Inter-American Foundation

An Independent Agency of the U.S. Government

MEMORANDUM

DATE: April 18, 2019

TO: The National Archives and Records Administration

FROM: Lesley Duncan
             Chief Operating Officer
             Inter-American Foundation

SUBJECT: Senior Agency Official for Records Management FY 2018
             Annual Report

Attached please find the Inter-American Foundation's 2018 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.

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

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.**

   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

   All IAF records are managed electronically.

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)?**

   ☒ Yes
   ☐ No

   The IAF has an implemented Records Management Policy and has annual mandatory Records Management training for All-Staff. 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.

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?**

   ☒Yes
   ☐ No

   All IAF records are managed electronically.

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

    ☐ Yes
    ☒ No

The IAF is a micro-agency and was able to assist in this transition with IAF staff.

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?**

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

    ☒ 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.

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*)**

    ☒ Yes
    ☐ No

The IAF has implemented an appropriate role-based records management training for all staff.

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?**

    ☒ Yes
    ☐ No

The SAORM has regular meetings with Office Directors to evaluate and ensure records policies and procedures are being properly implemented.

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

    ☐ Yes
    ☒ No