

Senior Agency Official for Records Management 2016 Annual Report



The [OMB/NARA Managing Government Records Directive \(M-12-18\)](#) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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 PRMD@nara.gov. Include the words "SAORM annual report" 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: Dr. Joanne S. Tornow
- Position title: Office Head, Information & Resource Management (OIRM)
- Address: 4201 Wilson Blvd., Arlington, VA 22230
- Office telephone number: 703-292-8100
- Email:

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

Please list below:

National Science Foundation (NSF)

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

Yes

No

If No, please list and explain which part of your agency or components did not meet the deadline?

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. [Criteria for Managing Email Records in Compliance with the Managing Government Records Directive \(M-12-18\)](#))

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

Yes

No

If No, please list which part of your agency or components did not and why?

The Archivist of the United States approved the NSF/OIG Records Schedule (DAA-0307-2016-0003), and NSF is diligently working on getting the remaining existing paper and non-electronic record schedules submitted in the NARA Electronic Records Archive (ERA) system by June 2017.

| Directorate/Division | Anticipated Submission Date | Why |
|----------------------|-----------------------------|-----------------------------------|
| OD/OGC | March 2017 | Correcting the feedback from NARA |
| GEO/PLR | June 2017 | Pending input from stakeholders |
| NSBO | June 2017 | Pending input from stakeholders |
| MPS | June 2017 | Pending input from stakeholders |

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

Yes

No

If Yes, please describe this progress.

In February 2016, NSF rolled out an Electronic Records Management System (ERMS) that electronically archives permanent Award Records eligible for retirement. ERMS eliminates the need for program staff to retain physical awards records. NSF is digitizing all hard copy permanent records that are not Award Records, and has developed a technical solution (eRecords Repository) for NSF staff to access, import, and retain to electronic records.

If No, please list which part of your agency or components did not and why?

5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes

No

Please describe your specific plans or actions.

The Division of Administrative Services (DAS) developed a plan that provides assistance from the Records Management staff to each directorate for thirty consecutive days. In those thirty days, the Records Management staff will:

- Inspect the records to validate they are permanent
- Digitize permanent records to standards appropriate for the accurate preservation of the information on the printed page. Examples of appropriate scanner settings:
 - Black and white records are scanned at 300-600 dot per inch (dpi)
 - Color records are scanned at 300-400 dpi
- Gray scale textual records of poor legibility and handwritten annotations are scanned at 300-400 dpi
- During the digitizing process, records are processed using the Optical Character Recognition (OCR) tool to ensure they will be searchable in the eRecords repository.

6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

Yes

No

If Yes, please describe what steps have been taken.

- Designated a senior agency official for records management (SAORM) who has overall agency-wide responsibility for records management.
- Developed records management programs that provide adequate and proper documentation of agency activities.
- Ensured the ability to access, retrieve, and manage records throughout their life cycle regardless of form or medium.
- Established and obtained the approval of the Archivist of the United States for retention schedules for Federal records in a timely fashion.
- Ensured NSF will continue the proper and timely disposition of Federal records in accordance with a retention schedule approved by the Archivist of the United States.
- Revised current training and guidance to have all agency officials and employees and contractors take annual training regarding their Federal records management responsibilities.