



Senior Agency Official for Records Management 2019 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. 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 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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, 2019.
- 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 2019 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 [John Mateja](#)
- Position title [President and Executive Secretary](#)
- Address [2121 Eisenhower Ave, Ste 402, 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 also indicate any that are new or have been changed due to reorganization or other circumstances.**

[This report covers The Barry Goldwater Scholarship and Excellence in Education Foundation \(BGSF\). There are no other offices reporting separately nor any reorganizations to report.](#)

- 2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
 No

Please explain your response:

[BGSF maintains electronic copies of all permanent records.](#)

- 3. 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)**

- Yes
 No

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

[BGSF is developing processes and systems to manage the electronic records which capture appropriate metadata and allow for tracking, auditing, and reporting changes, access, and usage throughout the lifecycle of the record. As a two-person agency, BGSF does not have a separate network or centralized electronic storage system. The recent migration to Office 365 provided BGSF with new functionalities to include a central storage platform. BGSF is working to develop an inventory and migrate electronic records to a central location for storage.](#)

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

- Yes
 No

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

BGSF maintains electronic copies of all temporary records. Previous processes required that information be submitted via paper forms and manually entered to create the electronic record. In 2020, BGSF will implement use of a secure electronic form to collect and record all data electronically.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

- Yes
 No

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

As a small, 2-person agency, the focus of BGSF performance goals, objectives and measures, are mission-related. However, I have worked closely with the Administrative Officer to ensure the agency records management program is compliant with the Federal Records Act.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

- Yes
 No

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

Not Applicable: The Goldwater Foundation does not have any agency-operated records centers.

7. Does your agency have procedures that include documentation to ensure records of 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.

Yes

No

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

BGSF has only one senior official and only three individuals, including the current President, have held that role. In addition, the BGSF President is the SAORM. All permanent records associated with previous senior officials are preserved as appropriate. Outgoing staff do not remove, alter, or delete physical or electronic records.

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

Yes

No

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

The agency's size and limited budgetary resources make it prohibitive to implement a records system compliant with NARA requirements. While creation of the documents is manageable, we are still working to meet the system requirements for reporting, tracking, and meta data.

9. Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?

Yes

No

Please provide details on what support is needed:

BGSF does not need any additional support from NARA. The current services and level of support from NARA are sufficient to ensure our successful transition to fully electronic record keeping.