



## *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: James Biggins
- Position title: General Manager

**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. 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 X
- Not applicable, all records are in electronic format

The agency’s largest component made major progress by eliminating many hardcopy files scheduled for disposition. DNFSB plans to be in substantial compliance with the mandate to manage, preserve and transfer all permanent records electronically, with

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appropriate metadata, by June 30, 2024. The agency's internal stakeholders have been consulted. The agency plans to identify, procure, and implement a records management application during FY2024 with the ability to search metadata, as budgetary resources allow.

**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 x
- No
- Not applicable, all records are in electronic format

DNFSB is in the process of locating the proper software/vendor to implement the electronic records capture processes. As part of this implementation, all staff were required to capture both temporary and permanent electronic records and store them electronically during Q2FY2024. Therefore, all records will be preserved in an electronic format by June 30, 2024.

**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 x
- 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

DNFSB plans to submit and receive an approved transfer request prior to June 30, 2024.

**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 x
- No

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DNFSB has established a team that includes personnel in records management, IT, contracts, budget and the Executive Secretariate to coordinate and collaborate across functional areas. The team facilitates DNFSB's decision-making about specific tools and systems used and how to strategically leverage information to support workload management, asset management, project management, and more. All agency staff are required to follow DNFSB's Records Management Program Directive D-421.1. This directive established policies and assigns responsibilities for all DNFSB staff. It also provides specifications for decisions and accountability of DNFSB's framework to ensure appropriate evaluation, creation, storage, use, archiving and deletion of information, as required.

**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 x  
 No  
 Not applicable, my agency does not currently have a designated Agency Records Officer

As the General Manager and SAORM, I am in the supervisory chain for all Division Directors and Program Manager. I meet weekly with Division Directors, one of whom is the Agency Records Officer. I receive regular updates on the Records Management Program generally, and specifically track the agency's progress toward transition to electronic records management.

**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 x

DNFSB plans to transfer all analog permanent records to NARA's Federal Records Center by June 30, 2024.

**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 x

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DNFSB has proactivity engaged and partnered with NARA Federal Records Center consultants to draft a comprehensive records management policy that will address electronic records in all formats, including records that may result from the agency's use of social media platforms.

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

- Yes  
 No x

There is no specific policy or guidance required from NARA at this time.

**Additional comments:**

**The most beneficial support would be if NARA led the establishment of a cross-platform government-wide Software as a Service (SaaS) records management system. The system could be designed to provide records management functions of creation, storage, indexing, retrievability, reporting, and meta-data for all agency records across platforms (network drives, chat functions, voicemail and video mail, email, one drive) and compatible with different software programs (sharepoint, Teams, Outlook, Adobe, etc.) with integrated functionality for FOIA, Sunshine Act, FACA, and records management requirements. Making such a system available to small agencies would reduce non-compliance risks and allow for economies of scale.**