



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: Alisa Cottone
- Position title: Director, Workplace Solutions Department
- Address: PBGC, 1200 K Street N.W., Washington DC, 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.

PBGC (Pension Benefit Guaranty Corporation) entirely.

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

- Yes
 No XX
 Do not know

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

PBGC has continued to emphasize electronic records management during our extended telework arrangement. All PBGC work must be performed on PBGC equipment, within our network, and saved to appropriate SharePoint team sites.

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 XX
 Do not know

Please provide details on what support is needed:

The PBGC Records Officer is a member of the SharePoint Technology Council and the SAORM is a member of the CIO/CMO Quarterly meetings where SharePoint implementation is discussed, in particular with reference to the SharePoint Records Center solution. However, we do not have an established data governance framework.

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 XX

- No
- Do not know

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

PBGC has developed a SharePoint workflow process to manage all permanent records electronically with appropriate metadata. This workflow identifies records and tags them to the appropriate retention schedule and manages their lifecycle in appropriate SharePoint Records centers.

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 XX
- No
- Do not know

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

The same SharePoint process being developed for permanent records will be used for temporary records. Development and refinement of the process is continuing.

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

- Yes
- No X
- Do not know

PBGC is using our internal SharePoint development team resources to develop a workflow to address the transition to full electronic recordkeeping.

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.

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 XX
- Do not know

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

PBGC does not use any agency-operated storage center.

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 XX

No

Do not know

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

All PBGC employees and contractors are required to complete a Records Management computer-based training at the time they onboard. Designated Senior Leader emails are permanently captured using the Capstone approach as approved by NARA. Exit briefings are conducted by the Office of General Counsel whereby departing officials must sign an exit briefing memo describing their records management (and other) responsibilities.

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

Yes XX

No

Do not know

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

We are refining our SharePoint workflow solution to manage temporary and permanent unstructured records electronically with appropriate metadata. Technology changes and software upgrades by Microsoft have caused us to refine our process. We are also planning to more formally address system records in the future.

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):