



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 J. Veilleux
- Position title: Chief, Legal, External Affairs and Performance Branch
Program Counsel Division
- Address: 1201 New York Avenue, N.W., Suite 500, Washington, D.C.
20005

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.

This report covers all offices of the U.S. Office of Government Ethics.

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):

Records management policies and practices have not changed since all records were managed electronically prior to the pandemic.

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:

OGE's records management program supports and is supported by the other information lines of business at the agency through open and frequent collaboration and consultation.

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):

OGE currently manages all permanent and temporary records in an electronic format in an authorized record-keeping system or application. OGE has in place an agency-wide records management policy in accordance with the Federal Records Act and guidance issued by the National Archives and Records Administration (NARA) and the Office of Management and Budget (OMB). During FY 2020, the OGE Records Officer provide guidance and training for all OGE personnel on how to manage permanent and temporary electronic records. OGE also has in place written guidance on managing records in electronic record-keeping systems and applications to ensure that the systems meet the universal ERM requirements.

4. 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):

See Response to Question 3.

5. 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.

OGE has increased IT staff this past year, which will enable more resources to support maintenance and development of electronic records management applications. OGE is also exploring supplementing its in-house applications with commercially available products.

6. 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):

OGE continues to take specific actions to support the transition to electronic recordkeeping. We will not produce temporary records in analog formats, to the fullest extent possible, by 2022. We are also preparing to disposition inhouse hardcopy inactive temporary records. If any hardcopy records remain after dispositioning activities, they will be digitized or transferred to a local FRC before 12/31/2022, if eligible for destruction after 12/31/2022

7. 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):

No Senior Officials entered on duty or departed from OGE during FY 2020. Nevertheless, procedures exist to ensure that Senior Officials are timely apprised of their responsibilities when joining the agency and to ensure that records are properly captured prior to Senior Officials leaving the agency. In addition, Senior Officials receive annual training and regular briefings about their records responsibilities from the Records Officer on topics such as e-mail management.

8. 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):

No because OGE has already met this goal.

9. 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):

NARA already provides regular opportunities for engagement with agency SAORMs.