



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 rmsselfassessment@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):

- Name of SAORM : Diana Forti
- Position title : CAO/CIO
- Address : 4171 N. Mesa, C-100, El Paso, TX 79902

- 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.**

All of the U.S. Section of the International Boundary and Water Commission

- 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)**

- ☒ Yes
☐ No

Please explain your response:

The agency has a mature electronic Document Management System (eDMS) in place that has been audited by NARA inspectors. We have eliminated several paper requirements in our records life cycle, in particular with the creation and finalization of agency correspondence. Most correspondence produced by the agency is now created, edited, routed and finalized electronically as much as possible. Thousands of sole source physical maps containing critical information about the location and ownership of land all along the U.S.- Mexico border are being professionally digitized, indexed and uploaded into our eDMS to preserve these vital records for future generations and providing the original documents to NARA for archiving.

- 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

Please explain your response:

Currently, all permanent electronic records created and preserved by the U.S. IBWC are managed electronically to the fullest extent possible for eventual transfer and accessioning by NARA in an electronic format. The agency has implemented business processes that support the creation of permanent electronic records and eliminate the need to produce and manage hard copy paper records. Policies are in final draft and awaiting review and approval initiating training and guidance to inform all personnel who create, receive, access and use records of their records management responsibilities. Our established eDMS protects against unauthorized access, use and alteration of permanent records. The agency

is in the process of identifying a successful process for transferring electronic records to NARA in electronic format and is making progress.

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

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

The U.S. IBWC is currently in the process of executing an agency wide initiative to digitize all permanent records identified and appropriated during a vast records collection mission to all our field offices and Headquarters. All permanent records, mostly including sole source maps and other documentation, is now being processed through a contract to digitize all our permanent records. The contract was issued to preserve and protect many sole source documents, realty and survey books and correspondence identified as permanent within our records schedule. As part of our on-going physical move from one location to another, our Headquarters is conducting a comprehensive review of all existing permanent records currently being maintained here and are being processed for transfer to the Federal Records Center and NARA.

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

- ☐ Yes
☒ No

Please explain your response:

The agency pursued the normal procurement process to obtain scanning services for our permanent, paper correspondence and maps.

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.

☒ Yes

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

☐ No, changes are being considered but have not been made

☐ No

Please explain your response:

The agency has implemented training and a one on one training sessions with incoming and outgoing senior officials to receive briefings on their records management responsibilities, a review of records they are leaving behind and informative briefings on records management responsibilities of documenting their public service, email usage and other recordkeeping requirements.

- 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](#))**

☒ Yes

☐ No

Please explain your response:

As the agency SAORM, I have developed a vision and strategic direction for our records management program that aligns with our agency's financial report and strategic plan. I advocate for financial, personnel and technological resources necessary to ensure agency's records that document our functions, policies, decision, procedures and essential transactions are preserved and usable for as long as needed. I am aware of the responsibility to protect the legal and financial rights of the agency and of persons affected by the agency's activities. I have identified information resources to include investments in information technology that will positively affect the management and preservation of agency records. All essential records management processes such as submitting update reports to NARA on our recent records management audit, supporting records management inspection and other oversight activities are supported and tracked as part of our annual work plans.

- 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

Please explain your response:

Yes. The agency has identified different roles to include a Records Officer, Records Liaisons and Records Custodians throughout the agency and identified appropriate role-based records management training program that covers their record keeping responsibilities. Employees involved in the creation of records are provided training in uploading finalized correspondence or internal memorandums to our electronic Document Management System (eDMS). Senior executives and our presidential appointee now have specific training requirements that is administered during their arrival to the agency and as part of their clearance process when they depart the agency. Contractors have specific records management responsibilities explained within their contracts to ensure they follow our internal records creation and preservation processes.

- 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

Please explain your response:

Yes. Several of our current records management policies, procedures and retention schedules are in the process of being updated and finalized. The updates include the regular execution of internal records audits and records inventory procedures for records custodians to follow. Our retention schedule is also in the process of being reviewed by NARA personnel and we expect an updated records schedule to be in place before the end of 2019.

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

☒ Yes

☐ No

Please explain your response:

As the agency SAORM, I am always open to receiving support from any resources available to the U.S. IBWC to achieve this goal. A recent NARA inspection of our Records Management program has identified some improvements and tasks currently being implemented to assist us in achieving this requirement. The agency is reporting regularly on our progress on to ensure a successful transition to fully electronic recordkeeping is achieved within the required time frames.