



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: Myles P. Sharp, 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 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):

We had already taken action 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 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.

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. The agency has contracted services to transition to electronic record administration.

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):

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. 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):

Our current electronic infrastructure allows our agency to create, capture, and maintain records. However, to strengthen our current record infrastructure, we have contracted a firm with NARA ERM experience. We are well into the process, and the consulting firm has conducted interviews with leadership and all stakeholders. We are now in the process of building the role and rule-based record management information system.

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.

Our current electronic infrastructure allows our agency to create, capture, and maintain records, but there is essentially no identification of which contain records. However, to strengthen our current record infrastructure, we have contracted a firm with NARA ERM experience. We are well into the process, and the consulting firm has conducted interviews with leadership and all stakeholders. We are now in the process of building the role and rule-based record management information system. The record management information system will be completed before the end of FY22.

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.

Bravo Consulting Group, LLC (Bravo) is a minority owned HUBZone certified small business that taps into the power of Microsoft technologies to develop custom software applications and solutions for Federal, State, Local, and Commercial organizations. GSA Schedule 70 General Purpose Commercial Information Technology Services.

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.

As a small independent agency, with most of our services such as HR, Payroll and Finance contracted, and we do not generate a large share of paper records. The agency policy is in congruence with the general record schedule timelines, and access is granted as a need-to-know

basis. As we transition to a ERM solution, we will refine our policy. The Udall Foundation is in the process of setting up a complete electronic records management system. Rollout is expected in April/May 2022. This rollout will include email policies as well.

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):

We are well into the process, and do not foresee any issues at this time.

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):

The NARA archivist and other contacts are professional and a pleasure to work with. The NARA website provides job aids and videos for any records management activity that we need to do.