



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:
- Position title:
- Address:

Scott Hefter
Chief Operating Officer
Corporation for National and Community Service
250 E Street SW, Suite 300
Washington, DC 20525

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.

Corporation for National and Community Service – entire agency.

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):

In early 2019, the agency began implementing a Transformation and Sustainability Plan which resulted in the closure of nearly 50 small field offices and a move to a more regionalized model. During the process of office closure, the agency focused efforts on the proper management (storage and destruction) of hardcopy records and the conversion of paper records to electronic documents. That focus on digitization and use of electronic records has been carried over in our agency operations during COVID – heavy use of electronic records (almost exclusively). Lowering our reliance on and use of hardcopy paper records has allowed the agency to increase efficiencies while continuing to and meet mission requirements during COVID-19.

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:

Yes, partially. The agency does have an established Electronic Records Management Working Group that meeting monthly and brings together the Office of Information Technology with the Agency Records Officer however involvement with programming offices and other records management staff has not remained in a formalized structure for several years – involvement of programming and other records management POCs has occurred as needed and has been more focused on a particular programming office's records needs. Resurrecting a larger Records Management Working Group will be a focus of the agency in calendar year 2021.

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):

CNCS continues planning to implement Records Center in SharePoint to store the agency data assets. The Office of Information Technology are integral to an agency Electronic Records Working Group with a large role in configuring Records Center to support agency electronic records management needs. While initial configurations have been completed (to include some schedules, CUI categories, and other metadata fields), further documentation of workflow, configuration, and testing are required.

New records are being converted (if not originating) into an electronic format. Efforts continue in reviewing older hardcopy permanent records stored onsite to ensure they are prepared for accessioning to NARA (most are located at our headquarters office); the agency is considering temporary staffing support to improve progress on this work.

The Electronic Records Working Group participates in monthly meetings to further develop specific goals and milestones for finalizing the configuration and implementation of 'Records Center' with focusing on training and submission of permanent electronic records to NARA to meet requirements in M-19-21, Goal 1.2.

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):

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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:

The agency is working to fill its vacancy in its Records Officer position; in preparing for this hire, the position description has been updated to ensure to focus of the job duties and skills required in electronic records management – understanding of concepts but also experience with technologies needed to implement ERM.

Additionally, the agency is actively using existing resources within its Office of Information Technology (to include contractors with expertise in the Microsoft Office Suite, Sensitivity Label Tagging, and Electronic Records Management). The resources that these contractors bring have allowed the agency to further along set-up and testing of some key tasks required with ERM.

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):
CNCS does not have any agency-operated records centers.

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):

Yes. Agency has procedures in support of NARA requirements that ensure records of outgoing Senior Officials are properly captured and processed however additional procedures/implementation is needed to ensure those records are not improperly removed from the agency.

Training resources have been updated for new appointees/employees. Checklists (upon entering and departing the agency) exist that outline staff responsibilities and resources for support with records management. . and resources exist for the agency records management program (to include records management training, new employee orientation, and privacy training), however procedures that specifically target senior officials are still under development.

Procedures for strengthening records management for on/off-boarding appointees and senior officials requires strengthening to ensure all receive the appropriate amount of training and guidance upon entry to and exit from federal service.

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):

Staffing resources were a challenge starting in mid-2019 and through 2020 as the agency Records Manager position has been vacant. The agency continues to make progress in hiring to ensure the void in records management program coordinate support is addressed.

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):