



Senior Agency Official for Records Management 2017 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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 - [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: Donna J. Butler
- Position/Title: Acting Chief Human Capital Officer and Office Head, Office of Information and Resource Management
- Mailing Address: 2415 Eisenhower Avenue Alexandria, VA 22314
- Office Telephone Number: 703-292-8100

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

Please provide list

National Science Foundation (NSF)

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:

NSF has an electronic records management system (eRecords) to electronically archive permanent records. In the past year, NSF had two records schedules (DAA-0307-2016-0003 and DAA-0307-2017-0001) approved by the Archivist of the United States and each schedule addresses electronic records. NSF manages permanent email records electronically. We continue to work diligently to meet the December 31, 2019 deadline.

3. 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 explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

NSF has been digitizing records for the past 18 months and working with each Directorate to upload their electronic permanent records into eRecords so that we can manage them until they are accessioned to NARA. NSF developed and continues to execute a plan that provides assistance agency-wide to:

- Inspect the records to validate they are permanent.
- Digitize permanent records using NARA general requirements for scanned text.

- Process digitized records by using optical character recognition (OCR) to ensure the permanent records will be searchable in the eRecords repository.

4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

- Yes
 No

As NSF implements any agency reform initiatives, where and if necessary, NSF will ensure that all federal records management requirements and recordkeeping needs will be met, accounted for and implemented as appropriate.

5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful? (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>)

- Yes
 No

Please explain your response

In the past few years, NSF has taken several steps to ensure our records management program has the strategic direction, support and resources it needs to be successful. The SAORM and records management staff regularly update and engage NSF senior leadership on records management requirements and suggested strategies for meeting them while aligning with the NSF mission. This includes meetings and briefings for agency senior leadership on a variety of records-related topics, such as email management (which led to NSF's adoption of the Capstone Approach for Email Management). In 2017, the Records Management Section was realigned within the Office of Information and Resource Management (which is headed by the SAORM) to benefit from synergies with other information management activities, and provide extra resources to support increased records management activities needed to help facilitate NSF's move to a new headquarters building.

6. Have you, as the SAORM, ensured that 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

No

Please explain your response:

The Records Management Section briefs senior officials at the new employee orientation on the purpose and importance of records management, staff and senior official records management responsibilities, and records management resources. Additionally, desk-side support is provided by the Agency Records Officer to provide individual assistance on understanding email records management. As part of the off-boarding process, the Records Management Section briefs departing senior officials. Topics covered include appropriate handling of official records from NSF, forwarding official records to their office's central repository, removing all personal email messages and removing personal documents from network and shared drives.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

Yes

No

Please explain your response:

NSF's Information Resource Plan describes high-level requirements for ensuring agency information is managed appropriately throughout its life cycle. NSF's new Information Resource Management Plan, currently under development, will be updated to strengthen discussion of records management requirements in alignment with agency and NARA guidance and with OMB Circular A-130.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

NSF would like for NARA to share best practices for how they and other agencies are transitioning to comply with Goal 2.4. Additionally information on ways that agencies (particularly small agencies) can leverage resources/tools to share costs associated with electronic recordkeeping.