



Senior Agency Official for Records Management 2021 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. 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 records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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, 2021, 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 2021 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: **Sonya Johnson**
- Position title: **Director, Records and Privacy**
- Address: **441 G Street, NW Washington, DC 20548**

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

Government Accountability Office (GAO)

2. Has the COVID-19 pandemic impacted 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):

GAO employees successfully transitioned to a telework posture and were provided additional resources on using remote access tools and leveraged technology to include virtual collaboration such as Zoom, Skype and MS Teams to maintain continuity of operations. However, the challenge of the FRC closures impacted our ability to fully execute the retrieval and transfer processes.

3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

- Yes***
- No**
- Do not know**

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

The SAORM and ARO have been working with designated stakeholders to include IT, Security, and OGC to assemble a project team to develop ECM Governance at GAO. This project team has worked to assess current governance capabilities, determine governance goals/scopes, develop structure and establish the processes for the governance. Additionally, the R&P team collaborates with Records Liaison Officers and various stakeholders to ensure that GAO records are managed according to the Records Retention Schedules.

4. Will your agency meet the goal to manage and preserve 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, example metrics, and/or challenges):

GAO continues to evaluate the inventory of permanent records and recently transferred over 5,000 boxes of permanent records to NARA for permanent preservation.

5. Will your agency meet the goal to manage and preserve 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, example metrics, and/or challenges)

Most of GAO records are created in an electronic format. We will continue to assess and execute a plan to determine the disposition of the paper records throughout Headquarters and Field Offices.

6. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

- Yes
- No
- Do not know*

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

GAO is awaiting further guidance from NARA to determine the best approach to comply with the M-19-21 requirements.

7. **Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes*
 No
 Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

GAO has procured the support of a vendor to assist with the development of IT Modernization to include continuous transition to an Electronic Environment.

8. **Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?***

- Yes
 No*
 Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

GAO has not developed a plan to store temporary records in a commercial storage facility to meet the requirements of M-19-21, 1.3 by December 31, 2022. This would not be the best fiscal management approach and does not align with current strategic goals and objectives.

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):

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

Yes

No*

Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):