Inter-American Foundation
An Independent Agency of the U.S. Government

MEMORANDUM

DATE: March 8, 2018

TO: The National Archives and Records Administration

FROM: Lesley Duncan
            Chief Operating Officer
            Inter-American Foundation

SUBJECT: Senior Agency Official for Records Management FY 2017
            Annual Report

Attached please find the Inter-American Foundation's 2017 Records Management Annual Report, which complies with the *Managing Government Records Directive (M-12-18)* requirement that Senior Agency Officials for Records Management (SAORMs) provide an annual report to NARA.

The Inter-American Foundation (IAF) is an independent agency of the United States government whose mission is to promote grassroots development throughout Latin America and the Caribbean. To achieve this, the IAF responds to innovative ideas presented by the organized poor from Latin and South America aimed at improving their livelihoods. The IAF is one of the smallest federal government agencies, with 42 employees, all located in Washington DC. The agency out-sources many services, including budget, accounting, procurement, payroll and other human resource services. While we are cognizant of the importance of records management, there is no staff person solely designated to those efforts.

Please feel free to contact Kara Rogers, Management Analyst, at krogers@iaf.gov or 202 683-7182 if you have any questions.

The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive* transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 PRMD@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):

- Name of SAORM: Lesley Duncan

- Position title: Chief Operating Officer

- Address: 1331 Pennsylvania Ave NW, Suite 1200 North, Washington DC 20004

- Office telephone number: 202-688-3047

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

Inter-American Foundation (IAF) – no subsidiary bureaus or components.

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)

☒ Yes
☐ No

3. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

☒ Yes
☐ No

The IAF has temporary records that are all electronic and through our file plan we manage the storage and disposition of these records.

4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

☒ Yes
☐ No

Per OMB guidance for FY18 specific to our agency, IAF requested a waiver from Reform Plan submission. Recordkeeping and records management needs are not affected.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

☒ Yes
☐No

The IAF has drafted an Information Resource Management Strategic Plan for 2017-2020. The Strategic Plan outlines the current IT environment, provides an overview of key issues, and a recommendation to address these key issues. The IAF has annual mandatory Records Management training for All-Staff.

6. **Have you, as the SAORM, ensured that 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
☐No

IAF's Senior Officials are our Office Directors and the IAF has insured that records management is a key component to the on-boarding/exiting process for all staff, contractors, and interns.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)?**

☒ Yes
☐ No

The IAF has drafted an Information Resource Management Strategic Plan for 2017-2020. The Strategic Plan outlines the current IT environment, provides an overview of key issues, and a recommendation to address these key issues.

Within IAF, the Office of Operations provides service to program offices: to respond to FOIA requests; manage records; and establish up-to-date relevant training, guidelines, and directives.

As of March 2014, an implementation of Google email and Google Vault, email records, chats and files are maintained as per the guidelines.

8.   What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

The IAF has received conflicting responses from NARA this past year regarding our policies, records storage, and disposition. The Records Officer, Kara Rogers, intends to reach out to the Archival Specialist in 2018 to gain concrete action steps to take in order to remain in compliance with recordkeeping.