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:
- Position title:
- Address:

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

   Bureau of the Fiscal Service

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
   ☐ No
   X Do not know

   Please provide details on what support is needed:

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)**

   X Yes
   ☐ No
   ☐ Do not know

   We have established a complete inventory of all permanent records with detailed descriptions and other pertinent information. Records are being reviewed and digitized and moved into our electronic Records Archiving system whenever possible. Covid has delayed review of our paper records due to inability to access facilities.

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)**

X Yes

☐ No

☐ Do not know

The Bureau creates to the best of our ability all records in electronic format.

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

   ☐ Yes

   X No

   ☐ Do not know

   The bureau due to budget constraints does not have funding for any special projects or additional staffing. We are doing the best we can with our limited resources and funding.

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

   Majority of our records are on legal hold and can't be touched at this time. Over the next few years the legal holds will be lifted and at that time we plan to destroy the 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.

   X Yes

   ☐ No

   ☐ Do not know

   Bureau has an Exit Clearance process where records are reviewed and form is signed upon leaving the Bureau stating are properly captured and/or processed and not improperly removed,

altered, or deleted including electronic records. All employees are required to complete records management training within 90 days after onboarded. Training gives guidance on how to manage bureau records properly.

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

   We are moving forward with electronic records. The Bureau creates electronic records to the best of our ability. Not many paper records are needed or created.

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

    X Yes
    ☐ No
    ☐ Do not know

I am not the SAORM. I am the Records Officer. It would be helpful to us if NARA could complete review of Schedules quicker! It is taking 2-4 years for schedules to be reviewed and approved by NARA. NARA needs to consider extending timelines due to Covid closures.