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, the transition away from paper to digital formats, and to identify best practices and model solutions within federal agencies.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments toward the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 rmselfassessment@nara.gov. Include the words "SAORM 2019 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
- Position title
- Address

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 managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

   <mark>x Yes</mark>
   ☐ N o

   Please explain your response:

   NSF has an electronic recordkeeping system (eRecords) to electronically archive permanent records. NSF digitized hard copy permanent electronic records and has updated three records schedules addressing electronic records management (DAA-0307-2016-0003, DAA-0307-2017-0001 and DAA-0307-2018-0001), which has been approved by NARA. NSF established polices to manage records in a media, including electronic. NSF will work to update its Bulletins to specifically address permanent electronic records for additional clarity.

3. **Has your agency made progress toward managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

   <mark>x Yes</mark>
   ☐ N o

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

   NSF is making progress toward managing all permanent records in an electronic format by December 31, 2022. NSF will meet this goal by updating record schedules to reflect electronic records, digitizing permanent hard copy records by December 24,

2022, and coordinating with NSF's internal partners in transitioning to an electronic environment.

4. **Has your agency made progress toward managing all <u>temporary</u> records in electronic format? (M-19-21, 1.3)**

<mark>x Yes</mark>
☐ N o

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

NSF is making progress toward managing all temporary records in an electronic format by December 31, 2022. NSF will meet this goal by updating record schedules, to reflect electronic records, digitizing temporary hard copy records, importing electronically born records into the eRecords repository, and coordinating with NSF's internal partners to transition to an electronic environment.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

<mark>x Yes</mark>
☐ N o

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

The NSF Records Management Program complies with the Federal Records Act. Records Management Bulletins (policies) in place are: Records Management Program Roles and Responsibilities, Managing Electronic Messages, Capstone and Non-Capstone User Guidance, and Required Annual Records Management Training for Everyone. In addition, a collaborative Records Custodian Knowledge Group has been established to work on goals, objectives, and activities necessary to comply with

M-19-21, as well as NARA regulations and policies.

6. **If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

☐ Yes
☐ No

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

NSF does not have an agency-operated record center.

7. **Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

*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.

x Yes
☐ No

Please explain your response (include specific details of procedures):

The Division of Administrative Services (DAS) Records Management Section (RMS), Division of Information Systems (DIS), and Human Resources Management (HRM) have procedures in place to ensure senior officials records and emails are properly captured and are not deleted. The general departure process requires the senior official to clear records management. It begins when HRM notifies RMS of an outgoing senior official. The Division Records Custodian (DRC) is notified and works with the outgoing senior official to ensure records in their possession are provided and/or made accessible to their supervisor or DRC. The senior official also ensures all non-record emails have been deleted from MS Outlook, as well as personal, shared, and network drives. Once the departing senior official certifies these requirements have been met, RMS will complete the offboarding.

8. **Do you, as the SAORM, see challenges within your agency in meeting the goal of fully electronic recordkeeping?**

☐ Yes
x No

Please explain your response (include details of specific challenges, if applicable):

NSF has an action plan to transition to electronic recordkeeping. Several goals have already been accomplished to meet requirements in M-19-21.

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

x Yes
☐ N o

Please provide details on what support is needed:
Support needed includes digitization guidance for permanent records and implementation of NARA's Electronic Records Archives capable of accepting transfers of permanent electronical records.