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 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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, 2019.
- 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 2019 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
- Position title   Director of Finance and Operations
- 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 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 managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

    X Yes
    ☐ No

    We currently manage all permanent records electronically. We have milestones set to add the metadata to the documents and to ensure that protocols are in place for proper transfer to NARA within the retention requirements.

3. **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)**

    X Yes
    ☐ No

    We have milestones set to add the metadata to the documents and to ensure that protocols are in place for proper transfer to NARA within the retention requirements.

4. **Has your agency made progress towards managing all _temporary_ records in electronic format? (M-19-21, 1.3)**

    X Yes

☐ No

We currently manage all temporary records in an electronic format.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

   X Yes
   ☐ No

   We have set milestones for accomplishment of all records management requirements and are working with our NARA archivist to update our 115 to reflect our current records structure. Our CAPSTONE has been approved by NARA and we have email retention protocols in place.

6. **If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

   X Yes
   ☐ No

   We have designed records to transfer before the deadline and have coordinated with NARA on the way to do so.

7. **Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   X Yes
   ☐ No

   Yes. At the time of retirement of our former Executive Director in 2019, we retained all records and his email in its entirety.

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

   ☐ Yes
   X No

Our IT Manager has worked with other Federal agencies for best practices and has established the electronic infrastructure that we need for retention and eventual transfer to NARA.

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

X Yes
☐ No

We believe that we have the electronic infrastructure capabilities but would benefit from NARA guidance to ensure that we are in full compliance with all requirements using the most efficient and effective methodology. Our archivist has been our source of information particularly in terms of our 115.

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.