



## *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 recordkeeping 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.

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Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping 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](mailto: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: Zenon Mora
- Position title: Supervisory, IT Specialist

**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 indicate any that are new or have been changed due to reorganization or other circumstances.*

**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

The USIBWC does currently manage and preserve all permanent records in an electronic format. The on-prem application we use as our electronic Document Management System (eDMS) does not have the ability to electronically transfer permanent records in the format

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required by NARA for electronic transfers. The IT department is actively vetting alternative solutions to manage our electronic records that will provide all necessary access and records management controls required to comply with NARA regulations.

**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

**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

**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

*Although we have recently transferred a substantial amount of records to FRC from our Headquarters, we are aware of many other analog records that exist and remain to be inventoried at each of our thirteen project offices. A lot of work remains to complete records inventories, but we have provided training to all of our records liaisons on the work that needs to be completed, how to properly process temporary records and identify permanent records that may require digitization.*

**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-report.pdf>)**

- Yes
- No

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Although there isn't a documented Data Management Strategy in place yet, the agency's Agency Records Officer (ARO) is also the Supervisor of the Information Management Department (IMD), and is familiar with the relation of physical records and digital assets and how they are interrelated. The IMD will be developing data management programs and structures that will ensure records are identified, organized, can be found when needed and are kept as long as necessary to support the needs of the agency, our stakeholders and in compliance with our established records schedules. The Records Management Office falls directly under the IMD and helps ensure data management mandates and electronic records requirements are considered in selecting the applications and data governance structure necessary to implement the recommendations of the Records Management Assessment Report of March 2022.

**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

**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

The agency has engaged in several digitization projects over the last few years and has required NARA's digitization standards be included in configuration and minimum standards in scopes of work. We also apply them as standards for internal digitization devices and applications.

**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 USIBWC's Social Media policy includes specific procedures required to archive and export official records from approved communications applications (texts, pictures, conversations) sent and received through agency issued mobile devices.

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

- Yes  
 No

The agency has well established points of contact at our local Federal Records Center, NARA and have access to federal records guidance and policies. The agency is transferring analog records as best we can with our limited staff and helping our records liaisons at field offices make progress on processing and inventorying all remaining analog records. The agency continues to make progress in migrating our internal business processes to fully electronic and are actively working with NARA to update our Capstone email records schedule. The agency ARO has a supervisory role within our Information Management Department which will help the USIBWC establish a common vision for data governance and be instrumental in documenting the relationship of our data strategy with records management policy. The agency also ensures IT solutions acquired for data management comply with records management policies and standards.