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. 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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, 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 2020 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 Larsen
- Position title: President
- Address: 1613 Duke St., 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.

   This report covers the entire James Madison Memorial Fellowship Foundation. We are a micro-agency with 6 employees, so there are no sub-components.

2. **Has the COVID-19 pandemic changed any 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):
   We are still experiencing a learning curve with regards to records management. While most of our employees work remotely, the designated ARO is able to work in the office. He is able to access our analog and electronic records and work with our appraisal archivist. It will take us time to act on the agency inspection report we received. In order to assign RM roles and responsibilities to other employees working (mostly) remotely, the ARO is working on establishing foundational RM policies and procedures.

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

   x Yes

   ☐ No

   ☐ Do not know

   Please provide details on what support is needed:

   As the SAORM, I speak with the ARO about the agency's records management program. We do not have a formal policies for information governance yet, other than our policy on managing our .com and .gov email addresses separately. We understand that we agency-wide directives and

communication of RM responsibilities to staff will be crucial in getting having an effective RM program.

4. **Has your agency made progress towards managing 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 and example metrics):
We do plan to transfer our overdue, permanent, analog records to NARA. A transfer request has been drafted in ERA, but needs to be finalized. We have spoken internally about the need to make sure any records not due for disposition are digitized and any new records created are born digital. The foundational development of RM policies and procedures will be the starting point for the agency to make progress.

5. **Has your agency made progress towards managing 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 and example metrics):
The vast majority of our records are temporary. We have had discussions in staff meetings to work on making our case files "born digital" and shifting away from our practice of "print and filing" with our records. We are in contact with a vendor to begin the process of making that happen.
We do want to dispose of our analog records overdue for disposition in accordance with NARA's guidelines, including documenting what was destroyed.
We will also work on contracting out the digitizing of our remaining paper records.

6. **Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

x Yes

☐ No

☐ Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

We are reaching out to a vendor to further develop our Access database to make our incoming case files born-digital. It will improve the files' accessibility for remote employees and help stop the accumulation of paper files.

As far as making *all* our records up to NARA's standards, we will need to create additional record schedules for our database, cloud solutions, shared drives, and social media to give instruction to any vendors.

To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

☐ Yes

x No

☐ Do not know

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

For our business needs, it would be better if our records were digitized and accessible rather than in a storage facility.

7. **Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* 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.

☐ Yes

x No

☐ Do not know

Please explain your response (include specific details of policies and procedures):
We were made aware of this during talks with the appraisal archivist, we will create policies and procedures to account for this.

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

x Yes

☐ No

☐ Do not know

Please explain your response (include details of specific challenges, if applicable):
I am willing to support meeting the goal of going completely electronic, but it will take time to develop the foundational base to have an effective RM program. While I agree that all of the JMMFF employees need to be aware of their RM responsibilities, only one employee, the ARO, has the bandwidth to get the program foundation underway and communicated to the staff.

9. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

☐ Yes

☐ No

x Do not know

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

We do look forward to working with NARA's inspection team during the Plan of Correction phase.