



USAID
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**Senior Agency Official for Records Management
CY 2017 Annual Report**

Angelique M. Crumbly
Senior Agency Official for Records Management

March 2018

Provide the following information (required):

- **Name of SAORM:** Angelique M. Crumbly
- **Position Title:** Acting Assistant Administrator, Bureau for Management
- **Address:** 1300 Pennsylvania Avenue NW, Washington DC, 20523
- **Office Telephone Number:** 202 712-1200

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

Agency: United states Agency for International Development (USAID)

Position: Acting Assistant Administrator, Bureau for Management

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

Please explain your response:

USAID is making progress towards managing all permanent electronic records in electronic format by December 31, 2019 as defined in M-12-18, Goal 1.1. This involves identifying all agency permanent record content and then to the extent possible, ensuring that these records are digital and stored in an agency approved record keeping repository for eventual transfer to the National Archives and Records Administration (NARA) for preservation. This includes updating the agency's current records disposition schedules to support electronic records management.

Additionally, USAID has developed policies and procedures to ensure that emails of Capstone Officials, those individuals who are the primary policy and decision makers, will be maintained permanently. The agency identified senior official positions and has begun the process of capturing and managing the permanent records associated with such accounts to facilitate the transfer of these emails to NARA per the disposition requirements.

The agency also introduced new management mandatory online training for everyone and redesigned the instructor-led training to raise records management awareness and to help the workforce fulfill record-keeping responsibilities. This training includes policy and guidance for management of electronic records that are both permanent and temporary.

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

USAID has taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats as required by M-12-18 Goal 1.1. Following an inventory of permanent record content – both active and inactive - USAID will create a methodology inclusive of standard operating procedures and detailed requirements to develop an agency-wide standard approach to digitization in accordance with NARA standards and USAID policy.

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

Please explain your response:

USAID has taken steps to ensure that recordkeeping requirements and other records management needs are accounted for when reform plans that may result in the reorganization, elimination of offices and/or functions, as well as in instances of mission closures and office moves. USAID's record management staff offer a variety of trainings, assessments and technical assistance to include:

- Tailored records management training that detail steps on how to manage records regardless of medium.
- Assessments to support the proper identification and appropriate disposition of records.
- Technical assistance to provide hands-on records management guidance to encourage compliance with applicable policies and procedures.

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

Working closely with the Agency Records Officer and Chief Information Officer, I have taken steps to ensure that the agency records management program has strategic direction, support and resources needed to be successful, including:

- Providing the agency with strategic direction to modernize the agency's records management program to accomplish the requirements set forth in the Managing Government Records Directive (M-12-18).
- Ensuring adequate resources are provided through the budget process to support records management initiatives.
- Ensuring records management goals are articulated at the highest level of the agency that align with the stated mandates and are consistent with the overall mission and strategic direction of the agency.
- Aligning agency policy to encourage compliance and accountability.

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

Under my direction, USAID has implemented various steps to ensure employees at the senior official level are knowledgeable of their specific duties and responsibilities to capture, preserve, manage, protect and provide accessibility to record content where applicable. This includes:

- Established policy and guidance specific to Senior Officials.
- Provided briefings for both incoming and outgoing Senior Officials.
- Developed mandatory records management training for Senior Officials.
- Disseminated various literature (e.g., pamphlets, brochures, and newsletter articles) to remind Senior Officials of records management responsibilities.

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 Agency's Enterprise Transition Roadmap includes a records management system for which requirements are currently being defined.

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)

NARA's consideration of the following items may prove helpful during the current transition to a fully electronic recordkeeping environment:

- Provide requirements and tools which will enable agencies the capability to seamlessly transfer all electronic record content to NARA.
- Update ERA software to make it more user-friendly and web-accessible.