



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. 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: Jennifer Li
- Position title: Chief Information Officer
- Address: 2300 Clarendon Blvd., Suite 500, Arlington, VA 22201

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

American Battle Monuments 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):

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

As a staff member in the Office of the Chief Information Officer (OCIO), the ABMC Records Officer (RO) reports directly to the Chief Information Officer (CIO) and has daily interaction with the CIO and Deputy CIO on records management matters. In addition, ABMC recently worked with program offices to recruit records liaisons for each directorate, and those staff members will work closely with the RO to address records and information issues and challenges. The ABMC Chief Information Officer also serves as the agency's Senior Agency Official for Records Management (SAORM).

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

In 2020, ABMC approved and began implementation of the Capstone email management strategy, which will allow for the proper management of permanent email records. In addition, as part of an agency-wide, IT modernization effort, ABMC migrated all agency

data to the Azure cloud and began using Microsoft 365 to manage agency records with an E5 license. This strategy will allow us to more effectively manage all agency records by using retention labels and tagging items with the appropriate metadata.

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

In 2020, ABMC approved and began implementation of the Capstone email management strategy, which will allow for the proper management of temporary email records. In addition, as part of an agency-wide, IT modernization effort, ABMC migrated all agency data to the Azure cloud and began using Microsoft 365 to manage agency records with an E5 license. This strategy will allow us to more effectively manage all agency records by using retention labels and tagging items with the appropriate metadata

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

Yes
 No
 Do not know

As mentioned above, ABMC has begun an aggressive IT modernization plan which will have a positive impact on our records management program. We recently migrated all ABMC data to the cloud and began using Microsoft 365 to manage our records in SharePoint, Exchange, and OneDrive.

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

ABMC does not have an agency-operated records center and does not plan on using a commercial storage facility following the 2022 deadline. Plans are in place to inventory and prepare any legacy textual records for transfer to the NARA FRC in Suitland prior to the deadline.

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

ABMC has plans, policies, and procedures in place to ensure that the records of senior officials are captured and protected during any onboarding or offboarding process. The ABMC records management program conducts records management training for incoming officials and briefs senior-level staff on their records management responsibilities during any departures. ABMC Capstone email management strategy allows for the capture and maintenance of the email messages sent and received by high-level or senior staff.

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

- Yes
 No
 Do not know

ABMC does not foresee any challenges in meeting the goal of achieving fully-electronic recordkeeping. We believe our IT modernization efforts, migration of all agency data to the Azure cloud, and use of Microsoft 365 to manage agency records with an E5 license will allow us to more effectively manage all agency records.

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

- Yes
 No
 Do not know

Please continue to keep Federal records officers and Senior Agency Officials for Records Management informed of records management best practices through regular updates and briefings such as the BRIDG meetings.