



Senior Agency Official for Records Management 2019 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 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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, 2019.
- 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 2019 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):

- Peter O. Thomas, Ph.D.
- Executive Director
- 4340 East-West Hwy., Room 700, Bethesda, MD 20814

- 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.**

Marine Mammal Commission (MMC)

- 2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
✓ No

The MMC has identified its permanent electronic records and is currently reviewing its draft electronic file structure. Upon completion it will be implemented on the Shared Drive to manage the agency's permanent electronic records.

- 3. 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

Please explain your response (include specific goals and example metrics):

The MMC has identified its permanent electronic records and is currently reviewing its draft electronic file structure. Upon completion it will be implemented on the Shared Drive to manage the agency's permanent electronic records.

The Commission's goal is to have the electronic file structure in place by May/June 2020. With the identification and location of agency's permanent records the MMC has accomplished 50% of this goal.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

✓ Yes

No

Please explain your response (include specific goals and example metrics):

The MMC has identified its temporary electronic records and is currently reviewing its draft electronic file structure. Upon completion it will be implemented on the Shared Drive to manage the agency's temporary electronic records.

The Commission's goal is to have the electronic file structure in place by May/June 2020. With the identification and location of the agency's temporary records the MMC has accomplished 50% of this goal.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

✓ Yes

No

Please explain your response (include specific goals and example metrics):

The MMC is a micro-agency with less than 13 FTE's. A strategic plan for 2020 is being developed based on M-19-21.

The Commission's goal is to have the strategic plan in place by the end of March 2020. Listed below are the milestones for the strategic plan.

Finalize Implementation of Capstone for Senior Officials

Finalize Electronic File Structure on Shared Drive (March/April 2020)

Finalize and distribute Records Management Handbook (May/June 2020)

Provide Basic Records Mgmt Training to all staff (May/June 2020)

Provide Annual RM training to all staff (January 2021)

Transfer all paper records to WNRC (December 30, 2022 as outlined in M-19-21)

6. **If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

- Yes
 No

This question is not applicable to the MMC.

7. **Does your agency have procedures that include documentation to ensure records of 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

Please explain your response (include specific details of procedures):

The MMC is currently developing a Records Management SOP for outgoing senior officials.

8. **Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

- ✓ Yes
 No

Please explain your response (include details of specific challenges, if applicable):

Significant challenges faced by the Commission include funding and staff resources necessary to implement and consistently maintain an agency records management program.

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

✓ Yes

No

Please provide details on what support is needed:

NARA needs to reach out to agencies and include information technology personnel to provide support regarding the transfer of email and electronic records.

NARA needs to keep micro-agencies in mind when developing guidelines, policies, and requirements that fit the needs of a large agency but place an undue burden on smaller agencies. Specifically, the financial and personnel burdens of such requirements should be considered.