NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 - [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):

- Enoh T. Ebong
- Deputy Director
- 1101 Wilson Boulevard, Suite 1100, Arlington, VA 22209
- 703-875-4311

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

   The U.S. Trade and Development Agency has no components offices.

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)**

   XX☐Yes
   ☐No

   Please explain your response:

   In 2017, USTDA has developed an electronic database for all program records. The Agency completed the scanning of all program records for electronic management and has applied for Media Neutrality, which once approved by NARA, will enable the Agency to destroy all paper copies.

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)**

   XX☐Yes
   ☐No

   Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

   USTDA has plans to digitize and manage all permanent records. In 2017, these plans were implemented. New databases for Agency program files and the Agency administrative records were developed and tested. All program permanent records were digitized and uploaded to the new database and is currently being used by agency staff. The database for administrative records is in development and is expected to be functional for all digitized administrative records in 2018.

As USTDA migrates to Microsoft 360 and SharePoint, the conversion of existing databases to these platforms has presented challenges and has slowed the progress to completed electronic management of USTDA's permanent records. This process is expected to be completed in 2018.

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?**

> XX☐Yes
> ☐No

Please explain your response:

USTDA's reform plan did not result in re-organization or elimination of offices or functions. As a small efficiently run agency, USTDA will continue to ensure that record keeping requirements and other records management needs are accounted for in its organizational planning and budgeting.

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)

> XX☐Yes
> ☐No

Please explain your response

USTDA's records management program is allocated a separate line item in the agency's operational expense budget. In recent years, USTDA has sought adequate funds allocation from the Office of Management and Budget to address several key issues related to records management. Currently the agency has allocated two FTEs and one contracted staff member who spend a portion of their time on records management activities. The resources allocated to records management take into account the mission, size and structure of the agency, as well as the volume and format of records. IT investments are planned with an eye to effectiveness in management and preservation of records.

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.

   XX☐Yes
   ☐No

   Please explain your response:

   All USTDA employees are provided links to USTDA Records Management training with a completion date within 45 days of entry. The training outlines the responsibilities of all employees to manage their email, their documents and recordkeeping. In addition, all incoming political appointees, senior agency officials, and senior executives are provided NARA's video link- "Documenting Your Public Service". Upon departure, all outgoing employees must complete a Records Management task to review and archive all relevant emails and permanent documents in their possession and to delete all personal emails and papers to ensure that records are preserved and protected.

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
   XX☐ No

   Please explain your response:

   USTDA currently includes records management as a key component of the agency's overall operations and management functions. In addition, USTDA plans and manages various requirements related to records management, enterprise risk, information and security of its systems. The agency will work towards the creation of a comprehensive information management plan, which will include records management as a key component.

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)

As a small agency with a staff that fulfills many collateral duties, among them Records Management, USTDA has relied on NARA and its resources for guidance and specific help in making the transition from paper recordkeeping to digitization and electronic management of its permanent records and emails. USTDA's NARA liaison, Sean Curry, has been extremely helpful to us. He has always been available and served as our guide and primary resource as we move toward meeting OMB and NARA recordkeeping requirements, providing us with specific instructions, notice of any upcoming requirements or changes, and moral support, including visiting our Agency to review our records to provide guidance specific to our agency's records management situation. This support has been very important to USTDA's move toward updating our Records Management Program.