



Senior Agency Official for Records Management 2023 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, 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 recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 8, 2024, and reports are due back to NARA no later than March 8, 2024.

NARA plans to post your 2023 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2023 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: **Jay Trainer**
- Position title: **Acting Chief Operating Officer**

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

- Office of the Archivist of the United States
- Deputy Archivist of the United States
- Office of Inspector General
- Equal Employment Opportunity Office
- National Historical Publications and Records Commission
- General Counsel
- Congressional Affairs Office
- Office of the Chief of Staff
- Office of the Chief Operating Officer
- Office of Human Capital
- Office of Innovation
- Office of the Federal Register
- Agency Services
- Research Services
- Legislative Archives, Presidential Libraries, and Museum Services
- Office of the Chief of Management and Administration

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- Office of the Chief Acquisition Officer
 - Office of the Chief Financial Officer
 - Information Services
 - Business Support Services

2. Will your agency meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)

Yes

No

Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

3. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

Yes

No

Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

4. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities by June 30, 2024? (Choose all that apply)

Yes

No

Not applicable, my agency does not have agency-operated records storage facilities

Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)

Yes, we will transfer to the FRC

Yes, we will transfer to commercial storage facilities

No

Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

6. Does your agency have a Data Management Strategy that includes records management principles? (<https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-report.pdf>)

Yes

No

Please explain your response.

NARA has not finalized a Data Management Strategy as the current priority is to develop an Artificial Intelligence Strategy and an Information Technology Strategy. The Chief Data Officer plans further work on the Data Strategy in the coming year with engagement from the records management program.

7. In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program's goals?

Yes

No

Not applicable, my agency does not currently have a designated Agency Records Officer

Please explain your response. (If 'Yes,' please include how often, a description of topics, and outcomes of these meetings. If 'No,' please explain why not.)

Management meets with the ARO on a biweekly basis. Those meetings include topics such as policies, processes, projects, and resourcing. Acting COO meets with the ARO on specific topics when needed. The SAORM receives quarterly reports from the records management program. These reports include activities conducted for compliance and cover policies, operations, and support.

8. Has your agency incorporated NARA's digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)

Yes

No

Not applicable, my agency is not currently digitizing records

Please explain your response. (If 'Yes,' what steps have been taken? If 'No,' why not?)

The most recent version of the published Information Resource Management (IRM) Strategic Plan is dated May 2015 which was prior to NARA's digitization standards. NARA is moving towards publishing a condensed Information Technology Strategic Plan instead of an IRM Strategic Plan. When doing so, the information services staff will consult with the records program on incorporating components of the program as applicable.

9. Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?

- Yes
 No

Please explain your response.

NARA has a social media policy and formal guidelines to equip staff to represent NARA on social media platforms to the fullest potential. NARA uses social media archiving software to capture social media records where retention rules can be applied according to the records disposition authority covering these records.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

- Yes
 No

Please explain your response and include any comments on existing, pending, and future topics.

It would be good to receive targeted guidance for information technology, security, and privacy communities to emphasize the need for collaboration in successfully managing electronic records. Most records programs do not have the budget or expertise to manage electronic records in a fully automated manner without tight coordination and support from information technology (IT) staff.