



2024 Senior Agency Official for Records Management 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
- to identify best practices and model solutions within federal agencies

On December 23, 2022, OMB and NARA issued a memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) that reinforced the goals in [M-19-21](#) and extended the 2022 deadlines to June 30, 2024. It is critical that Federal agencies move beyond paper-based processes and embrace the opportunities afforded to improve Government by transitioning fully to an electronic environment.

This year's SAORM report provides an opportunity for agencies to report on their progress towards electronic recordkeeping under these requirements, as well as other important records management initiatives.

The reporting period begins on January 13, 2025, and reports are due back to NARA no later than March 14, 2025.

NARA will post your 2024 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 “2024 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

Please provide the following information (required):

- Name of SAORM: Jack Albright
- Position title: Deputy Chief Information Officer, Senior Agency Official for Records management

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

Reporting is for all DOT agencies, except for the Office of the Inspector General. DOT components include:

- a. Federal Aviation Administration (FAA)
- b. Federal Highway Administration (FHWA)
- c. Federal Motor Carrier Safety Administration (FMCSA)
- d. Federal Railroad Administration (FRA)
- e. Federal Transit Administration (FTA)
- f. Great Lakes St. Lawrence Seaway Development Corporation (GLS)
- g. Maritime Administration (MARAD)
- h. National Highway Traffic Safety Administration (NHTSA)
- i. Office of the Secretary (OST)
- j. Pipeline and Hazardous Materials Safety Administration (PHMSA)

2. Did your agency meet the goal to manage all permanent records in an electronic format to the fullest extent possible for eventual transfer and accessioning by June 30, 2024? (M-19-21, 1.2 and M-23-07, and 1.1)

- Yes
 No
 Not applicable, all records were already in electronic format

If No, why not? (Include if you already submitted, or will still be submitting an exception request and/or details of specific challenges your agency had in meeting the goal.)

3. Did your agency meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

- Yes
 No
 Not applicable, all records were already in electronic format

If No, why not? (Include if you already submitted, or will still be submitting an exception request and/or details of specific challenges your agency had in meeting the goal.)

4. Did your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities by June 30, 2024? (Choose all that apply)

- Yes
 No
 Not applicable, my agency did not have agency-operated records storage facilities
 Not applicable, all records were already in electronic format

If No, why not? (Include if you already submitted, or will still be submitting an exception request and/or details of specific challenges your agency had in meeting the goal.)

5. Did your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to transfer inactive, temporary analog records to NARA Federal Records Centers (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)

- Yes, we transferred the records to the FRC
 Yes, we transferred the records to commercial storage facilities
 No

Not applicable, all records were already in electronic format

If No, why not? (Include if you already submitted, or will still be submitting an exception request and/or details of specific challenges your agency had in meeting the goal.)

6. Are you supporting the implementation and closure of any corrective actions that resulted from a finding and recommendation documented in a NARA inspection or assessment of your agency's RM program?

Yes

No

Not applicable, my agency is not under a plan of corrective action

If Yes, please explain how you are supporting the implementation and closure of the corrective actions. If No, why not?

NARA provided an inspection of FAA's RM program in FY23. FAA has closed some findings, however, there are remaining findings that are still in progress but are currently being worked on in order to properly close out.

7. Are you advocating for the agency's records management program and ensuring that it documents the organization's activities and decisions by participating in meetings and working groups dedicated to improving records management in your agency?

Yes

No

If Yes, please explain how. If No, why not?

Meetings with the SAORM and the Departmental Records Management Officer (DRMO) are ad-hoc and occur as needed to address a variety of subjects such as text messaging, Capstone management, and resource/budgeting requirements, etc. Also, per the DOT Records Management Directive (DOT Order 1351.28), it is required that the DRMO conduct annual reviews of the DOT RM Program, which includes monitoring Component efforts to identify and address weaknesses in their respective RM programs. Based on these efforts, ad-hoc audits are conducted to ensure corrective actions are administered. DOT also uses the results of the annual NARA RM Self-Assessments to identify areas for improvement within each Component and/or DOT wide.

8. Are you ensuring the agency protects records against unauthorized disposition (e.g., destruction, deletion, alteration, removal, or loss) as defined in NARA regulations and guidance?

Yes

No

If Yes, please explain how. If No, why not?

DOT manages various activities and functions to safeguard the proper management of records to ensure a robust records management program that protects records from unauthorized dispositions, including:

- a. DOT's policy/directive outlines roles and responsibilities, including the use of retention schedules and proper records destruction.
- b. DOT and its components use NARA-approved records schedules to manage the creation, maintenance, and disposition of records.
- c. DOT is also in the process of reviewing older record schedules for revision to ensure dispositions are still current and/or require updates.
- d. DOT has an established offboarding process to review RM responsibilities to ensure records are managed appropriately upon staff departure.
- e. All employees are required to complete a yearly RM training module which helps instill the role of each staff member's record responsibilities.
- f. Many records are now being stored in a SharePoint environment, which allows for better access controls and thus decreases unauthorized dispositions and also provides audit trails of who accessed and/or modified records.
- g. DOT maintains regular backups of records to recover any data that might be lost accidentally.
- h. DOT Records Management Officers are often involved in the design and implementation of new systems, data migration activities, or decommissioning of systems/servers.

9. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

Yes

No

Please explain your response and include any comments on existing, pending, and future topics.

The DOT recommends NARA provide additional information such as templates, examples of project plans, quality management checklists, etc. for use in successfully implementing the Guidance on Digitization of Permanent Records. Workshops in the areas would also be welcomed.

The DOT recommends that NARA should consider providing samples of guidance, successes, lessons learned, and case studies, that agencies could use for practical implementation as part of an overall effort to transition to electronic recordkeeping, including such areas as capturing all forms of electronic messaging. All federal Agencies

should be able to leveraging off these successes to more efficiently duplicate processes, procurements, and security requirements. Currently, there is NARA no central repository of such information.