As part of the National Archives and Records Administration’s (NARA) Federal Electronic Records Modernization Initiative (FERMI), NARA is working to make it easier for Federal agencies to obtain Electronic Records Management (ERM) services and solutions that will meet their needs.

Agencies often request sample procurement documents from other agencies, such as Statements of Objectives, Statements of Work, Requests for Information, and Requests for Proposals.

To that end, NARA has shared a generic Statement of Objectives for a Records Management Needs Assessment. NARA developed this sample document with their interagency FERMI working group.

When reviewing a sample document, keep in mind it will not include agency-specific requirements. However, samples can be a useful starting point when developing procurement documentation for use in your agency.

– From NARA’s [“Records Express” blog post](https://records-express.blogs.archives.gov/2021/02/08/example-statement-of-objectives-for-a-needs-assessment/) dated 2/8/2021

**See Next Page**

SAMPLE

#

# [Insert Your Department Name]

# [Insert Your Agency Name]

# STATEMENT OF OBJECTIVES (SOO)

# Electronic Records Management Program Needs Assessment

February 2021

##

## Document Overview

A Statement of Objectives (SOO) includes the basic, high-level requirements of a procurement or acquisition. A SOO explains the outcomes and results a contractor must achieve, but it does not state how they must be accomplished.

This sample Electronic Records Management Program Needs Assessment SOO template is informational only and the use of this template is not required. This template can be used as a reference document for purposes of outlining your own SOO and for ensuring that the information listed in this template is provided in your own SOO.

All sections should be reviewed for relevance to the objectives of the ordering activity and modified accordingly.

This sample is not all inclusive, therefore the reader is cautioned to use professional judgment and include agency specific references to their own SOO.

**Note:** Guidance in this template is presented in *italics* within square brackets, while example content is presented in normal font. Please delete all guidance when finalizing the SOO.

If you have questions please reach out to recordsmanagement@gsa.gov.

# 1.0 PURPOSE

[*Provide a short description of the requirements without including the specific requirements.*]

The [*Department/Agency*] is pursuing a needs assessment of the records and information management program as well as an implementation plan based on the needs assessment. [OMB/NARA Memorandum M-19-21: Transition to Electronic Records](https://www.whitehouse.gov/wp-content/uploads/2019/06/M-19-21.pdf) requires agencies to manage all permanent records electronically by the end of 2019 and all temporary records electronically by the end of 2022. The purpose of this SOO is to outline the requirements for a needs assessment and implementation plan necessary for [*Department/Agency*] to enhance the records and information management program and ensure the agency meets the mandates in M-19-21.

This Statement of Objective (SOO) issued by [*Department/Agency*] describes the outputs expected to be achieved with regard to a needs assessment and plan to ensure agency compliance with M-19-21.

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# 2.0 BACKGROUND

[*Consider the following: high–level Agency/Department specific background; the scope of effort across the Agency/Department (department-wide, headquarters, component agencies, etc.); how the requirement evolved; relationship to other projects; why work is needed, the outcomes of any market research conducted by your organization to determine the viability and cost of different options for an email solution. Summarize information which is essential for understanding the work and ensure technical information is understandable to potential readers of different disciplines.*]

The [*Department/Agency*] Records Management Office (RMO) is responsible for agency records and information management services. RMO preserves organizational knowledge and mitigates risk and exposure to the agency by following best practices and developing processes, procedures, and enabling technologies that adhere to good recordkeeping guidance and standards.

The *[title of SAORM, e.g. Chief Information Officer*] serves as the Senior Agency Official for Records Management (SAORM). The SAORM acts on behalf of the agency head to ensure the agency efficiently and appropriately complies with all applicable records management statutes, regulations, NARA policy, and OMB policy. The SAORM provides strategic direction for the agency’s records management program through the Agency Records Officer. The Agency Records Officer manages and implements the agency records management program. Their focus is primarily operational, ensuring that the agency is in compliance with the foundational requirements for records management. The Agency Records Officer works closely with the National Archives and Records Administration (NARA) and serves as records management advisor to the SAORM.

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# 3.0 CURRENT ENVIRONMENT

*[Provide a brief, high-level description of your organization’s current environment. Examples of current environment factors are listed below*:

* *Include Strategic operations and/or organization mission and objectives*
* *Provide a description of your RM program.*
* *Discuss your current RM initiatives and strategy*
* *Organizational and/or budget constraints*
* *Include any measurable traits to illustrate the scope of this requirement, e.g. number of employees, number of offices, locations, amount of Physical Records to be digitized…*
* *Current software being used, or software constraints]*

RM staff create, implement, manage, and enforce the policies and procedures concerning the creation, organization, maintenance, use, storage, retrieval, and disposition of the agency's records (regardless of record media and formats). RMO answers information requests and performs research on all the agency’s collections after custody of the records is transferred to the RM program from the originating offices. RMO has a staff of [*x number*], comprised of professional records managers and information analysts.

Agency records are comprised of administrative, mission, and policy documents. Agency records have varying degrees of sensitivity from National Security-classified to Controlled Unclassified requirements. Few of the agency’s holdings have permanent electronic retention, but several collections must be maintained for decades. The agency has [*describe current volume of electronic records and storage location*] and [*describe volume of records in storage*] in storage at both agency-owned facilities and the NARA Federal Records Center Program.

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# 4.0 SCOPE

*[Describe general scope of work. Include a brief description of: size of the anticipated effort; summary of actions to be performed; results expected; and/or special areas of interest.]*

[*Department/Agency*] requires the services of a contractor to provide a needs assessment and implementation plan to the Records Management Office. The contractor will assign resources and accomplish the performance objectives.

**4.1 Period/Place of Performance**

*[Provide a brief, high-level description of your Agency’s period/place of performance for the needs assessment and implementation plan*]

The period of performance is for a base period of [*months*] from award with [*number, length*] of option periods. The primary place of work for technical coordination and in-person meetings will be at [*virtual meeting platform/agency facility*].

**4.2 Deliverables**

*[Add/Edit/Delete as appropriate for your own agency needs. These are only examples of deliverables with the exception of the Implementation Plan, the Records Management Needs Assessment, and Curriculum*]

|  |  |  |
| --- | --- | --- |
| **Deliverable Name** | **Due Date/Frequency** | **Format**  |
| Records Management Needs Assessment |  |  |
| Implementation Plan |  |  |
| Curriculum / Training Materials  |  |  |
| Schedules |  |  |
| Status Reports  |  |  |
| Briefings  |  |  |

# 5.0 PERFORMANCE OBJECTIVES

*Provide an objective-based narrative of the specific tasks, services, etc.that make up the SOO. Number the tasks sequentially, e.g. Task 1 and narrative, Task 2 and narrative, etc.*

OBJECTIVE 1: COMPLETE AN ELECTRONIC RECORDS MANAGEMENT PROGRAM NEEDS ASSESSMENT

The Contractor shall provide services and personnel with the necessary skills and experience with electronic records management to complete an electronic records management program needs assessment. The scope includes conducting site and/or system surveys and assessments; identifying business needs for records management; identifying technical news for records management that aligns with NARA’s Universal Electronic Records Management Requirements.

The needs assessment process should take into account strategies indicated in NARA’s 2018-2022 Strategic Plan and OMB/NARA Memorandum M-19-21: Transition to Electronic Records, which state that by December 31, 2022, NARA will no longer accept transfers of permanent or temporary records in analog formats and will only accept records in electronic format with appropriate metadata.

[*Department/Agency*] has the objective of making a cultural change by moving primarily physical records processes to electronic services for both our external customers and staff. The contractor should evaluate existing agency internal policies and procedures to address roles and responsibilities (especially for our new electronic systems).

 [*Department/Agency*] will examine controls around the oversight of the records program. The objective is to create a Records Management oversight and compliance office in accordance with the [Agency] Department Records Management Office’s implementation of the NARA Federal RIM Program Maturity Model. [*The Agency*] will define the components, offices and divisions included in the scope of the assessment

*[Department/Agency*] has the objective to ensure records are properly managed during the transition from primarily paper-based operations to electronic management of records. The objective during and after this transition, is to minimize the burden on staff to meet: Controlled Unclassified Information (CUI), Freedom of Information Act (FOIA), Open Government, Open Data, 508 Compliance, NARA Records Management, forms, cybersecurity standards, privacy (PII), civil discovery rules, classified markings, and [*other agency-specific requirements*]. This includes minimizing the burden on staff to meet disposition requirements. Disposition is a comprehensive term that includes both destruction and transfer of Federal records to the National Archives of the United States.

In support, the Contractor shall complete the following tasks:

Task 1: Conduct an environmental scan/needs assessment on records management processes, policies, directives, standards, and operations at [*Department/Agency*].

Task 2: Conduct an environmental scan of IT systems, data inventories and data maps, and records inventories to make recommendations for an updated inventory.

Task 3: Conduct interviews and walkthroughs, as necessary, to document process narratives and determine key controls to determine organizational framework at the agency.

Task 4: Conduct a review and analyze current transition efforts to meet NARA’s strategic goal.

Task 5: Conduct a review of records management oversight and compliance program.

Task 6: Conduct a review of records management operations, including the disposition of electronic and analog records.

Task 7: Evaluate existing strategies and provide corrective action recommendations to eliminate the backlog of hardcopy records stored at the agency.

OBJECTIVE 2: IMPLEMENTATION PLANS

The Contractor shall provide services and personnel with the necessary skills and experience with electronic records management to complete an electronic records management implementation plan.

In support, the Contractor shall complete the following tasks:

Task 1: Evaluate findings and provide a corrective action implementation plan (including milestones and list of key deliverables) to incorporate best practices to comply with NARA guidance for the agency records management program to ensure compliance in XX days/months/years. The corrective action implementation plans should include:

* + 1. [*Department/Agency*] Internal Records Management Policy
		2. [*Department/Agency*] Records Schedules
		3. [*Department/Agency*] Records management training program (to include training for all staff and training specific to senior officials)
		4. Completion of NARA annual reports including the Records Management Self-Assessment, Senior Agency Official for Records Management Annual Report, and Annual Federal Email Management Report
		5. Updates to social media policies and procedures
		6. Incorporation of NARA’s Universal Electronic Records Management Requirements into system designs

6.0 Constraints

*[The ordering Agency/Department should identify any constraints.]*

# 7.0 Government Furnished Equipment/Information (GFE/GFI)

*[The ordering Agency/Department should identify if any GFE and/or GFI will be provided to the contractor. If the list of property is extensive, this section should identify where that list can be found. Before offering to provide any property, make sure that it will be available when required, where required, and in the condition required by the contract. Specific requirements about providing government furnished property can be found in FAR 45, government property, and related agency policy.]*