



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):

- Name of SAORM: Alisa Cottone
- Position title: Director, Workplace Solutions Department, PBGC
- Address: PBGC, 1200 K Street, N.W., Suite 460, Washington, DC 20005

- 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.**

Please provide list:

Pension Benefit Guaranty Corporation (PBGC) entirely.

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

Yes

No

Please explain your response:

PBGC has been managing all permanent records in electronic format since 2016.

- 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):

PBGC has developed a SharePoint workflow process to manage all permanent records electronically with appropriate metadata. We have a project roadmap and we are refining the process.

- 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):

The same SharePoint process being developed for permanent records will be used for temporary records. Development and refinement of the process is continuing.

- 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):

Performance goals are included in the Records Officer's performance plan; a roadmap for the Records Management program through FY2021 has been developed and approved; an annual Records Management program scorecard has been developed and shared with senior leaders. Senior Leaders are kept informed of Records Management Goals and progress.

- 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):

PBGC does not have any agency-operated records centers.

- 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

Designated Senior Leader emails are permanently captured using the Capstone approach as approved by NARA. Exit briefings are conducted by the Office of General Counsel whereby departing officials must sign an exit briefing memo describing their records management (and other) responsibilities.

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

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

- XX** Yes
 N o

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

We are refining our SharePoint workflow solution to manage temporary and permanent unstructured records electronically with appropriate metadata. Technology changes and software upgrades by Microsoft have caused us to refine our process. We are also planning to more formally address system records in the future.

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

- XX** Yes
 N o

Please provide details on what support is needed:

- Disposal guidance for permanent paper records which have been digitized
- Guides on how to manage electronic files with event-based retention periods
- Guidance on applying records schedules / retention to system records.