



*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](mailto: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: Wonzie L. Gardner Jr.
- Position title: Office Head and Chief Human Capital Officer, Office of Information and Resource Management
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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.**

*Please provide list:* National Science Foundation

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 has digitized hard copy permanent records. In the past two years, NSF had two record schedules that address electronic records (DAA-0307-2016-0003 and DAA-0307-2017-0001) approved by the Archivist of the United States. NSF manages permanent email records electronically. We continue to work diligently to meet the December 31, 2019 deadline.

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:*

NSF has established a records management bulletin that provides guidance on managing permanent and temporary emails, and other electronic messages such as text and Skype messages. In addition, NSF has updated the agency records management training content and policy to comply with NARA Bulletin 2017-01. NSF has approved records schedules and is currently transferring permanent records to NARA.

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):*

NSF is making progress towards managing all permanent records in an electronic format by December 31, 2019. NSF will meet this goal by updating record schedules to reflect electronic records, digitizing permanent hard copy records, and coordinating with NSF's internal partners in transitioning to an electronic environment.

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:*

NSF utilizes the General Service Administration's (GSA) Schedule 36 information when conducting its market research before procuring solutions for transitioning to an electronic environment.

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:*

NSF's Agency Records Officer briefs senior agency officials at the new employee orientation on the purpose and importance of records management. The senior officials are also provided an overview of the 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 in understanding email records management. During the separation process, the Records Management Section provides guidance to departing senior officials. Topics covered include appropriate handling of official records from NSF, unlawful removal or destruction of records, forwarding official records to their office's central repository, removing all personal email messages, and removing personal documents from network and shared drives.

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:*

NSF's records management program has the support and resources it needs to be successful. The Records Management Section consists of the NSF Records Officer, three Records and Information Specialists and four records support contractors. The entire Records Management staff has obtained NARA Federal Records Management Certificates. This training has been invaluable, and the team has access to the course materials, handouts, and templates that have been leveraged to enhance the records management program at NSF. In addition, the course provided the staff with a network of Federal records management experts across the Federal landscape. These tools enable the staff to accurately inform NSF on optimizing its records management program.

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:*

In 2017-2018, NSF upgraded the agency records management training to include a role-based training program that covers recordkeeping responsibilities for all staff, providing specific information for those with dedicated records management roles, Federal employees, contractors, senior executives, and appointees as set forth by NARA. NSF also made the training mandatory and it is taken annually by all Federal employees, contractors, senior officials, and appointees. The training will be updated annually to account for new policies or requirements for records management.

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:*

In 2017 NSF moved from Arlington, VA to Alexandria, VA. In preparing for the move, the Records Management Section staff worked with each office to evaluate records management directives, policies, procedures, and retention schedules to ensure they were being properly implemented. As a result of this initial inquiry, Records Management Section staff discovered that an NSF agency-wide records inventory was required. During the inventory the records management staff began updating the records management directives, updating standard operating procedures related to records management, and submitting new records schedules to NARA. Two schedules have been approved and another is pending approval by the Archivist of the United States.

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

Yes

No

*Please explain your response:*

NSF would like NARA to share their strategic timeline and transition plan for implementing a fully electronic environment. A better understanding of NARA's approach will help mature NSF plans to transition to electronic recordkeeping.