



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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 SAO: Dr. Joanne S. Tornow

Position title: Head, Office of Information and Resource Management

Address: **National Science Foundation**

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1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

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2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

☒ Yes ☐ No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- NSF's Division of Administrative Services (DAS) and the Division of Information Systems (DIS) are responsible for records management and email management and are working together to meet the Directive requirement (manage all email records in an accessible electronic format by December 31, 2016).
- Among the actions, DAS is drafting an email records policy that will adopt the Capstone approach for GS-15 and SES staff. This policy will be reviewed for approval which should be completed by March 31, 2016.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- Use Phased Approach to meet the goal. (see table below)

Phase	Action	Anticipated Completion Date
Initiation and Planning	-DAS will get approval for email records policy (Capstone Approach)	March 31, 2016
Requirements	-DAS/DIS will define requirements for technical solution - DIS will research and propose a Technical solution	April 30, 2016 June 30, 2016
Design/Development	-DIS will design and develop the technical solution -DAS/DIS will define the process to Implement the technical solution	August 19, 2016 August 31, 2016
Testing	DIS will test and Complete implementation the new technical solution	November 30, 2016
Deployment	DIS will deploy the new technical solution	December 31, 2016

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

☐ Yes ☒ No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

- NSF will include the 2014 Federal Records Act amendments in a draft email records policy. The draft policy will be coordinated and finalized by March 31, 2016. Additionally, DAS will work with the Division of Human Resources Management to ensure the NSF's Personnel Manual is updated, as appropriate, to address possible employee disciplinary actions.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

- As with most agencies, NSF is still exploring technical solutions to capture social media and text. At present, NSF uses Skype for Business for chat and instant messages; transcripts are integrated with email system. NSF is investigating use of the Capstone Approach and will seek assistance from NARA prior to implementation.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

☒ Yes

☐ No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

1. Conducted a records inventory by surveying the agency's records and non-record materials primarily to develop records schedule. - Date: April 30, 2009
 - a. Defined the goals
 - b. Determined the focus
 - c. Decided on the scope
 - d. Located the agency's files
 - e. Obtained Management Approval
 - f. Identified Records Custodians for the inventory
 - g. Determined the information to be collected
 - h. Completed the inventory forms
2. Created schedules to submit to NARA. - Date: July 1, 2009
 - a. Distinguished records from non-records material
 - b. Determined which records would fit under the General Records Schedule (GRS)
 - c. Determined the value of each record series
 - d. Recommended temporary and permanent classification for each record series that did not fit under the GRS schedule

3. Completed and submitted an SF-115 (Request for Records Disposition Authority) to NARA for Approval (see NSF Approved Schedules below)

NATIONAL SCIENCE FOUNDATION APPROVED SCHEDULES

TITLE	Authorization Number	Date Approved
<u>Administrative Services Branch</u>	NC1-307-82-01	August 22, 1983
<u>Congressional Correspondence Records</u>	N1-307-89-001	May 8, 1990
<u>Congressional Correspondence Records</u>	N1-307-98-001	March 11, 1999
<u>Declined and Withdrawn Proposal Case Files</u>	NC1-307-77-01	July 5, 1977
<u>Declined and Withdrawn Proposal Case Files - Electronic Jacket</u>	N1-307-03-001	April 7, 2003
<u>Division of Administrative Services - Property and Records Section - Declined and Withdrawn Proposal Case Files - Electronic Jackets (E-Jackets)</u>	N1-307-06-001	November 4, 2005
<u>Division of Financial Management - Closed Grant and Proposal Files Maintained in the Division of Financial Management</u>	N1-307-97-001	March 28, 1997
<u>Division of Science Resources Studies - Science and Engineering Surveys (NSX/National Academy of Public Administration (NAPA) Project)</u>	N1-307-93-001	May 8, 1995
<u>E-Jacket Award Proposal Case Files</u>	N1-307-09-001	July 14, 2010
<u>Grant and Contract Records</u>	N1-307-88-002	November 7, 1989
<u>Harry C. Kelly Subject Files</u>	N1-307-88-001	July 5, 1988
<u>Office of Inspector General</u>	N1-307-03-002	September 11, 2003

<u>Washington National Record Center (WNRC)</u> <u>Project - WITHDRAWN</u>	N1-307-99-001	March 2, 2004
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5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

The process outlined in 5a) above form the basis of the plan to meet the goal for all other records schedules.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

☒ Yes

☐ No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

Currently the process to archive permanent Award Records requires the Agency's Records Custodians to physically transfer paper records to the Federal Records Center and then to NARA.

NSF has been active the past two years preparing to update our recordkeeping system, by leveraging the work done on the NSF Electronic Records Management System (ERMS). Implementation will begin in March 2016. In addition, this will eliminate the need for program staff to retain physical hard copy awards records.

NSF created the Gate Review Team to manage this project. This team was comprised of representatives from DIS, DAS, PMO/Budget & Finance, Policy, General Counsel, Contractor Project Manager and NARA. The purpose of this team was to provide confirmation that all required project reviews were successfully conducted.

The team verified that phase deliverables adequately met all phase exit criteria to permit advancement to next phase, and confirmed that identified risk can be mitigated and/or properly managed.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

1. NSF plans to continue leveraging the electronic NSF Electronic Records Management System (ERMS) to electronically archive permanent Award Records eligible for retirement starting in February 2016. In addition, this will eliminate the need for program staff to retain physical awards records.

2. Digitize all hard copy permanent records that are not Award Records by April 2017.
3. Develop a technical solution for the NSF staff to access digitized/scanned records by January 2017.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

- Positives:
 - NSF Senior Leadership has been very supportive while the Records Management team works through all of the nuances of Records Management.
 - Through all of the planning, designing, developing and testing NSF's Official Electronic Award Record Archival System, NSF will be able to electronically submit permanent award records directly to NARA for archival. This process took over two years to implement and the progress so far is positive.
- Challenges:
 - There is an abundance of information on the NARA website regarding the Capstone approach, but writing a policy on email records, planning the approach and implementing Capstone is a challenging task for the NSF Records Management team and Technical group. NSF is currently active with this task. NARA's assistance in providing best practices and possibly being an advocate for shared services solutions for small agencies would prove helpful. Additionally, NARA assistance on capturing records created by various social media would be helpful.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

☐ Yes

☒ No

- 8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

The Director of NSF is appointed on a 6 year term, and is not anticipated to be departing with the upcoming Presidential administration transition. At present, our Records Management Team works closely with Records Custodians of the Director's office to ensure the records of the Director are properly managed in accordance with the current records schedule.

- 8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

NSF is of drafting an email records policy and developing requirement for the Capstone approach. NSF will develop a technical solution to capture all senior official emails. NSF Records Management team will continue to work with the Records Custodians to ensure the records of the Director are properly managed in accordance with the current records schedule.