



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: Susan Vest, Jerry Carter
- Position title: Chief Financial Officer, Chief Data & Information Officer
- Address: 130 S. Scott Avenue Tucson AZ 85701

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 also indicate any that are new or have been changed due to reorganization or other circumstances.

Morris K. Udall and Stewart L. Udall Foundation – no change from prior submissions.

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

- Yes
 No
 Do not know

We had already taken steps to process and maintain our records electronically, so working remotely did not present a challenge.

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

The Chief Data and Information Officer (CDO/CIO) of the Foundation has been working directly on the establishment and maintenance of electronic records for the Foundation. In FY 2021 we may contract for assistance in this process. If so, the contractor will be working with the CDO/CIO on full compliance of electronic records management.

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

We currently maintain our records electronically. We are creating a new framework within our Office 365 environment to maintain the records with metadata in the format necessary to provide to NARA based upon the appropriate retention dates.

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

As with our permanent records, we maintain our temporary records electronically and are in the process of creating a framework within our electronic records management system to maintain the records with metadata in the format necessary to provide to NARA based upon the appropriate retention dates.

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

- Yes
 No
 Do not know

In FY 2020 we contracted with Microsoft for Premier Services support to build an electronic records management retention system within our Office 365 environment. In FY 2021 we are considering hiring contracting support to assist us in the completion of that framework and in establishing proper protocols for retention and transfers to NARA within the required retention timeframes.

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

We do not have a high volume of paper records. We expect to retain them until they are accessioned directly to NARA.

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

All Foundation leadership positions are included on our approved Capstone. Their emails are captured and retained and archived for permanent retention. All document records are maintained electronically, and shared drives are designed for documents based upon their content. We are in the process of creating a designated electronic framework for records with metadata attached for transfer to NARA at the appropriate times.

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

Yes

No

Do not know

We are already well into the process.

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

Yes

No

Do not know

Our NARA archivist and other contacts are great to work with and provide the information that we need. The NARA website provides job aids and videos for any records management activity that we need to do.