



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: Toni Reddish
- Position title: Deputy General Manager
- Address: 625 Indiana Avenue, N.W. #700, Washington, D.C. 20004

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

The Defense Nuclear Facility Safety Board (DNFSB) is an independent agency and all components are covered in this report.

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):

During the COVID-19 pandemic there has been limited to no access of hard files. Prior to the onset of COVID the Agency planned a comprehensive inventory of electronic and hard files with each component of the Agency. Reconciling hard records with the electronic records have been challenging. During this time the Agency has not been able to have consistent electronic working group meeting. The new proposed schedule approval has been delayed.

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:

Progress was made in 2019 and is gaining more traction in 2020. The following steps are in progress to meet the goal of managing all permanent records electronically with appropriate metadata by 2022: Agency stakeholders have been identified, research has begun to identify, procure, or build products with the ability to pull metadata, the agency has an Electronic Records Working Group that has reached out to other agencies to share information and learn best practices. This group had a meeting with a similarly-sized agency where the group observed a helpful demonstration and had a helpful Q&A session. The IT department also continues to explore storage solutions.

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 DNFSB implemented a solution to manage permanent e-mail records in the government cloud. The DNFSB's E-mail managed under Capstone Approach was approved January 25, 2017 and has been subsequently implemented. Permanent email records generated by officials identified in the Capstone approach are retained electronically. Additionally, the DNFSB Electronic Records Management Working Group was established in 2019 to meet and regularly determine the best solution for managing permanent and temporary electronic records which fall outside of the e-mail system. However, due to the inability to reconcile hard files and electronic files during the Pandemic. Work on the project has been delayed. The Agency may have challenges meeting the December 31, 2022 deadline.

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):

Progress with temporary records is closely aligned with the progress made with keeping permanent records electronically in 2019 and continues in 2021. The following steps are in progress to meet the goal of managing temporary records electronically: agency stakeholders have been identified, employees receive annual records management refresher training, and the Agency Records Officer is available for any questions related to temporary records and schedules. Due to COVID-19 Pandemic and the inability to go into the office, the Agency's efforts to manage all temporary records in an electronic format has been delayed. The Agency may have challenges meeting the December 31, 2022 deadline.

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 Agency is in the process of deploying MS 0365 to include MS Teams and One Drive to support the records management process. We will also continue to use the H: to store 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):

The Agency currently does not maintain records with a records center. However, the Washington National Records Center (WNRC) has been identified for commercial storage of Agency records

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):

Senior officials are briefed by the Records Manager when they on-board and are provided a link to NARA's training. Senior officials also receive annual RM refresher training. Additionally, the senior officials are interviewed prior to their planned departure to ensure records are appropriately captured and stored. Finally, during the exit process, the senior official is required to sign a Records Management Exit Checklist, which must also be signed by their manager (if applicable) before the Records Manager clears their departure on the exit form.

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 agency will have to use a third-party solution in the event current cloud services cannot be used. The agency is actively seeking solutions and believes it will find services/vendors in time to meet the goal, but a small risk remains.

9. 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):

Provide suggestions for electronic tools to assist with the conversion. Assistance with electronic transfers.