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:** Frederick M. Nutt
- **Position title:** Assistant Administrator, Bureau for Management
- **Address:** 500 D Street, SW, Washington, DC 20547

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:
   Agency: United States Agency for International Development (USAID)
   Position: Assistant Administrator, Bureau for Management
   Reporting: This is a comprehensive report. Additionally, there are no changes due to reorganization.

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

   ☐ Yes
   ☐ No

   Please explain your response:

   USAID is making progress towards managing all permanent electronic records in electronic format as defined in M-19-21, Goal 1.1. The effort involves identifying all Agency permanent record content and then, to the fullest extent possible, ensuring that these records are digital and stored in an Agency approved record keeping repository for eventual transfer to NARA. To that end, there is a restructuring of the current records disposition schedule in progress, to support the shift to a digital-operating government.

   USAID is also optimizing opportunities to digitize information through the Agency's reorganization process. USAID's Management Bureau is providing guidance to new Bureaus to digitize all relevant records as they become operational. Similarly, USAID is guiding Bureaus that are moving to new locations, as part of the Agency's approved space plan, to digitize all relevant records. This includes M's move to the USAID Annex and moves within the Ronald Reagan Building.

The agency also introduced mandatory, online training for every employee and redesigned the instructor-led training to raise records management awareness. The training includes roles and responsibilities as well as policy and guidance for the management of electronic records that are both permanent and temporary.

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)**

   ☐ Yes
   ☐ No

   Please explain your response (include specific goals and example metrics):

   In the instructor-led training, USAID employees are introduced to the importance of metadata while also receiving guidance on how to safeguard the information. Establishing this foundation better equips Agency employees to maintain historical records. Moreover, it helps USAID avoid inconsistencies that can occur in documenting data.

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

   ☐ Yes
   ☐ No

   Please explain your response (include specific goals and example metrics):

   USAID secured a vendor to digitize, to the fullest extent possible, all hard copy records. To promote this service to offices, Records Management staff has provided over 10 scanning briefings since deployment of the service in October 2019.

   Coupled with the addition of the scanning service is policy to improve the management of awards. For instance, all active awards made on or after June 26, 2018, are fully managed in an electronic recordkeeping system. Maintaining these records in this format is a vital component of the Agency's modernization and management of award performance.

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)**

   ☐ Yes
   ☐ No

Please explain your response (include specific goals and example metrics):

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

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)**

    ☐ Yes
    ☐ <mark>No</mark>

    Please explain your response (include specific goals and example metrics):

    USAID does not have agency-operated records centers.

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?**

    *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.

    ☐ <mark>Yes</mark>
    ☐ No

    Please explain your response (include specific details of procedures):

    Under my direction, USAID continues to implement 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 mitigates the potential that exiting senior officials will improperly remove, alter, or delete Agency records. This includes:

    - Establishing policy and guidance specific to senior officials;
    - Providing briefings for both incoming and outgoing senior officials;
    - Developing mandatory records management training for senior officials; and

- Disseminating various literature (e.g., pamphlets, brochures, and newsletter articles) to remind senior officials of records management responsibilities.

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

☐ <mark>Yes</mark>
☐ No

Please explain your response (include details of specific challenges, if applicable):

USAID administers civilian foreign aid and development assistance. As such, the Agency partners with countries that have different statutes, regulations, and policies that do not recognize digital signatures. Collaborating in this capacity leads to the use of paper to document agreements that otherwise would go unrecognized.

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

☐ <mark>Yes</mark>
☐ No

Please provide details on what support is needed:

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.