



Senior Agency Official for Records Management 2023 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, 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 record-keeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 8, 2024, and reports are due back to NARA no later than March 8, 2024.

NARA plans to post your 2023 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic record-keeping as required by M-19-21 and M-23-07.
- 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 2023 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: Harry Singh
- Position title: Chief Information Officer /Associate Director

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

The report covers the Bureau of Engraving and Printing.

2. Will your agency meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)

- Yes
 No
 Not applicable; all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

BEP RIM program is in the process of inventorying permanent electronic records. However, some offices still do not have an information inventory/OFP. BEP does not know the full extent of permanent records those offices hold until records are inventoried.

BEP is transitioning to the Electronic Records Management (ERM). Currently, the Records and Information Management (RIM) program is working on implementing an ERM strategy/solution that will be able to manage all permanent records in electronic format. BEP is close to soliciting a contract that includes assessing the BEP RIM program, completing remaining information inventories/OFPs, digitizing BEP records, and deploying a suitable RIM platform (MS Purview) to manage electronic records. BEP has secured the E5 license necessary for MS Purview. BEP is in the process of corresponding with NARA to see if it is recommended that BEP submit an exception request. Additionally, BEP is awaiting the Department of Treasury's guidance on whether a Department Level exception request is being compiled. Specific challenges include a shortage of resources and many offices within BEP.

3. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

- Yes
- No
- Not applicable; all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

BEP RIM program is in the process of inventorying temporary electronic records. However, some offices still do not have an information inventory/OFP. BEP does not know the full extent of temporary records those offices hold until records are inventoried. BEP is transitioning to the Electronic Records Management (ERM). Currently, the Records and Information Management (RIM) program is working on implementing an ERM strategy/solution that will be able to manage all temporary and permanent records in electronic format. BEP is close to soliciting a contract that includes assessing the BEP RIM program, completing remaining information inventories/OFPs, digitizing BEP records, and implementing a suitable RIM platform (MS Purview) to manage electronic records. BEP has secured the E5 license necessary for MS Purview. BEP is in the process of corresponding with NARA to see if it is recommended that BEP submit an exception request. Additionally, BEP is awaiting guidance from the Department of Treasury regarding whether a Department Level exception request is being compiled. Specific challenges include a shortage of resources and many offices within BEP.

4. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities by June 30, 2024? (Choose all that apply)

- Yes
- No
- Not applicable, my agency does not have agency-operated records storage facilities
- Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)

- Yes, we will transfer to the FRC
- Yes, we will transfer to commercial storage facilities
- No
- Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

BEP uses Federal Records Centers for the storage of its records. While BEP will transfer all inactive records possible, inactive records may not be identified by the deadline due to incomplete information inventories/OFPs. BEP is in the process of corresponding with NARA to see if it is recommended that BEP submit an exception request. Additionally, BEP is awaiting guidance from the Department of Treasury regarding whether a Department Level exception request is being compiled. Specific challenges include a shortage of resources and many offices within BEP.

6. Does your agency have a Data Management Strategy that includes records management principles? (<https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-repo>)

- Yes
- No

Please explain your response.

The BEP's records management principles are inferred in the guiding principles detailed in the BEP Data and Analytics Strategy dated September 2021. Records Management is referenced in Goals such as:

3.2 Centralize data assets for enterprise use

- Establish centralized data access for all qualified employees
- Create a Single Point of Access Data Portal for trusted data
- Develop a unified data storage repository across the organization

3.4 Craft policies and procedures for the transportation, storage, and use of data

- Strive to become compliant with ISO standards across BEP
- Socialize popular data sets for internal and external consumption

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- Establish a process and roles for comprehensive data quality governance from source systems to end-users in alignment with Federal legislation
 - Promote a culture of data openness through quick wins

Based on the review of this documentation by the BEP RLO, an opportunity is identified for the RO to collaborate and contribute to future BEP Data and Analytics Strategy reports to ensure specific records management principles are detailed. The BEP RIM team also knows that DMS also deals with metadata management. While BEP has not established metadata management, this will be addressed in the ERM contract BEP is close to soliciting.

7. In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program's goals?

- Yes
 No
 Not applicable, my agency does not currently have a designated Agency Records Officer

Please explain your response. (If 'Yes,' please include how often, a description of topics, and outcomes of these meetings. If 'No,' please explain why not.)

SAORM holds a weekly meeting in which RIM communicates the RIM program's efficiency, initiatives, and compliance.

8. Has your agency incorporated NARA's digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)

- Yes
 No
 Not applicable; my agency is not currently digitizing records

Please explain your response. (If 'Yes,' what steps have been taken? If 'No,' why not?)

9. Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?

- Yes
 No

The social media Policy outlined in BEP's Circular 40-00.14 requires the Bureau of Engraving and Printing (BEP) to establish a records retention schedule for social media records, as noted in section 6.9.1. It has come to our attention that the BEP has not yet implemented a records retention schedule for social media records. To address this concern and ensure compliance with the policy, our team is collaborating with External Affairs to conduct an information inventory and create a records retention schedule. Our goal is to ensure that our social media practices align with the policy and maintain a high level of accountability and transparency within our organization.

10. Is there a specific policy or guidance you need from NARA to support the strategic direction of your records management program?

- Yes
 No

Please explain your response and include any comments on existing, pending, and future topics.

It would be highly beneficial to acquire comprehensive guidelines or criteria for efficiently managing social media records within federal agencies while implementing a Social Media Strategy. Such guidance can significantly aid the successful execution of a social media plan, ensuring compliance with regulatory standards and secure record-keeping practices.