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: Earlene Sesker
- Position title: Director of Office of Administration
- Address: 1331 F. St NW, Suite 1000, Washington, DC 20004

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

   Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

   The United States Architectural Barriers and Compliance Board (U.S. Access Board)

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

   ☐Yes

   X ☐**No**

   ☐Do not know

   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

   X ☐**No**

   ☐Do not know

   Please provide details on what support is needed:

   The U.S. Access Board has not established a formal information governance framework. Currently the CIO, SAORM, DRO/ARC and RM staff are organized under the Office of Administration. Being a small micro-agency the individuals who are responsible for these activities within in the agency work together to ensure the agency lines of business are included in all information systems and their associated workflows.

   The CDO responsibilities fall within the office of the General Counsel.

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)**

☐No

☐Do not know

Please explain your response (include specific goals and example metrics):

- **Electronic records policies** are documented in our agency directive and in the Records Management handbook. Our file plan includes guidance for electronic records which is shared with staff and staff receive regular training and updates.

- **We have a designated architecture for storing and applying metadata to our permanent electronic records** using a file structure and subject area metadata tags within our SharePoint Libraries which is sync'd to our Records Management Application (RMA). The RMA then captures and categorizes the records and applies their assigned record retention schedule.

  Descriptions of record material and guidance for storing electronic records are outlined in our internal Records Management handbook. Our records management team monitors the RMA to ensure that the permanent records are being categorized into the appropriate record category/series and dispositioned accordingly.

  Specific goals were to ensure ease of use for the end users. End users upload the file and assign the appropriate metadata tag. The records management process (autocategorization – aligned to agency records schedules) is built into the RMA.

  Metrics: The U.S. Access Board has migrated 100% of its permanent records and went live with the SharePoint / RMA solution in November 2020. The permanent records preserved in the RMA meet the minimum metadata requirements as outlined in NARA Bulletin 2015-04 "Metadata Guidance for the Transfer of Permanent Electronic Records."

- **Access and retrievability of electronic records:** Our RMA solutions allow us to filter files by date, subject and content. The structure of our files on the SharePoint site reflects our agency's business functions. Our intuitive hierarchy ensures that we can easily retrieve permanent records relating to a specific subject. Our filing conventions were established in collaboration with our General Counsel to ensure ease of use and compliance with potential FOIA requests.

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)**

☐No

☐Do not know

Please explain your response (include specific goals and example metrics):

We have a dual process in place – using the same architecture for storing and applying metadata to temporary electronic records as we do for the permanent records as described above in question 4.

Specific goals were to ensure ease of use for the end users. End users upload the file and assign the appropriate metadata tag. The records management process (autocategorization – aligned to agency records schedules) is built into the RMA.

Metrics: The U.S. Access Board has migrated 100% of its temporary records into the RMA solution. The metadata associated with these records meet the minimum metadata requirements as outlined in NARA Bulletin 2015-04 "Metadata Guidance for the Transfer of Permanent Electronic Records."

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

   X ☐**Yes**

   ☐No

   ☐Do not know

   Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

   The U.S. Access Board purchased on RM Application that has email and electronic records modules. There are also three individual contracts in place to provide IT and RM the support needed to ensure the transition to electronic recordkeeping.
   1. RMA Service Provider
   2. SharePoint Service Provider
   3. RM Consultant Provider
   4. Categorization Provider

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

   X ☐**No**

   ☐Do not know

   Please explain your response (include specific goals and example metrics):

This question is not applicable to the U.S. Access Board – we do not use external operating records storage facilities. Permanent records are transferred directly to NARA.

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

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

   All incoming and outgoing agency employees receive thorough RM briefings which are documented accordingly. Annual trainings on records management are provided to all staff, this training includes the use of our Records Management Application for email and electronic documents.

   Outgoing Senior Officials receive a packet and are briefed by the Agency Records Officer explaining their records management responsibilities to include providing the SAORM with a list of passwords for records that have been encrypted. A Separation Questionnaire is signed by the individual employee and their immediate supervisor.

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

   ☐Yes

   X ☐**No**

   ☐Do not know

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

   The U.S. Access Board is utilizing a Records Management Application that auto-categorizes email and electronic records. The email application went live in January 2016. The electronic records application went live in November 2020.

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

X ☐**Yes**

☐No

☐Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):

The Access Board would like to work with NARA on testing the transfer capabilities of its electronic permanent records from our Records Management Application to NARA.

The Access Board has been working actively with NARA for the past several years to transition from a paper to electronic environment by developing an agency record schedule that is media neutral, as well as audio visual and email schedules.

NARA should develop some type of information management forum for SAO, ARO, CIO and IT Professionals (Systems and Database designers and administrators) on how to develop and integrate records management in the development of procedures for systems and database development to ensure that records captured in those systems are maintained throughout their lifecycle.

NARA needs to keep small micro-agency's in mind when they are developing guidelines, policies and requirements that fit the needs of a large agency but place an undue burden on smaller agencies to meet requirements. Specifically, the financial burdens that require staffing and funding to meet the mandates for electronic record systems and storage. The main support that small micro-agencies need from NARA is support in leveraging records management needs in the OMB budget process.