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. 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 records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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, 2021, 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 2021 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 impacted 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 integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

   ☐ Yes
   X ☐ No
   ☐ Do not know

   Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

   The U.S. Access Board has not established a formal information governance framework. Currently the CIO, CDO, 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.

4. **Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

<mark>X ☐ Yes</mark>
☐ No
☐ Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

- **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. **Will your agency meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

   <mark>X ☐ Yes</mark>
   ☐ No
   ☐ Do not know

   Please explain your response (include specific goals, example metrics, and/or challenges):

   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. **Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

   ☐ Yes
   <mark>☐ No</mark>
   ☐ Do not know

   Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

   The U.S. Access Board has prepared a Statement of Work (SOW) that will be released for solicitation to perform the digitization of paper records.

7. **Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

   <mark>☐ Yes</mark>
   ☐ No
   ☐ Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

The U.S. Access Board has been working with two vendors for the past several years who support the records management program activities. These activities include developing a new records schedule, an email records schedule and developing an RMA to auto-categorize email and electronic records based on agency records schedules and appropriate metadata.

8. **Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?***

   ☐ Yes
   X ☐ No
   ☐ Do not know

   *M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.

   Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

   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.

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. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

<mark>X ☐ Yes</mark>
☐ 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.