



## *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 [rmselassessment@nara.gov](mailto:rmselassessment@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: Peter O. Thomas, Ph.D.
- Position title: Executive Director
- Address: 4340 East-West Hwy., Rm. 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 provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.*

Marine Mammal Commission (MMC)

**2. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?**

Yes

X  No

Do not know

*Please explain your response (include details of specific challenges, if 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

X  No

Do not know

*Please provide details on what support is needed:*

The MMC, as a micro-agency of 12 FTE, does not have funding or dedicated personnel to establish a formal information governance framework. The SAORM is the agency's Executive Director. Individual staff members (CIO, RO) report to the Executive Director and are responsible for coordinating with each other to connect information, data, and records management.

**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):*

The MMC is currently finalizing an electronic file structure. Upon completion, the agency's permanent electronic records will be managed through the implementation of a specific agency-wide shared drive.

The Commission has accomplished 85% of its goal to have the electronic file structure in place by May/June 2021.

**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 MMC is currently finalizing an electronic file structure. Upon completion, the agency's temporary electronic records will be managed through the implementation of a specific agency-wide shared drive.

The Commission has accomplished 85% of its goal to have the electronic file structure in place by May/June 2021.

**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 MMC has two individual contracts in place to provide IT and RM support needed to ensure the transition to electronic recordkeeping. Internal staff will be utilized to provide administrative support as needed.

**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

X  No

Do not know

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

MMC plans to transfer all paper records to WNRC or NARA by or before the December 31, 2022 deadline. Commercial storage would be more costly than utilizing NARA records centers.

**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.

X  Yes

No

Do not know

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

Incoming and outgoing senior officials are briefed about their records management responsibilities by the Agency Records Officer. Additionally, they receive a Power Point training and various other materials. Upon separation from the agency, a questionnaire is signed by the individual employee and their immediate supervisor.

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

X  Yes

No

Do not know

*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.

**10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

Yes

X  No

Do not know

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

MMC believes our current level of engagement to be sufficient.