



Senior Agency Official for Records Management 2021 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. 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 records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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, 2021, 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 2021 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](#)
- 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 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. Has the COVID-19 pandemic impacted policies or practices related to records management at your agency?

- Yes
- No
- Do not know

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

[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 remains well situated to manage continuing challenges resulting from the pandemic.](#)

3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

- Yes
- No
- Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

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, who is also the CIO, CDO, and RM staff and reports directly to the SAORM, creates about 90% of all records.

4. Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

- Yes
 No
 Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

No. As of 2020, BGSF creates and maintains all new permanent records electronically. About 80% of all historical records have been converted to digital format and we are working toward scanning the remaining records. All records are stored on site. Most of the remaining paper records are permanent records consisting of Annual Reports, Board Meeting Minutes, and Scholar lists; many of which are still referenced as part of normal mission operations. 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.

5. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

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.

6. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

BGSF is a 2-person agency with limited personnel and financial resources. Therefore, we will not be able to digitize all remaining permanent paper records by Dec 2022. However, we do NOT intend to transfer any paper records to NARA after the Dec 2022 deadline. Rather, BGSF would request an extension to maintain the paper records on site until such time when they can be digitized. Only then will BGSF transfer the permanent records to NARA in an electronic format. If NARA determines this meets the criteria of managing records electronically “to the fullest extent possible,” then there will be no need for BGSF to submit a request for exception.

7. Is your agency utilizing the General Services Administration’s Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No
 Do not know

Please explain your response. If ‘Yes,’ please include specific examples and how this will support records management processes. If ‘No’ or ‘Do not know,’ please explain.

BGSF did not have any procurement needs in 2021. BGSF is still determining the volume of documents that needs to be scanned and the estimated workload for document preparation. We may use 518210 ERM to assist in identifying a suitable vendor. However, because our agency is so small, it is difficult for BGSF to meet the minimum threshold and/or, in many cases, the cost exceeds our limited budgetary resources.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

- Yes
 No
 Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If ‘Yes,’ provide details about the use of commercial storage and other changes related to storage. If ‘No’ or ‘Do not know,’ please explain.

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.

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

- Yes
 No
 Do not know

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

Yes. Because BGSF is such a small agency, workload and cost are always difficult challenges to resolve. Although BGSF began creating and maintaining all new records electronically in 2020, we must still address the older records. Even though we have a relatively small volume of permanent paper records to digitize, the additional workload is challenging. With only one staff member to complete the task in addition to their normal duties, mission critical activities take priority.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

- Yes
 No
 Do not know

Please explain your response (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.