



## *Senior Agency Official for Records Management 2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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 progress through December 31, 2018.
- 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 [rmselfassessment@nara.gov](mailto:rmselfassessment@nara.gov). Include the words "SAORM 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:  
Bob Stafford
  
- Position title:  
Chief Administrative Services Officer and Senior Official for Records Management
  
- Address:  
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WASHINGTON DC 20405-0001

- 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.**

This report covers the General Services Administration, which includes the Federal Acquisition Service and the Public Buildings Service. No portion of GSA will be reporting separately.

- 2. Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

Yes

No

*Please explain your response:* GSA is making progress towards managing all permanent electronic records in an electronic format by the end of this year. GSA has been rolling out an electronic document management system (EDMS) over the past several years, slowly migrating data and records from legacy systems into it. These migrations include using EDMS to replace old backend databases as well as moving individual electronic files in a methodical way from GSA business functions to the new EDMS.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes  
 No

*Please explain your response:* GSA has a two-pronged approach to meeting the Office of Management and Budget Memorandum M-12-18 requirement that all permanent electronic records be managed in an electronic format. First, GSA is reviewing the data in its IT business systems to ensure the records contained in them include metadata that allows us to handle them according to the appropriate Records Schedule rules. Second, the agency is migrating data from various sources into a data repository called the Electronic Document Management System or EDMS. EDMS will store both permanent and temporary records and include a Records Management Module that applies the GSA Records Schedule rules to the electronic data.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

*The Reform Plan states:*

***Transition to Electronic Environment:** Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes  
 No

*Please explain your response (include specific goals and example metrics):* The vast majority of GSA records created today are created digitally. Thus, our challenge is to manage the volumes of paper records stored in filing cabinets and in boxes around the agency. To prepare for the December 31, 2022 deadline, the agency is developing an Electronic Records Management Strategic Plan with business line leaders and records management experts. The plan will include an inventory of the agency's electronic record holdings, along with a matrix

of the appropriate Records Schedules for the holdings. This plan will be used to implement the agency's electronic records program.

**5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

Yes

No

*Please explain your response:* GSA's records management team is working with GSA's Schedule 36 team to determine whether and how the offerings available on the Schedule could assist with the implementation of an electronic records management program.

**6. Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

\*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

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

*Please explain your response:* The GSA Office of General Counsel discusses records management responsibilities with incoming senior officials. GSA has training for exiting senior officials and a form that all employees must complete that addresses records before they separate from the agency. In FY 2019, GSA created an ad hoc training to offer for all incoming senior officials on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes  
 No

*Please explain your response:* As the director of GSA's Office of Administrative Services and as the Records Management SAORM, I regularly meet with other senior executives to ensure they have what they need to comply with our records management program requirements. Also, when necessary, I provide staff resources to offices and regions that request help with the process. In fact, last year, I sent records management staff to 8 regions to provide training and help with the record retention and disposal process. I have routine meetings with GSA's Chief Information Officer (CIO) to discuss electronic records issues the agency is working on and provide records management support to the CIO team that is developing the EDMS system. In addition, GSA's current Information Resources Management Strategic Plan includes records management as a goal and IT commitment: "Records management. Create and preserve records documenting the organization, functions, policies, decisions, procedures, and transactions of GSA and implement the full lifecycle of information management from creation or acquisition through its final disposition."

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes  
 No

*Please explain your response:* These duties and responsibilities are described in GSA Order 1820.1.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes  
 No

*Please explain your response:* As the Chief Administrative Services Officer and as the Records Management SAORM, I directed the Office of Accountability and Transparency to visit each regional office to ensure records management directives, policies, procedures and retention schedules are being properly implemented. Where they are not, plans are being developed to ensure actions are taken to improve recordkeeping in those regional offices that need assistance.

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

Yes

No

*Please explain your response:* GSA is comfortable with our strategic plan regarding the transition to fully electronic recordkeeping. We do look to NARA for continued guidance via NARA bulletins to clearly explain, in plain language, requirements and illustrations of what constitutes a “successful transition”.