for an exception we will determine whether requesting an exception is appropriate.

- 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 ARO has met with personnel in the Office of the Director about implementing procedures for outgoing senior officials, including briefings and records reviews.

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):

While OPM is in the process of upgrading electronic systems, inclusion of records management in the requirements process is still a work in progress and may face resource challenges

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

- Yes
 No

Please provide details on what support is needed:

We expect the current review of OPM's records program will bring to light the need for support from NARA in multiple areas including electronic recordkeeping.