



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.

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. 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: _Vince Micone_____
- Position title: __Deputy Assistant Secretary for Operations_____

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

This report covers all agencies and offices of the U.S. Department of Labor (DOL).

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
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

DOL offers that currently some of the metadata (generally the description field) will need to be generated at time of transfer and will not be item-level but be more general at the series level. This complies with 36 CFR 1236.54. In the coming years, we anticipate using generative AI to create item level descriptions.

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
 No
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

DOL agencies have moved to electronic record keeping to the fullest extent possible. There will continue to be select series of records with short retentions, generally one year or less, that may remain only in paper. This is due to the lack of a return of investment on scanning records with such short retention periods.

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
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

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

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

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
 No

Please explain your response.

DOL's Enterprise Data Strategy identifies a requirement for data to be integrated as a priority into existing management systems (<https://www.dol.gov/sites/dolgov/files/Data-Governance/DOL-Enterprise-Data-Strategy-2022.pdf>). The goal of this strategy is to not create new systems for data, but rather to continue using existing requirements, such as established records management policies and procedures, to manage data. In this way, DOL's existing records management principles are incorporated into DOL's enterprise data strategy.

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

Yes, DOL's SAORM and Departmental Records Officer meet monthly to discuss DOL's records management strategy, progress towards meeting OMB M-19-21 and M-23-07 goals, electronic records management policy questions, and other records management issues highlighted by recent NARA bulletins or issuances.

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

The Department's 2023 IRM strategic plan was drafted in 2022 prior to the final rule for the digitization of permanent records. The DOL IRM for 2023 incorporated the move to electronic recordkeeping platform with the goal of an all-electronic records environment. This initiative has promoted business process transformation to born digital/all digital workflows with a goal of minimizing the need for digitization of paper records. DOL will incorporate NARA's digitization standards into future releases of the IRM strategic plan.

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

The Department's social media policy, as published in its Social Media Handbook for Employees, includes guidelines and requirements for establishing clear processes and roles in managing social media records, creating a schedule for social media content, capturing social media content, and responsibilities when dealing with social media providers and third parties. This policy is reiterated in the DOL Manual Series, Records Management Section 1-530.

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

Yes

No

Please explain your response and include any comments on existing, pending, and future topics.