



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: Diana Forti
- Position title: CAO/CIO
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- Office telephone number: 915.832.4123
- Email: Diana.Forti@ibwc.gov

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

All of the U.S. Section of the International Boundary and Water Commission.

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):

Prior to the pandemic, agency records management staff was scheduled to travel to a percentage of our field offices to begin assessing their records management programs, identify essential records, train employees on records management inventory procedures, identify paper record processes for conversion to electronic processes and produce an inventory of permanent records requiring digitization. This was a continuing effort of the agency to comply with OMB 19-21 Transition to Electronic records. The COVID-19 pandemic also effected the practices of regularly uploading finalized correspondence to our Electronic Document Management System (eDMS) by our admin support personnel responsible for keeping up with this requirement during this time. We found working remotely caused some delays in accessing our eDMS and have noted there were not as many uploads occurring as when personnel are working from our HQ. There was also a digitization contract in place which required work to stop for several months in 2020 due to personnel from our contractors not having access to the facilities where scanning of documents was being completed. The pause in work throughout most of 2020 caused many records scheduled to be digitized that year to not be completed as planned. The agency will re-issue a digitization contract in FY21 to continue with this effort.

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:

As a small agency, our head of Information Technology is also the supervisor of our Records Management Office (RMO) and is assigned the role of Agency Records Officer which helps connect our information governance framework to our records and data management lines of business. Currently, we are engaged in evolving our existing policy to better define and establish electronic records management practices, solidify procedures for IBWC staff to follow when creating, managing and storing electronic records and fully convert the few remaining internal business practices from paper to electronic. The pandemic forcing personnel to work remotely has benefited the agency however, as it has required us to execute most of our internal business practices electronically, making the use of electronic signatures more efficient for example, vice capturing wet signatures on documents and scanning them. The agency has identified the need for a more structured method for our employees to create, manage and store electronic records within a centralized system than what we currently have in place. We have identified our current eDMS does not meet the requirements for electronically transferring records to NARA efficiently. We are actively researching a better, compliant solution to replace our current eDMS. The agency will utilize GSA's Electronic Records Management Solutions category (518210ERM) consolidated schedule to acquire the services and solutions needed to better manage our electronic records.

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):

Currently, all permanent electronic records created and preserved by the U.S. IBWC are fully managed electronically with appropriate metadata for eventual transfer and accessioning by NARA in an electronic format. The agency has implemented business processes that support the creation of permanent electronic records and eliminate the need to produce and manage hard copy paper records. Policies are being developed that provide training and guidance to all personnel on their records management responsibilities to create, process and manage all permanent records in an electronic format. Our established eDMS protects against unauthorized access, use and alteration of permanent records. The agency is in the process of identifying a better solution for transferring electronic records to NARA in electronic format.

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):

In accordance with M-19-21, 1.3, the agency has identified all temporary records and has transferred most inactive, temporary paper records to our Federal Records Center. Our existing eDMS application (PaperVision) does have the capability of exporting temporary records electronically however the process requires the use of a contractor to run queries and perform several manual steps in order to successfully execute an electronic records package that can be uploaded through the Electronic Records Archive (ERA) portal as required. We are working with our contractor to submit our first batch of temporary records in an electronic format by the end of this fiscal year. We are also pursuing a more automated solution to replace what we have in place to make this process seamless in the future. The U.S. IBWC does not maintain any commercial records storage facilities

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 U.S. IBWC does not have any agency operated records centers; this question is not applicable.

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):

The U.S. IBWC does not have any operated records centers; and does not plan to use commercial storage space; this question is not applicable.

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):

The agency is in the process of updating its Management of Electronic Records directive to incorporate exit interviews as a requirement with outgoing senior officials as part of our clearance process, to ensure their records are properly captured and processed and not improperly removed, altered, or deleted. An agency-wide assessment was completed of all agency senior officials in 2019. Reviews of senior official personnel and records in their offices are identified as official records or copies. The location of their electronic record holdings is identified and will be reviewing with the departing official or their administrative support staff for submittal to our eDMS if necessary, as part of the updates to our policy. Our updated clearance process will require senior officials to certify that they do not take any agency documents or records with them.

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):

As the agency SAORM, I have seen some challenges overcome this reporting year, such as the use of electronic signatures to sign off on internal documents and processes, advancing our progress towards electronic recordkeeping. We are taking steps to more aggressively inform and train employees on operating fully electronically this year. One challenge we had identified last year and are working to mitigate is our internet connectivity at our field offices which runs through

legacy IT Infrastructure and makes it difficult for employees to access our HQ eDMS server from our field office locations. All field offices are currently having their IT infrastructure upgraded over the next three years which should allow better access to ERM resources and services over the internet. There is also the need as described in responses above, to implement a compliant ERM application/service to allow the agency to better manage records electronically from their creation to final disposition.

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):

As a small agency we always like to leverage any assistance we can obtain to help us comply with our records management requirements. I am confident we are making progress towards our goal of complying with M-19-21 although somewhat hampered this year due to the COVID-19 pandemic. It is always helpful to have the experts validate our efforts are effective and validate we are on the right track, however.

[Add anything you feel necessary here to provide a more accurate response from you on this]