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: Peggy Gartner
- Position title: Deputy Office Head, Office of Information and Resource Management
- Address: 2415 Eisenhower Avenue 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.

   National Science Foundation. No changes to report.

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

   X Yes

   ☐No

   ☐Do not know

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

   Past business practices requiring wet-ink signatures have converted to the use of digital or electronic signatures. Additionally, planned digitization projects have been put on hold until NSF returns to normal on-site operations. NSF is currently encouraging maximum telework.

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)**

   ☐Yes

   X No

   ☐Do not know

   Please provide details on what support is needed:

   NSF has individual governance mechanisms; however, they are not connected or holistically coordinated. Plans are underway to involve records management staff in the Enterprise Data Governance and Education Group to collaborate and address any information governance gaps between records management and data strategy initiatives.

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):
    NSF continues to make progress towards this goal by using electronic signatures, updating record schedules to consider electronic records, working with program offices requiring digitization services, working with the Division of Information Systems to preserve Capstone Official email records, and coordinating with internal partners to assist latent program offices with transitioning to electronic business practices. Permanent electronic records are stored in the official recordkeeping system, eRecords, which implements the appropriate retention and records management controls.

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):
    NSF continues to make progress towards this goal by using electronic signatures, updating record schedules to consider electronic records, working with program offices requiring digitization services, working with the Division of Information Systems to preserve email records, and coordinating with internal partners to assist any latent program offices with transitioning to electronic business practices. Temporary electronic records are stored in the official recordkeeping system, eRecords, which implements the appropriate retention and records management controls.

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.

Information Technology resource investments involve email preservation, permanent electronic records transfer to NARA, web archiving technology, and continued eRecords system operations and maintenance to ensure NSF is able meet the December 31, 2022 deadline for managing all electronic records in electronic format with the appropriate metadata.

7. **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)**

X Yes

☐No

☐Do not know

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

NSF does not operate an agency records center. There are plans to ship existing paper records to the Federal Records Center when it opens and returns to normal business operations. Any records remaining after December 21, 2022 will be stored at a commercial storage facility.

8. **Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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

☐Do not know

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

NSF Bulletin 20-11, Records Management Program, includes language for senior officials to document their actions and decisions and to capture records in their respective organizations. The bulletin also states senior officials must preserve and safeguard historical documentation. The

bulletin addresses staff reporting procedures for unauthorized access, use, alteration, alienation, destruction, and/or deletion of records. In addition to the bulletin, the Agency Records Officer maintains documentation when each Capstone Official is briefed upon assuming their position. There is also NSF Bulletin 18-03, Capstone Officials Email Records Management, which provides policy addressing the management of Capstone Email.

9. **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):

NSF has an action plan to transition to electronic recordkeeping. Several goals have already been accomplished to meet requirements in M-19-21. Challenges toward accomplishing the goals in the action plan are a result of the impacts of COVID-19 to operations, which have delayed the completion of digitization projects and record transfers to the Federal Records Center.

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

☐Yes

X No

☐Do not know

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

None.