



Senior Agency Official for Records Management 2019 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 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 2019 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 Bruce M. Downs
- Position title Principle Deputy Chief Information Officer
- Address 1849 C Street NW
Washington DC 20240

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.

The Department of the Interior (DOI, Department) Senior Agency Official (SAO) represents the component bureaus and offices in the table below (identified by Bureau/Office name and NARA Record Group).

Organization/Component Office	Record Group
Department of the Interior	RG048
Office of the Secretary	RG048
Indian Arts and Crafts Board	RG435
Bureau of Indian Affairs	RG075
Bureau of Land Management	RG049
Bureau of Ocean Energy Management	RG473
Bureau of Safety and Environmental Enforcement	RG589
Bureau of Reclamation	RG115
National Park Service	RG079
U. S. Fish and Wildlife Service	RG022
Office of Special Trustee	RG075
Office of Surface Mining, Regulation and Enforcement	RG471
United States Geological Survey	RG057

No other DOI Bureaus report separately

2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)

- Yes
 No

The DOI implemented the eMail Enterprise Records and Document Management System (eERDMS) in support of OMB M-19-21 Goal 1.1. eERDMS is a DOI-wide cloud-based records management system that supports the departmental electronic

records program. The DOI also developed a Records Management Program Strategic Plan that ensures bureaus and offices work towards the goal for permanent electronic records, as well as the 2022 goal for electronically managing all records.

The DOI is currently working through a verification process to ensure maintenance of permanent electronic records but has not yet been able to verify that all permanent records have made this transition. The DOI is integrating the Data Tracking System (DTS) with eERDMS, which will ensure storage of permanent policies, directives, memorandums, etc. in eERDMS. Other bureaus are working similar projects to achieve M-19-21 Goal 1.1. While DOI did not fully meet the M-19-21 Goal 1.1 by the end of 2019, the Department made significant progress that positions us to achieve this goal over time.

3. 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

As noted in the response to Question 2, DOI made significant progress in managing permanent records electronically in eERDMS. Part of the transition process to eERDMS includes the identification of appropriate metadata for records as they are transitioned into the platform. DOI is making the capture of appropriate metadata a key component of the Office 365 implementation to ensure records are retained appropriately.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

Yes

No

The DOI is migrating temporary records to electronic format in parallel with permanent records as described in previous questions. Each DOI bureau has their own records management program that caters to unique bureau needs but also links to the departmental program and associated strategic plan. The Office of the Secretary, Office of the Special Trustee for American Indians (OST), the Bureau of Safety and Environmental Enforcement (BSEE), Bureau of Reclamations (USBR), and Bureau of Land Management (BLM) have added resources to enable the move to electronic records. The USBR is managing the vast majority of their records electronically in eERDMS. OST also initiated a large-scale digitization effort in the American Indian Records Repository. The DOI initiated over 20 additional projects that are migrating various temporary records to electronic format.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through

strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

Yes

No

The DOI Records Management Program operates in a federated model whereby the Department establishes broad guidelines that the bureaus and offices can implement and customize for their own specific needs. To this end, the Department has documented the following list of Standard Operation Procedures that the bureaus and offices can leverage and incorporate into their own bureau specific manuals as appropriate:

- Recordkeeping Requirements and Adequacy of Documentation
- Department Records Schedule Implementation Guide
- Records Classification
- Legal Holds
- Records Schedules and Disposition
- Removal & Destruction of Federal Records
- Vital Records
- Discovery & Collections
- Capture of Departing High Level Officials and Political Appointee Information

The DOI is beginning to utilize automated tools that support the implementation of these standard operating procedures whenever possible. The Department is also working to update the Records Management chapters in the Departmental Manual, focusing them on the migration to electronic records.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

Yes

No

DOI will conduct a data gathering exercise this year to identify any agency-operated records storage facilities and will then develop plans to address resolution based on the data collected. Currently, many storage facilities are collection points prior to records transfer to a Federal Records Center. These collection points will organically decrease as DOI migrates to electronic records.

7. Does your agency have procedures that include documentation to ensure records of 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

DOI has a cross-functional team from Human Resources, the Office of the Chief Information Officer, the Solicitor's Office, and the White House Liaison which meets regularly and tracks the pending departures of political appointees and High-Level Officials. As noted in the response to question 5, DOI developed a Standard Operating Procedure for the "Capture of Departing High Level Officials and Political Appointee Information". DOI also issues a memorandum towards the end of an administration that reminds political appointees of their records retention obligation and need to return all government furnished equipment for retention of appropriate records.

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

Yes

No

While DOI is making good progress in the transition to electronic records, the primary challenge we face is overcoming the resource and budget limitations that will hinder the accomplishment of the 2022 goal. This is particularly challenging within DOI as we are currently completing the migration from Gsuite Enterprise to Office 365. In addition, in 2020 we are recompeting our eERDMS contract. Concurrently tackling these major system transition projects and moving to fully electronic recordkeeping in parallel is a definite challenge.

9. Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?

Yes

No

Continued effort to expand guidance on the implementation of products like Office 365 and topics like the use of digital signatures would be extremely helpful. Recent efforts within the Federal Records Management Council assisted in this area.

The DOI also requests that NARA continue to update scheduling policies and functionality within the Electronic Records Archive (ERA) system to enable the consistent and simplified implementation of media-neutral schedules, as well as the ability to execute transfers of large volumes of email and other electronic records that NARA will accession.