



## *Senior Agency Official for Records Management 2020 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 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 [rmsselfassessment@nara.gov](mailto:rmsselfassessment@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: Amanda Joiner
- Position title: Associate Counsel
- Address: 633 3<sup>rd</sup> Street NW Suite 200 Washington, DC 20001

**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.*

*US Election Assistance Commission*

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

- Yes
- No
- Do not know

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

*The COVID-19 pandemic has not changed any policies or practices related to records management but has made reviewing and updating those policies more difficult due to limited resources and expanded telework.*

**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

*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)**

- Yes
- No

Do not know

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

*The agency has made some progress in this area but experienced delays in moving forward due to the COVID-19 pandemic.*

**5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

Yes

No

Do not know

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

*Temporary records are stored in an electronic format pursuant to M-19-21, 1.3.*

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

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 EAC has made investments in its cloud infrastructure to facilitate electronic recordkeeping. This includes ensuring that all electronic records are archived or backed up according to the record retention rules set by our records management policies. Additional record governance and e-discovery capabilities are enabled and active in our cloud environment and are regularly utilized by staff to respond to FOIA requests or other records requests. Finally, the EAC employs a number of defensive cybersecurity mechanisms such as firewalls, intrusion detection, and endpoint monitoring to ensure the integrity of our electronic records.*

**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

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

*N/A*

- 8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and outgoing senior officials\* 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

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

*All EAC officials have been briefed on records management, the retention schedule and the permanency of certain records depending on the officials' position in the agency. These briefings include the use of and preservation of personal email correspondence. Outgoing senior officials' systems are reviewed to determine necessary steps regarding existing electronic records and email.*

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

Yes

No

Do not know

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

*The EAC was created in 2002 by the Help America Vote Act. Therefore, the majority of our records from the beginning of the agency are electronic or have been converted to electronic.*

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

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 EAC would appreciate more guidance for agencies with limited resources, including but not limited to limited staff resources to implement records management initiatives. The EAC would also welcome reporting tailored to smaller agencies.*