



Senior Agency Official for Records Management 2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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 progress through December 31, 2018.
- 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 rmselfassessment@nara.gov. Include the words "SAORM 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):

- Susan R. Little
- SAO / Agency Records Officer
- 1331 F St NW, Suite 1000, Washington DC 20004

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

The United States Architectural Barriers and Compliance Board (United States Access Board (USAB))

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

X - Yes

No

- **Electronic records policies** are documented in our agency directive and in the Records Management handbook. Our file plan includes guidance for electronic records is shared with staff and staff receive regular training and updates.
- **We have a designated architecture for storing permanent electronic records** using a file structure within our SharePoint Libraries that will be sync'd to our RMA via their assigned record category/series. Descriptions of record material and guidance for storing electronic records will be outlined in our internal Records Management handbook. Our records management team monitors the RMA to ensure that the permanent records are being categorized into the appropriate record category/series and dispositioned accordingly.
- **Access and retrievability of electronic records:** Our RMA solutions allow us to filter files by date, subject and content. The structure of our files on the SharePoint site reflects our agency's business functions. Our intuitive hierarchy ensures that we can easily retrieve permanent records relating to a specific subject. Our filing conventions were established in collaboration with our General Counsel to ensure ease of use and compliance with potential FOIA requests.
- **Disposition practices for agency electronic records:** Using our SharePoint Library Repository all electronic records are sync'd to the RMA which then categories the

records using metadata to its appropriate records schedule for disposition actions according to the US Access Board's approved records schedule and NARA's General Records Schedule.

NEW QUESTION

3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes

No

The Access Board is a small, micro-agency where the SAO is also the Agency Records Officer and the Chief Information Officer, which allows for successful planning and implementation of electronic records. The Access Board in coordination with its four contractors are building our electronic records program to meet the M-12-18 requirements using NARA's guidance for electronic records. These efforts include:

- A records repository that aligns with the agency records schedules and file plan to include metadata and keyword searches
- SharePoint functional libraries are sync'd to the records repository using a hierarchical approach as well as the documents associated record series and metadata.
- Using an artificial intelligence software tool to apply record schedule series which adds metadata to our existing legacy documents.
- Developed a file structure that provides specific metadata elements that are aligned with the agency records control schedule.
- We are testing the syncing of metadata to ensure the system coding is categorizing the agency records into the appropriate record series.

Upon NARA's release of its Criteria for Successfully Managing Permanent Electronic Records the Access Board then reviewed the suggested critical elements (high-level review, operational activities and ERM) to ensure these elements were incorporated into our electronic records solution.

NEW QUESTION

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

The Access Board maintains a full inventory of its permanent paper records that is reviewed annually, and paper records are transferred accordingly. The Access Board has developed a strategic plan and time line to meet the transition to an electronic environment as we roll out our Electronic Records Management System.

The Access Board doesn't plan to digitize legacy paper records, due to budget constraints.

Note: NARA should be aware that not all of the remaining paper records, specifically rulemaking will be eligible for transfer until after the 2022 deadline. This is based on the Presidential mandate (2 for 1 rulemaking) all rulemaking efforts have been put on hold. The Access Board's Record Disposition Schedule for permanent rulemaking records has an event trigger (Cut off paper files when final rule is issued).

How does NARA plan on handling these type of disposition restrictions?

NEW QUESTION

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

The Access Board has three separate contracts in place that utilize Schedule 36.

1. Feith Systems for the Records Management application that is being utilized to transition to an electronic environment.
2. Active Navigation to identify PII and permanent electronic legacy records.
3. BNF Technologies our records management consultant firm who provides guidance and oversight to ensure the electronic records are categorized into the appropriate records retention schedule.

6. Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records

management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*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.

X – Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

All incoming and outgoing agency employees receive thorough RM briefings which are documented accordingly. Annual trainings on records management are provided to all staff, this training includes the use of our Records Management System for email and electronic documents.

7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

X – Yes

No

As the SAORM the following steps have been taken to ensure that the U.S. Access maintains a successful records management program.

- The Access Board's success in the field of records management is due to the fact that records management and information technology coordinate in the development and implementation of policies and system designs.
- Long terms goals for the records management program are infused by direct coordination of records management and information technology teams, as it relates to specific electronic systems and permanent electronic records.
- Initiates aggressive long-term goals in the procurement and implementation of our electronic recordkeeping systems. This includes assuring that recordkeeping requirements are part of the agency contract vehicle.
- Communicates with senior management the strategic benefits that a mature records management program provides for the agency. These communication efforts have allowed the agency to meet the directive for email management and continues to provide support to meet the permanent electronic records goal.
- Supports the RM team's participation in NARA's Federal Records Management Council, representing the Small Agency Council.

NEW QUESTION

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees?** (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

Yes

No

The Access Board has developed individual office specific training based on the roles and functions of those offices including the Access Board email solution. Each of these training includes a list of record categories and series that fall under the individual offices. Listed below are the offices and type of records covered in their individual training.

- Executive Director (Management, Public Affairs and Board Files)
- General Counsel (to include FOIA, Ethics, EEO and Annual Reporting requirements)
- Administration (personnel, financial, information technology and records management)
- Office of Technical and Information Services (Rulemaking, Technical Assistance (TA) and specific TA training)
- SharePoint training is based on the above role-based training activities to ensure that staff apply the appropriate metadata tags to their associated documents.

NEW QUESTION

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes

No

As the SAORM the following steps are in place to direct and support the Records Management Team.

- Weekly staff meetings to discuss work accomplishments and the status of active records management projects, which includes the review and update of policies, directives, agency file plan and business processes.

- Developed an Annual Review check list for the email and electronic records solutions in place to include the review of current email addresses and keyword searches and records categorization.
- The Records Management System provides an auditing tool that enables the Records Management Team to run reports that provides control over the actions taken on agency documents to ensure the integrity of permanent documents are maintained.
- Developed a report in the RMA that runs a scan of the documents in the functional libraries to identify those documents that have not been categorized correctly.
- Ensured that the tools within SharePoint provided version control and error screens that forced users to tag electronic documents with the appropriate metadata.
- Utilizes the RMSA results to determine records management actions that need to be addresses.
- Ensured that all contractor's have non-disclosure agreements in place related to security of agency records (specifically PII, etc.)

NEW QUESTION

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
 No

The Access Board would like to work with NARA on testing the transfer capabilities of its electronic permanent records from our Records Management System to NARA.

The Access Board has been working actively with NARA for the past several years to transition from a paper to electronic environment by developing an agency record schedule that is media neutral, as well as audio visual and email schedules.

NARA needs to keep small micro-agency's in mind when they are developing guidelines, policies and requirements that fit the needs of a large agency but place an undue burden on smaller agencies to meet requirements. Specifically, the financial burdens that require staffing and funding to meet the mandates for electronic record systems and storage. The main support that small micro-agencies need from NARA is support in leveraging records management needs in the OMB budget process.