



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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*, including implementing proper email management and 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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 SAO: *Enoh T. Ebong*

Position title: *Deputy Director*

Address: *1000 Wilson Boulevard, Suite 1600
Arlington, VA 22209*

Office number: *703-875-4311*

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

U.S. Trade and Development Agency

Please list them below:

The U.S. Trade and Development Agency (USTDA) is a small agency of 52 FTEs and does not have any components or bureaus.

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes No

2a) Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:

USTDA established a Records Management Working Group (“Working Group”) to review its records management processes. Key to the work of the Working Group is the ongoing effort to manage both permanent and temporary e-mail records in an accessible electronic format by December 31, 2016. The Working Group met with USTDA’s NARA representative to discuss arrangements to manage permanent and temporary email records. In addition, the Deputy Chief Information Officer is taking classes to develop an electronic records management program that will be compliant with NARA’s Directive on the subject.

In order to meet the goal to manage all email records in an accessible electronic format, USTDA has reviewed and analyzed the use of automated systems for

capturing email and the use of an automated system for providing access and retrievability of agency email. Specifically, USTDA has purchased, and is in the process of migrating to a software system that has an electronic email records management system component, which is intended to capture and store all agency email in the cloud. The electronic email records management system will also provide the ability to access, retrieve, and manage all agency email.

USTDA intends to adopt the Capstone Approach to email management. Accordingly, USTDA has discussed and begun the process of developing an email policy that would coincide with the implementation of the software system that has an electronic email records management system component. USTDA has reviewed information relating to the Capstone approach for email management and retention and is working towards developing the underlying policy for implementation of the Capstone approach.

- 2b) Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.

USTDA will continue its ongoing efforts to meet the goal of managing both permanent and temporary e-mail records in an accessible electronic format by December 31, 2016. USTDA's Working Group will continue to meet on regular intervals to ensure USTDA is able to effectively and efficiently manage the process of ensuring USTDA can manage all email records in an electronic format.

In FY2016, USTDA will implement the use of an electronic email records management system, with an anticipated date to be deployed by the end of the first quarter of 2016. USTDA will also finalize the email records retention policy to implement a Capstone Approach, and once the policy is in place, the IT Department will structure the rules to meet the email records retention policy.

USTDA plans to implement the GRS 6.1: Email Managed under a Capstone Approach. In 2016, USTDA will provide training on managing electronic records, which will be incorporated into USTDA's annual records training and Agency Records Management Manual.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

USTDA does not encourage any official email or business to be conducted on personal or non-official email accounts. In 2016, USTDA will provide guidance to all employees advising them of the disclosure requirements for official business conducted using non-official electronic messaging accounts, which will be incorporated into USTDA's annual records training.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

All USTDA email is running on a Microsoft Exchange server at our local data center at USTDA. All emails are encrypted and stored locally. A backup copy of each email is sent to an authorized data backup and recovery services company. All email is kept in perpetuity. The Director and Senior Executives of USTDA have been informed of their responsibilities for recordkeeping when using a personal e-mail account as described in NARA Bulletin 2013-03 and specific disclosure requirements subject to Sec. 2911 of the Federal Records Act, as amended.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes

No

5a) Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.

USTDA has completed the inventory and the scanning of hard copy final reports of all program activities. These records are boxed and scheduled for transfer to the FRC and to NARA by December 31, 2016.

5b) Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.

USTDA is in the process of completing the inventory and the scanning of program project files. These will be boxed and scheduled for transfer to the FRC and to NARA by December 31, 2016.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes

No

6a) Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:

- establishing formally approved electronic records policies,
- use of any automated systems for capturing electronic records,
- providing access / retrievability of your electronic records, and
- establishing disposition practices for agency electronic records.

USTDA will continue its ongoing efforts to meet the goal of managing all permanent electronic records in an electronic format by December 31, 2019. USTDA's Working Group has met at regular intervals to ensure USTDA is able to effectively and efficiently manage the process of ensuring USTDA can capture and manage all permanent electronic records in an electronic format. Included in this effort is ongoing electronic records management training for the Deputy Chief Information Officer, who is responsible for recommending a full electronic records management plan to the SAO prior to implementation in December 2019.

USTDA, through the Working Group, has begun to analyze the establishment of formally approved electronic records policies and disposition practices for agency electronic records, including updating its current Records Schedule to establish Media Neutrality for agency records and move toward meeting the Directive goal to manage all permanent electronic records in an electronic format. Finally, USTDA is analyzing the use of an automated system for capturing electronic records, in addition to analyzing the accessibility and retrievability of USTDA's electronic records.

6b) Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.

USTDA will continue its ongoing efforts to meet the goal of managing all permanent electronic records in an electronic format by December 31, 2019. USTDA will continue the process of updating its Records Schedule to achieve Media Neutrality of its records. USTDA's Working Group will continue to meet at regular intervals to ensure USTDA is able to effectively and efficiently manage the process of capturing and managing all permanent electronic records in an electronic format.

USTDA, through the Working Group, is also working to establish formally approved electronic records policies and disposition practices for agency electronic records. USTDA is also planning to provide training specific to electronic records management to all staff. Finally, USTDA is analyzing the use of an automated system for capturing electronic records, in addition to analyzing the accessibility and retrievability of USTDA's electronic records. USTDA is planning to implement an electronic records management system that will provide the ability to track and inventory electronic records.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

USTDA will continue its ongoing efforts to meet the goals of the Managing Government Records Directive, with particular emphasis on electronic recordkeeping and compliance with statutes and regulations.

USTDA has been working towards managing both permanent and temporary email records in an accessible format. In addition, USTDA is analyzing and planning to manage all permanent electronic records in an electronic format. Specifically, USTDA has worked to digitize permanent records created in hard-copy format by scanning a significant number of documents into an electronic format, maintained on a Microsoft SharePoint 2010 platform. USTDA continues to work to scan a significant number of documents into a digital format in an effort to facilitate, to the fullest extent possible, eventual transfer and accessioning to NARA in an electronic format.

During that process, USTDA has noted some challenges regarding physical scanning of oversized documents. Furthermore, USTDA has noted some challenges with respect to our records schedule, media-neutrality, and USTDA's ability to digitize permanent records created in hard-copy format while ensuring conformity with applicable records management and disposition requirements. While moving to a digital environment to adopt electronic records keeping, USTDA has found that an important factor in preparing for migration to an electronic platform is obtaining sufficient disk capacity to receive new scanned documents onto our servers. This allows USTDA to pursue the goal of reducing the paper-based footprint more efficiently and effectively.

Another challenge is obtaining a cost effective, efficient electronic management records system. USTDA is currently in the process of upgrading the existing email server, with a goal to move to Microsoft Office 365 on the Microsoft Cloud FedRAMP approved facility. USTDA envisions that this solution will provide USTDA with a compliance center to manage all email based on

USTDA's future policy and in accordance with applicable regulations and statutes. In addition, USTDA is upgrading the existing SharePoint 2010 to SharePoint 2013 with Records Management Software capability, which will assist USTDA with management of electronic records for central agency files, archived emails, Intranet, databases and file servers.

Time resource and financial constraints continue to be an ongoing challenge to meet the Records Directive goals. However, USTDA has prioritized this effort and is diligently working to achieve the goals by the appointed dates.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes No

- 8a) Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.

All records of officials affected by the upcoming change in Presidential administrations have been scanned to the USTDA hard drive for back up and storage in the Cloud. All official business is conducted solely on official government issued equipment and accounts, all of which are backed up and stored in the Cloud. In addition, training has been provided to the Director regarding use and disposition of personal and official email.

- 8b) Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.

All records of officials affected by the upcoming change in Presidential administrations will continue to be scanned to the USTDA hard drive for back up and storage in the Cloud. All official business will continue to be conducted solely on official government issued equipment and accounts, all of which are backed up and stored in the Cloud. In addition, USTDA will provide exit briefings for senior officials on the appropriate disposition of the records, including email, under their immediate control.