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.

The reporting period begins on <u>March 11, 2019</u> with reports due back to NARA no later than <u>April 19, 2019</u>.

NARA plans to post your 2018 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 progress through December 31, 2018.
- 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 rmselfassessment@nara.gov. Include the words "SAORM 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):

- Susan Vest
- Director of Finance and Operations
- 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 also indicate any that are new or have been changed due to reorganization or other circumstances.**

   Please provide list:

   Morris K. Udall and Steward L. Udall Foundation (no changes from prior year)

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

   X Yes
   ☐ No

   Please explain your response: We are exploring options currently for assistance in setting up the appropriate IT architecture for retaining documents within our Microsoft 365 environment. We are meeting next week with the records management director of another federal agency to learn best practices from their experience with a similar environment. We are also exploring the GSA schedule 36 for contractors who are experienced with setting up electronic records management systems according to NARA requirements. We are reviewing and updating our SF115 to ensure that we have correctly identified records as permanent or temporary. Our CAPSTONE form NA-1005 has been approved by NARA.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its** *Criteria for Successfully Managing Permanent Electronic Records* **(March 2018)?**

   X Yes
   ☐ No

Please explain your response: We have formed a senior level management working group to review and correct our SF115 as required working in conjunction with our NARA archivist. We are putting into place the IT structure necessary for managing electronic records. Our CAPSTONE form NA-1005 has been approved by NARA. We are formulating our internal policy as we move through this process.

4. **As included in the Administration's** *Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations* **(June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

   The Reform Plan states:
   Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

   X Yes
   ☐ No

   Please explain your response (include specific goals and example metrics): We are currently reviewing 13 boxes that were previously prepared to send to NARA to ensure that we are not including unnecessary information as we gain more knowledge of requirements. We are reviewing retention dates to ensure that all appropriate records are scheduled for transmission as required.

5. **Is your agency utilizing** General Service Administration's Schedule 36 **to procure solutions to assist in transitioning to an Electronic Environment?**

   X Yes
   ☐ No

   Please explain your response: We are exploring the GSA schedule 36 for contractors who are experienced with setting up electronic records management systems according to NARA requirements.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

   *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
X Changes were unnecessary (click here for your agency's 2017 report)
☐ No, changes are being considered but have not been made
☐ No

Please explain your response: We are a micro federal agency (29 FTEs) with low incidence of incoming and outgoing senior officials. We have prepared our NA-1005 for CAPSTONE email retention and it was approved by NARA. We have internal policy limitations on the use of personal email. We do ensure that all incoming senior officials at the time of onboarding are made aware of their records retention responsibilities.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02: *Guidance on Senior Agency Officials for Records Management*)**

    X Yes
    ☐ No

Please explain your response: We are making every effort to meet compliance requirements in terms of records management and will meet deadlines. As a micro agency, we have limited staff and a small budget. We contracted with the NARA Federal Records Centers Program for assistance in attaining full compliance in our records environment. A NARA senior records management analyst spent three days at our facility in June 2018. Our expectations for this IAA were not met and we felt that the money that we spent for this was essentially wasted. An analysis was performed, however, we received little direction on a way forward and the formal report that we received was standard boilerplate that could have applied to any agency without valid and specific recommendations for our agency. Since then we have been working closely with a NARA archivist who has been very helpful. We have formed a senior level working group and are reviewing our SF115 that was prepared several years ago.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See NARA Bulletin 2017-01: *Agency Records Management Training Requirements*)**

    X Yes
    ☐ No

Please explain your response: Our Records Officer has taken online training. We are currently assessing the most appropriate online NARA training for all staff with the assistance of our NARA archivist.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

    X Yes
    ☐ No

    Please explain your response: As we work on our SF 115 and related policy we will put into place related internal controls and scheduled reviews to ensure that we meet retention requirements.

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

    X Yes
    ☐ No

    Please explain your response: Our NARA archivist has been extremely helpful to us. She addresses our questions and has called in to our working group meetings to provide us with information.

    We need assistance with the implementation of electronic recordkeeping within our Microsoft 365 environment. We expected to get that from our NARA analyst, but we did not. He recommended software programs that we could purchase, but they were much more expensive than we could pay as a micro agency with a small budget.

    We also would benefit from NARA instructor led online training that would provide overall RM awareness and a primer for our staff to understand the basics – what is a record, what makes it a permanent record, etc.