



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 Eric Broxmeyer
- Position title General Counsel
- Address 800 N. Capitol Street, NW
Suite 565
Washington, DC 20002

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: Privacy and Civil Liberties Oversight Board (PCLOB)

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:

- The PCLOB started managing its records in an electronic format from the time the agency was created, including its permanent 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:

- The PCLOB started managing its permanent records in an electronic formation from the time the agency was created. When created, PCLOB records contain appropriate metadata that allows the records to be accessed.

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

Yes

No

Please explain your response:

- Similar to permanent records, the PCLOB started managing its temporary records in an electronic format from the time the agency was created.

4. 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:

The PCLOB has taken steps to ensure that its records management program complies with the Federal Records Act and its regulations. These steps include:

- designating a Senior Agency Official for Records Management who has direct responsibility for ensuring that the PCLOB efficiently and appropriately complies with all applicable records management statutes, regulations, and policy,
- designating an Agency Records Officer (ARO) who is responsible for overseeing agency recordkeeping requirements and operations. In 2019, the PCLOB ARO completed the NARA Certificate of Federal Records Management Training and holds the corresponding certificate,
- annually informing all PCLOB personnel of their records management responsibilities in law, regulation, and policy,
- ensuring that records created or maintained by the PCLOB are covered by a NARA-approved records schedule.

5. 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:

- The PCLOB does not operate any records centers.

6. 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:

- As part of PCLOB's internal processes, all outgoing PCLOB employees, including senior officials, certify that they will not improperly remove, alter, or delete any records, including electronic records or email. Outgoing employees also review and complete a departure checklist with the PCLOB ARO or SAORM detailing applicable records management responsibilities prior to leaving the agency.

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

- Yes
 No

Please explain your response:

- The PCLOB has built and maintained its recordkeeping capabilities in an electronic formation from the time that the agency was created in 2004. Accordingly, I do not foresee any challenges in meeting the goal of fully-electronic recordkeeping.

8. 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:

- The PCLOB has fully implemented electronic recordkeeping; but, we look forward to working with NARA as we continue to build out and refine our records management program, especially as we continue to develop an evaluation and auditing process and start to send our records to NARA for warehousing.