NATIONAL
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CHIEF RECORDS
OFFICER

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.

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. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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 towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2021, and other aspects of agency records management programs.
- 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 2021 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: **Stacy L. Murphy**
- Position title: **Operations Manager/Security Officer**
- Address: **1650 Pennsylvania Avenue, N.W., Washington, DC 20502**

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately?**

   Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

   Executive Office of the President (EOP), Office of Science and Technology Policy (OSTP

2. **Has the COVID-19 pandemic impacted policies or practices related to records management at your agency?**

   ☐ Yes
   X No
   ☐ Do not know

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

   During COVID during developed and implemented a virtual records management training program to ensure that departing officials and onboarding staff records were created, managed and preserved in an electronic format.

3. **Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

   ☐ Yes
   X No
   ☐ Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

OSTP is a component of the Executive Office of the President enterprise-wide services and does not have a separate governance framework. However, OSTP manages its records and does coordinate within our agency and across other components on information management issues.

4. **Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

   X Yes
   ☐ No
   ☐ Do not know

   Please explain your response (include specific goals, example metrics, and/or challenges):

   Although, OSTP is a component of the Executive Office of the President enterprise-wide service, OSTP's Records Officers, IT, administrative staff, and FOIA team members are diligently supporting staff with managing all records electronically. Additionally, OSTP's records are scanned, saved and uploaded in a web-based collaborative platform.

5. **Will your agency meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

   X Yes
   ☐ No
   ☐ Do not know

   Please explain your response (include specific goals, example metrics, and/or challenges):

   OSTP is a component of the Executive Office of the President enterprise-wide services therefore this responsibility is managed by the Office of Administration. The agency will meet the goal to manage all of its records in an electronic format by the required deadline.

6. **Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

   ☐ Yes
   X No
   ☐ Do not know

   Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

OSTP is a component of the Executive Office of the President enterprise-wide services therefore this responsibility is managed by the Office of Administration.

7. **Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

   ☐ Yes
   ☐ No
   X Do not know

   Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

   OSTP is a component of the Executive Office of the President enterprise-wide services therefore this responsibility is managed by the Office of Administration.

8. **Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?***

   ☐ Yes
   X No
   ☐ Do not know

   *M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.

   Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

   OSTP will not be using a facility to store records. All records will be maintained and preserved in an electronic format.

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

   ☐ Yes
   X No
   ☐ Do not know

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

   With the support of the agency records management office, IT and NARA, OSTP is confident that a successful electronic recordkeeping system will be achieved.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

X Yes
☐ No
☐ Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):

OSTP is appreciative of the support received from NARA and will require continuous support in the future. This support has strengthened OSTP's records program.