



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: Debra A. Hall
- Position title: Executive Director
- Address: Occupational Safety and Health Review Commission
1120 20th Street, NW 9th Floor
Washington, DC 20036-3457

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.

Agency: Occupational Safety and Health Review 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):

The COVID-19 pandemic forced the temporary but ongoing closure of the Washington Federal Records Center. Due to the closure of the Center, we have had to allocate additional safe storage space on our premises for boxes of records that would have otherwise been sent to the Center.

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 micro agency with approximately 50 federal employees, the heads of the Commission offices that control records management, data management, and other agency information lines of business are readily in direct communication with each other and assist one another with managing and sharing information within the agency and with stakeholders.

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):

Our agency is working with our NARA appraisal archivist to assist us in transitioning to a fully electronic format with appropriate metadata for all permanent records by the December 31, 2022 deadline.

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):

As part of the transition to a fully electronic format for all permanent records, we are also working with our NARA appraisal archivist to assist us in transitioning all temporary records into an electronic format. The majority of our agency's work product is the documentation involved with case adjudication and such documents are currently being maintained electronically in our e-filing system.

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.

Our agency is not specifically investing resources in IT to support the transition to electronic recordkeeping but is investing resources in IT that also assists the transition to electronic recordkeeping. Our agency will investigate the investing of resources in IT to specifically support the transition to electronic recordkeeping if the need arises.

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):

Our micro agency does not have agency-operated records centers. We do not have plans to use commercial storage to replace NARA Federal Records Centers by December 31, 2022. We expect to have fully electronic recordkeeping by that time.

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):

All incoming and outgoing senior officials have been briefed on their general records management responsibilities and have had training based on NARA videos. Senior officials' email is retained and managed under a Capstone approach (GRS 6.1-0455-2017-0001). Senior officials know to contact the records officer if they have any questions.

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):

We will continue to require the cooperation of all agency offices to end their reliance on paper documents in favor of electronic recordkeeping. We will also continue to work with other adjudicative agencies like ours to see what problems they have encountered with their transition to fully electronic recordkeeping.

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):

Many SAORMs arrive in their position without prior records management experience. It might be beneficial to provide online training on the basics that every SAORM should know.