The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) 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 January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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 PRMD@nara.gov. Include the words "SAORM annual report" 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   Enoh T. Ebong

- Position title   Deputy Director/Acting Director

- Address   1000 Wilson Boulevard, Suite 1600, Arlington VA 22209

- Office telephone number   702-875-4357

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

Please list below

USTDA does not have any other agencies, bureaus, components or offices.

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

☐Yes
XX☐No

If No, please list and explain which part of your agency or components did not meet the deadline?

USTDA will utilize the Capstone method to manage all permanent and temporary email records through Microsoft Office 365, an electronic system that supports records management and litigations requirements, including the capability to identify, retrieve, and retain the records for as long as needed. USTDA's Capstone Email Records Management Policy ("Capstone Policy") is in final draft form, and Form NA-1005, identifying agency Capstone officials, has been completed and is ready for submission to the Acting Director for approval. The technical components to implement Microsoft Office 365, including Standard Operating Procedures, have been developed and USTDA is currently in the final testing phase to ensure accuracy and reliability during implementation ("Pilot"). Upon successful completion of the Pilot, the agency's Capstone Policy and NA-1005 will be submitted to the Acting Director for approval and all agency staff will be trained on the use of Office 365 to electronically manage all electronic records. Upon formal approval by the agency's Acting Director of both the Capstone Policy and NA-1005, the NA-1005 will be submitted to the agency's records archive specialist at NARA for approval.

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*

3.   Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

☐Yes
XX☐No

If No, please list which part of your agency or components did not and why?

USTDA is working towards meeting the M-12-18 target goal to schedule all existing paper and non-electronic records. The agency has identified all unscheduled existing paper and other non-electronic records that are stored at NARA's records storage facilities. USTDA anticipates seeking Media Neutrality for certain records series, including the series under which the unscheduled records exist. After USTDA receives approval from NARA to allow these records to be Media Neutral, the paper versions may be destroyed. The agency is currently in the process of scanning thousands of permanent records in anticipation of scheduling them under the Media Neutrality disposition authority. In addition, USTDA will request approval from NARA for certain records series registered in NARA's Electronic Records Archive to initiate disposition authority changes electronically.

4.   Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

XX☐Yes
☐No

If Yes, please describe this progress.
If No, please list which part of your agency or components did not and why?

USTDA is making progress to meet the goal of managing all permanent electronic records in an electronic format for transfer and accessioning by NARA. USTDA has taken the following actions to effectuate these requirements, as further detailed below:
▪ Adopted and configured a sustainable information technology system, Microsoft Office 365/SharePoint, which will facilitate the transition to a system that makes it easier for the agency to manage records electronically. Electronic records, managed with this system,

will be stored in the "Cloud" enabling the records management staff to more easily manage the appropriate disposition requirements.

- In the process of completing the inventory and scanning of program project files, in anticipation of the approval of Media Neutrality with respect to these documents.
- In the process of updating USTDA's Records Schedule to achieve Media Neutrality of its records. To this end, USTDA's records management officials have prepared a draft action memorandum for presentation to senior management, requesting approval to treat the electronic version of certain program records as the "official" version for recordkeeping purposes. Upon presentation and approval of Media Neutrality by NARA, USTDA may destroy the paper versions the records and maintain the permanent record electronically.

5. **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)**

        XX☐Yes
        ☐No

Please describe your specific plans or actions.

USTDA's determination that the electronic versions of certain program records be the official version for recordkeeping purposes and request to NARA for Media Neutrality for these records is in the final stages of approval. Upon approval, USTDA would be able to destroy the paper copies of those records. As appropriate, those and other agency permanent records in paper format, are scheduled to be scanned and saved in PDF formats for eventual transfer and accessioning to NARA. All new permanent records are stored electronically and Agency contracts requirements were modified to require all contract deliverables, including final reports and invoices, be submitted electronically.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

        ☐Yes
        XX☐No

USTDA currently includes records management as a key component of the agency's overall operations and management functions. USTDA will work towards creation of an information resources management strategic plan which will include records management as a key component.

If Yes, please describe what steps have been taken.