



Senior Agency Official for Records Management 2020 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 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 rmsselfassessment@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 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?

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

- Yes
- No
- Do not know

Prior to the COVID-19 pandemic, BGSF had already initiated process changes to enable the Foundation to create and store all files electronically. With the transition to DocuSign in Feb 2020, we were able receive forms and PII electronically through the secure platform. BGSF realized its goal of 100% electronic records and was well situated to handle challenges resulting from the pandemic.

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
- No
- Do not know

As a two-person agency, BGSF does not have a separate network or centralized electronic storage system. However, being so small gives us the added advantage that all records are created, filed, and maintained by the same two people. In addition, the ARO, who is also the CIO, CDO, and RM staff and reports directly to the SAORM, creates about 90% of all records.

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)

- Yes
 No
 Do not know

Yes, as of 2020, BGSF creates and maintains all new permanent records electronically. About 80% of all historical records have converted to digital format and we are working toward scanning the remaining records. In addition, we have made progress inventorying, scanning, and migrating electronic records to a central location for storage. Finally, we are working to understand the metadata requirements to ensure compliance by 2022.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

BGSF maintains electronic copies of all temporary records. As previously noted, BGSF acquired the capability to receive forms, including PII, electronically via a secure online platform. This ensures all new records are created and stored electronically. In addition, we have made progress inventorying and migrating electronic records to a central location for storage.

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

- Yes
 No
 Do not know

BGSF is not investing resources in new IT support, but continues to allocate sufficient funds to maintain the resources that we have.

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)

- Yes
 No
 Do not know

Not Applicable: The Goldwater Foundation does not have any agency-operated records centers nor does it use any record 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.

- Yes
 No
 Do not know

BGSF has only one senior official. 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.

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

- Yes
 No
 Do not know

BGSF has achieved fully-electronic recordkeeping.

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

- Yes
 No
 Do not know

BGSF does need any suggestions for NARA to improve its engagement. During the recent inspection we found the NARA staff to be responsive, knowledgeable, and very easy to work with.