



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: Eric Broxmeyer
- Position title: General Counsel / Executive Director
- Address: 800 N. Capitol Street, NW
Suite 565
Washington, DC 20002

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

Privacy and Civil Liberties Oversight Board (PCLOB)

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 PCLOB has not changed any of its policies or practices related to records management. Since its creation as an independent agency in 2007, the PCLOB has created all of its records in electronic format. Employees are able to access all non-classified records remotely. Employees are able to access classified records only at the PCLOB. During the pandemic, employees are able to schedule time to work at the PCLOB office, consistent with social distancing guidelines, employee safety, and agency priorities.

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 limited staff, the PCLOB's CIO's staff, SAORM, and ARO work closely to maintain and refine our records management policies, practices, and procedures. This close working relationship helps establish an information governance framework, formed through best practices,

that connects information lines of business at the agency. Over the next year, the PCLOB looks forward to strengthening this framework to further improve our records management program.

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 PCLOB started managing its permanent records in an electronic format from the time the agency was created. All records created at the PCLOB contain appropriate metadata that allows the records to be accessed.

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):

Similar to permanent records, the PCLOB started managing its temporary records in an electronic format from the time the agency was created.

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.

As discussed above, the PCLOB started managing its permanent and temporary records in an electronic format from the time the agency was created. Accordingly, the PCLOB is not investing in IT resources solely to support the transition to electronic recordkeeping. However, the PCLOB does invest in IT resources when needed to help carry out our mission and support our operations. These investments may help strengthen the PCLOB's electronic recordkeeping capabilities.

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):

The PCLOB does not operate any record centers nor does it use NARA Federal Records Centers in any way. Accordingly, the PCLOB does not have plans to use commercial storage facilities at any point in the future.

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):

As part of PCLOB's internal processes, all outgoing PCLOB employees, including senior officials, certify that they will not improperly remove, alter, or delete any records, including electronic records or email. Outgoing employees also review and complete a departure checklist with the PCLOB SAORM or ARO detailing applicable records management responsibilities prior to leaving the agency.

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):

The PCLOB has built and maintained its recordkeeping capabilities in an electronic format from the time that the agency was created. Accordingly, I do not foresee any challenges in meeting the goal of 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):

The PCLOB ARO regularly attends Bi-monthly Records and Information Discussion Group (BRIDG) meetings to engage with NARA and find opportunities to refine our records management program. The PCLOB also has a great relationship with our NARA representative, who is always responsive and provides the PCLOB with outstanding customer service. This relationship makes our engagement with NARA outstanding.