

Senior Agency Official for Records Management 2018 Annual Report

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 began on March 11, 2019 and reports are due back to NARA no later than April 19, 2019.

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 rselfassessment@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:** Angelique M. Crumbly
- **Position Title:** Acting Assistant Administrator, Bureau for Management
- **Address:** 1300 Pennsylvania Avenue NW, Washington DC, 20523

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.**

Agency: United States Agency for International Development (USAID)

Position: Acting-Assistant Administrator, Bureau for Management

Reporting: This is a comprehensive report. Additionally, there are no changes due to reorganization.

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 NARA for preservation. This includes updating the agency's current records disposition schedules to support electronic records management.

The agency also introduced 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 the management of electronic records that are both permanent and temporary.

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

USAID has developed approved 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 received NARA approval for the 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.

Additionally, the records management program is training the agency on the utilization of classification schemes. This method assists with the proper organization of electronic records thereby aiding with fulfilling proper disposition instructions.

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 the management of Government records, data, and information.

- Yes
 No

Please explain your response:

USAID has taken steps to ensure that recordkeeping requirement and other records management needs are accounted for in order to comply with the reform plan. In an effort to achieve this goal, 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. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

USAID is finalizing an Agency-wide Records Management Modernization Plan to address NARA's 2018 - 2021 Strategic Plan and other mandates identified in the Managing Government Records Directive (M-12-18). The Agency plans to utilize the General Service Administration's Schedule 36 to assist with the implementation of the plan. This will provide the agency with the strategic direction to modernize the Records Management program.

- Ensuring the Agency will leverage the Electronic Records Management resources set forth in GSA Schedule 36 to accomplish the requirements set forth in the Managing Government Records Directive (M-12-18).

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

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; and
- Disseminated various literature (e.g., pamphlets, brochures, and newsletter articles) to remind Senior Officials of records management 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](#))

Yes

No

Serving in this role, I have ensured that the records management program receives additional support through the award of a new institutional support contract that has permitted the program to address competing demands with additional personnel. Further, in collaboration with USAID's Information Technology office, the records program was enhanced to provide electronic records management throughout the Agency (e.g., Capstone Approach).

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

As the SAORM, I approved the development of mandatory online training that was targeted towards Senior Officials and a separate course for the remaining agency staff. In addition, I have empowered the records management program to develop an instructor-led training that was geared towards those individuals with dedicated records management roles. These training programs not only include policy and guidance for the management of both paper and electronic records, but also provide practical experience and illustrate common examples that occur throughout the agency.

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

Serving in this capacity, I oversaw the combined efforts of the records management program with the USAID Office of Acquisition & Assistance (OAA), in establishing an assessment program that will ensure records management directives, policies, procedures, and retention schedules are properly implemented. OAA was chosen as a partner due to their success in implementing evaluations within their program. Consequently, OAA's experience is assisting the records management program in the development of their own program.

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

Yes

No

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; and
- Update Electronic Records Archives (ERA) software to make it more user-friendly and web-accessible.