



Senior Agency Official for Records Management 2021 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.

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 rmsselfassessment@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: Lewis F. Larsen
- Position title: President
- Address: 1613 Duke Street, Alexandria, VA 22314

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.

Only the James Madison Memorial Fellowship Foundation, there are no other agencies, bureaus, components, or offices.

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

- Yes
 No
 Do not know

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

The pandemic has not affected records management. The JMMFF is transitioning from print-to-file of paper records to a policy of creating records electronically.

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
 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.

We are a very small agency with 6 employees. The ARO, who is also the FOIA officer, reports directly to the SAORM. We understand the importance of making all our employees aware of their records management responsibilities and will develop a training program based on our Plan of Corrective Action from NARA.

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)

- Yes
 No
 Do not know

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

We plan to transfer our paper permanent records to NARA prior to the deadline. Any new permanent records will be born digital. We have been storing our electronic records in a centralized shared drive. We will work to understand the metadata requirements to ensure compliance and develop a cost-effective solution that we can support with our limited personnel and fiscal resources.

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

- Yes
 No
 Do not know

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

We have implemented our policy of creating all new records digitally and have finished the disposition of many analog temporary records that were overdue according to our records schedule. However, we still have paper records dating back to around 2012 that do not meet our record schedule's cut-off requirements yet. These remaining records are stored on-site until approved destruction. JMMFF does not have the resources to digitize these remaining paper records. This is relevant to our response in question 6.

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
 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.

JMMFF has limited personnel and financial resources to digitize all of our temporary records by the deadline. Our agency might request an extension to house our legacy temporary paper records on site until they can be destroyed according to our records schedule, with the

understanding we would not create any additional paper records. If this meets NARA's definition of digitization "to the fullest extent possible", we may not need to ask for an exemption.

We are happy to transfer over our legacy paper permanent records prior to the deadline. We are not creating any further paper permanent records and would transfer over all of our electronic records according to our records schedule.

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
 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.

We have reached out to the to a vendor on this list but are concerned about the high cost of digitizing the volume of records we have and procuring a system that meets recordkeeping requirements. We are willing to discuss this with our appraisal archivist and NARA Oversight official to determine a solution that is approved.

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
 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.

This is not applicable to JMMFF, we don't have any records centers, all records are stored on-site.

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

- Yes
 No

Do not know

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

The main challenge is that JMMFF has limited personnel and financial resources to adequately address digitizing our paper records and making sure we have an electronic records system that meets NARA requirements.

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?

Yes

No

Do not know

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

We look forward to working with NARA to continue our work on the Plan of Corrective Action.