



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: Stephen McGinley
- Position title: Records Management Officer
- Address: 330 Independence Ave. SW Washington D.C. 20407

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

- U.S. Agency for Global Media
- Voice of America
- Office of Cuba Broadcasting

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

No, it has not changed any Agency policies. However, we have been unable to transfer permanent records, including film, which is in various stages of decay. These need to be transferred to NARA for preservation. (See #4 for further information)

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, The SAORM works with the CIO's office to manage e-mail under the Capstone Approach and utilizes a network of Records Management Liaisons across lines of business

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, however due to Covid-19 operations progress has been slow. It has only been in the last couple months that we restarted our acquisition process for a compatible tool that will help us manage all electronic permanent records by Dec. 31, 2022.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

#4response is applicable electronic temporary records as well.

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

Yes, we are budgeted to procure Active Navigation software this year to support records management. This will streamline the Agency's records management processes at minimal cost. Moreover, it be a non-invasive implementation with little or no disruption to existing IT infrastructure.

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, we have used commercial storage facilities in the past and continue after December 31, 2022. We have an existing contract with Iron Mountain and will continue to utilize their services until they are longer required.

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?

USAGM takes seriously its responsibility to ensure that all employees archive agency records, as scheduled by NARA, in accordance with the Federal Records Act. To this end, my office recently rolled out mandatory federal recordkeeping training for the USAGM workforce. Additionally, at about the same time, we sent to all senior officials and all employees reminding them of the general prohibition against using unauthorized email accounts and applications for official work communications. It was the first of a planned series of periodic house announcements about important federal recordkeeping topics.

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

Not at this time.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

No, our Appraisal Archivist, Andrea Shamohammadi has been an excellent resource and very helpful. Since Covid-19 we have been having weekly and regular calls discussing our Corrective Action plan, which was the result of and August 2019 NARA inspection.