

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 - [AgencyName]" 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?

National Science Foundation. No changes to report.

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):

Past business practices requiring wet-ink signatures have converted to the use of digital or electronic signatures. Additionally, planned digitization projects were put on hold from March 2020 – November 2021, which impeded on-site scanning during that timeframe. Disposals were also put on hold at FRC and as well as on-site during that timeframe.

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

NSF has individual governance mechanisms; however, they are not connected or holistically coordinated. The records management staff has recently joined the Enterprise Data Governance and Education Group to collaborate and address any information governance

gaps between records management and data strategy initiatives

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):

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 remaining 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. 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):

NSF continues to make progress towards this goal by 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 remaining 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. NSF is also using electronic signatures, with the exception of some instances where they are not accepted by external entities. For example, Standard Form (SF) 97-1, The United States Government Certificate to Obtain Title to a Motor Vehicle is a controlled form in which the Department of Motor Vehicles requires a wet signature to officially execute. There are other instances that require wet-ink signatures due to external factors.

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.

NSF will have records that require a wet-ink signature after the December 31, 2022, deadline. Therefore, we will have to submit an exception.

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.

The GSA Multiple Award Schedule Special Item Number 518210 for Electronic Records Management was used as a resource for market research.

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.*

NSF does not operate an agency records center. There are plans to ship existing paper records to the Federal Records Center and any records remaining after December 31, 2022 will be stored at a commercial storage facility.

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):

NSF has an action plan to transition to electronic recordkeeping. Several goals have already been accomplished to meet requirements in M-19-21. There are no major challenges this year, because we were able to resume our onsite digitization projects and destroy expired hard copy records in accordance to the NSF records retention schedule and the general record schedule, respectively.

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):

Currently, there are no suggestions.