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):

- 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?**

   Office of Personnel Management (OPM)

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

   X Yes

   ☐ No

   ☐ Do not know

   Paper based programs have had to establish a temporary/temporary-permanent way to conduct business. This requires input from RM on how to ensure the process keeps OPM records secure, maintains the integrity and meets required RM and Privacy standards.

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

   OPM CIO, SAORM and ARO are meeting on a set schedule weekly on the implementation of the new tools to ensure configuration, procedures and training meet each programs requirements.

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

   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 April 2021. 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 Q3 FY21.

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

    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.

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

    X Yes

    ☐ No

    ☐ Do not know

    CARES Act funding has provided OPM with investment resources. OPM has installed Microsoft O365 RM is working with the Office of the Chief Information Officer (OCIO) on the implementation of the Microsoft suite of tools.

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)**

    X Yes

    ☐ No

    ☐ Do not know

    OPM is in the process of procuring services for commercial offsite storage.

8. **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

OPM RM has issued an updated Records Management Policy as well as working with HR to ensure inclusion on incoming and off-boarding senior officials.

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

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

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

X Yes

☐ No

☐ Do not know

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.