



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: Jason Gray
Position title: Chief Information Officer
Address: 400 Maryland Ave SW, Washington, DC 20202

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 indicate any that are new or have been changed due to reorganization or other circumstances.

The United States Department of Education.

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):

Not applicable.

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:

Support is not necessary.

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):

In calendar year 2020, the Department continued to update its records management policy to identify and mandate the appropriate metadata requirements as mandated by M-19-21, 1.2. Additionally, the Department invested in technological tools which will assist with managing all permanent electronic records through data tagging.

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):

The Department leveraged (1) Office 365 to create, collect and manage all unstructured information created by principal offices to execute day to day operations, to include temporary program files; and (2) electronic information systems to enable digital processes for administrative support services. Additionally, the Department is investing in technological tools which will assist with managing all temporary electronic records through metadata tagging.

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 Department invested in technology to assist in the transition to electronic recordkeeping. This technology, in concert with Office 365 and newly developed retention policies, will be used to identify data, its function and retention policy. Once established, this technology will allow the Agency Records Officer to coordinate timely destruction of eligible temporary data and transfer permanent data to the National Archives.

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):

Yes, the Department does have plans to use commercial storage to replace NARA FRCs by December 31, 2022. The Department is currently developing a Blanket Purchase Agreement (BPA) for use by all the Department's components to use to store records with a commercial storage partner that has not yet been selected. The Records Management team is working with the Department's Contracts and Acquisitions Management team to ensure that the BPA includes all NARA requirements for commercial storage facilities. Once the BPA is in place, the Department will be able to utilize this BPA whenever paper records storage is needed.

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):

All new employees receive a records and information management briefing during orientation. Capstone Officials are given an additional briefing by records management staff to reinforce the requirements associated with creating, receiving, and managing permanent records. Additionally, Capstone Officials are issued regular reminders of their responsibilities throughout their tenure. At the end of tenure, all employees must certify their records have been identified, captured and only their own personnel-related information may be copied and removed upon separation.

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):

There are no perceived challenges.

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):

NARA could enhance its approach to bi-monthly SAORM meetings by facilitating discussions around modernization. For example, related to M-19-21 implementation, discussions on technologies being leveraged by agencies to fulfill the requirements could be very helpful to the entire records management community. Also, it would be helpful if NARA could prioritize the review and approval of the Department's new information retention policies to ensure successful implementation of M-19-21 by its prescribed December 31, 2022 deadline.