



## *Senior Agency Official for Records Management 2022 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, 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 recordkeeping and preservation under these requirements, as well as other important records management initiatives.

**The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.**

NARA plans to post your 2022 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 on our website.

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Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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](mailto:rmsselfassessment@nara.gov). Include the words “SAORM 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: [John Mateja](#)
- Position title: [President](#)
- Address: [1775 Duke Street, 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 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. In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?**

- Yes  
 No  
 Not applicable, no adaptations were needed

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Do not know

*Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)*

Prior to the COVID-19 pandemic, BGSF had already initiated process changes to enable the Foundation to create and store all files electronically. BGSF realized its goal of creating/storing 100% electronic records and remains well situated to manage continuing challenges post pandemic.

- 3. Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)**

Yes

No

Do not know

*Please explain your response with specific actions taken, challenges and results.*

As of 2020, BGSF creates and maintains all new permanent records electronically. Permanent historical records, many of which are still referenced as part of normal mission operations, still need to be converted to digital format. BGSF initiated a 100% records audit to identify and quantify the volume of permanent records that need to be converted. Finally, we are working to understand the metadata requirements to ensure compliance and develop a cost-effective solution that we can support with our limited personnel and fiscal resources.

- 4. Has your agency taken action to meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)**

Yes

No

Do not know

*Please explain your response with specific actions taken, challenges and results.*

BGSF maintains electronic copies of all temporary records from 2019 forward. In addition, temporary scholar records from 2014-2018 are electronic, leaving only a small portion of temporary paper records. All records are stored on site until destruction. BGSF does not have the personnel or funding to support digitization of the remaining temporary records. Instead, temporary paper records created prior to 2019 will be destroyed at the end of their retention period IAW approved record schedules.

- 5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?**

Yes

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- No  
 Not applicable, all records are in electronic format  
 Do not know

*Please explain your response with specific actions taken, challenges and results.*

Not Applicable: The Goldwater Foundation does not have any agency-operated records centers nor does it use any record storage facility. All temporary records are stored on site until destruction IAW approved records schedules.

**6. Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)**

*Note: The incorporation of records management into information governance is part of the framework covered by [OMB Federal Data Strategy - A Framework for Consistency \(M-19-18\)](#) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in [OMB Circular A-130, Managing Information as a Strategic Resource](#).*

- Yes  
 No  
 Do not know

*Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.*

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 RO reports directly to the SAORM; is responsible for all CIO, CDO, PO, FOIA, and Security activities; and creates about 90% of all records.

**7. Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?**

*Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: [Email Management](#) and [CFR 1236: Electronic Records Management](#))*

- Yes  
 No

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Do not know

*Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.*

BGSF is a two-person agency with limited resources. We do not have mobile devices and electronic messaging is automatically captured in Office 365. BGSF only uses social media as a secondary posting site. All content is initially posted on the website which is archived and preserved regularly.

**8. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?**

*Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.*

Yes

No

Do not know

*Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)*

BGSF is a two-person agency with limited personnel and financial resources. The cost and workload for implementation and maintenance would present an administrative and financial burden that cannot be justified for such a small volume of records.

**BGSF does not have the financial or personnel resources to implement and maintain such technologies.**

**9. Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?**

Yes

No

Do not know

*Please explain your response including what specific measures you have incorporated into the SAORM role.*

As a two-person agency, the SAORM and RO are in constant communication. The RO routinely reports on the records management program ensuring the SAORM is aware of all program and reporting requirements to evaluate the effectiveness and compliance of the BGSF program.

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**10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?**

- Yes  
 No  
 Do not know

*Please explain your response and include any comments on existing, pending, and future topics.*

There is currently no need for specific policy or guidance from NARA to support the strategic direction of the BGSF records management program.

**11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?**

- Yes  
 No  
 Do not know

*Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.*

BGSF does not have any suggestions for NARA to improve its engagement.