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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, 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 recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 8, 2024, and reports are due back to NARA no later than March 8, 2024.

NARA plans to post your 2023 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2023 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: Barbara Wheeler Jones

- Position title: Chief (Case Review Division)

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

   This report covers all divisions of the U.S. Office of Special Counsel (OSC), including field offices located in Oakland, California, Dallas, Texas and Detroit, Michigan.

2. **Will your agency meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)**

   x☐ Yes
   ☐ No
   ☐ Not applicable, all records are in electronic format

   OSC's permanent case records and related files are managed electronically. All other permanent records are also managed electronically and stored in OSC's SharePoint.

3. **Will your agency meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)**

   x☐ Yes
   ☐ No
   ☐ Not applicable, all records are in electronic format

OSC's temporary case records and related files are managed electronically. All other temporary records are also managed electronically and stored in OSC's SharePoint.

4. **Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities by June 30, 2024? (Choose all that apply)**

   ☐ Yes
   ☐ No
   ☐ Not applicable, my agency does not have agency-operated records storage facilities
   x☐ Not applicable, all records are in electronic format

   If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

5. **Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)**

   x☐ Yes, we will transfer to the FRC
   ☐ Yes, we will transfer to commercial storage facilities
   ☐ No
   ☐ Not applicable, all records are in electronic format

   If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

6. **Does your agency have a Data Management Strategy that includes records management principles? (*https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-report.pdf*)**

   x☐ Yes
   ☐ No

   OSC's SAORM also serves as OSC's Chief FOIA Officer and OSC's Senior Agency Official for Privacy (SAOP). Those programs are integrated under the Case Review

Division and the SAORM meet quarterly with the Risk Assessment team, communicate and collaborate with OSC's Chief Information Officer and other stakeholders on data strategy to ensure program requirements are met.

7. **In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program's goals?**

   x☐ Yes
   ☐ No
   ☐ Not applicable, my agency does not currently have a designated Agency Records Officer

   SAORM and ARO meet frequently to discuss program requirements, current activities, program challenges and identify ways to streamline the processes to effectively manage the program records. Topics discussed during our meeting include but not limited to program assessment and requirements, strategies to promote and enhance the program, policy update, training opportunities, records retention schedules update, FOIA research request, records repository system improvement, file structure, records inventory, file plan, departure process, required resources to support the program and additional program related subjects, as applicable.

8. **Has your agency incorporated NARA's digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)**

   x☐ Yes
   ☐ No
   ☐ Not applicable, my agency is not currently digitizing records

   OSC SAORM and ARO collaborates with IT Team, electronic case management system (eCMS) implementation team including the end users to ensure all digitized source records meet digitization standards requirements which include but not limited to accurate metadata captured, quality control and validation, storage and maintenance, apply appropriate disposition, etc. prior to disposing the source records.

9. **Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?**

   x☐ Yes
   ☐ No

Electronic messages related to case files are captured and preserved in OSC's electronic case management system (eCMS). The SAORM will work with OGC to develop policies and procedures to ensure the capture and preservation of all other electronic messages.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

x☐ Yes
☐ No

OSC currently have no concerns however, I do recommend that NARA provides agencies with necessary guidance to ensure the M-23-07 - Update to Transition to Electronic Records and other program requirements are successfully executed. Agencies are challenged with meeting program requirements due to limited resources and funds to educate, promote, and support each initiative. Below is a list of the follow areas that require additional discussion and assistance from NARA:

- Standardize records management training including role base;
- Digitize federal records and implementing electronic recordkeeping system;
- Transfer of permanent electronic records;
- Develop stand language for records management policies;
- How to manage Team chats, video recordings, and Artificial Intelligence (AI);
- Annual reports include "Not Applicable" as an option instead Unknown;
- Streamline the records schedules review and approval process; and
- Establish a records management helpdesk to ask specific questions and request guidance.