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):

- Name of SAORM: Keith A. Bluestein
- Position title: Chief Information Officer/SAORM
- Address: 409 3rd Street, 4th Floor, Washington, DC 20416

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

   The entirety of the agency (United States Small Business Administration) is covered by this report.

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

   ☒ **Yes**
   ☐ No
   ☐ Do not know

   The COVID-19 pandemic has changed the practices related to Records Management as majority of the SBA staff is currently teleworking which prevents the staff from accessing the temporary paper records physically. This has hampered/stalled efforts to steadily move to complete with electronic record mandates.

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

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)**

   ☐ Yes
   ☒ **No**
   ☐ Do not know

   The agency is currently in the process of developing a coordinated policy to ensure synchronization of efforts across all responsible parties and lines of business. The level of additional administrative support required is being assessed to formulate a formal budget request.

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)**

   ☒ **Yes**
   ☐ No
   ☐ Do not know

   All SBA permanent records were transitioned into electronic records before the December 31, 2019 deadline. SBA is working on obtaining an electronic recordkeeping system to store all permanent records. The process of the formulation of the procurement requirements will define the goals and metrics.

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)**

   ☒ **Yes**
   ☐ No
   ☐ Do not know

   SBA Records Management Division (RMD) and OCIO is working closely with each HQ program offices and all 68 field offices to digitize all temporary paper records into electronic format. The office will be able to leverage an existing BPA to select a vendor to digitize the paper files.

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

   ☒ **Yes**
   ☐ No
   ☐ Do not know

   RMD and OCIO are currently analyzing alternatives as part of the effort to obtain an electronic record keeping system to store all electronic records. All electronic information systems will be combined into the recordkeeping system for all staff to utilize.

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)**

   ☐ Yes
   ☒ **No**
   ☐ Do not know

   All permanent and temporary inactive paper records will continue to be stored at the NARA FRCs. SBA has an Interagency Agreement with NARA to store and service SBA records.

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.

   ☒ **Yes**
   ☐ No
   ☐ Do not know

   SBA has policies and procedures in the form of Standard Operational Procedures laying out the proper process to capturing all records created and maintained by both newly appointed and outgoing senior officials.

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

   ☒ **Yes**
   ☐ No
   ☐ Do not know

   As the SAORM for SBA, I see challenges in the level of resourcing allocated to obtain a recordkeeping system to store all permanent and temporary records. Additionally, SBA is dealing with the transition of the SAORM responsibility from one internal organization to the Office of the Chief Information Officer. This includes the transition of the RMD which has been placed on hold pending guidance from the new administration due to the transition. RMD is in the process of updating all of the agency-specific record schedules which will not be completed by the December 31, 2022 deadline and all electronic records will be labeled as unscheduled until the draft record schedules are approved by NARA. This is a significant challenge as the temporary paper files will be digitized and some will soon be eligible to be destroyed but will not be able to be destroyed because the current record schedules are not media neutral.

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

    ☐ Yes
    ☒ **No**
    ☐ Do not know

The current level of engagement is very helpful.