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: Matt Cox
- Position title: Director of Management Operations
- Address: 1101 Wilson Blvd, Suite 1100, Arlington, VA 22209

- Office telephone number: 703-875-4357
- Email: mcox@ustda.gov

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.**

   US Trade and Development Agency (USTDA). USTDA is an independent agency with no bureaus or subcomponents.

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:*
   USTDA has approved Media Neutrality of all agency records, allowing the designation of electronic versions of permanent records as the official copy of record and the transfer of electronic records to NARA and the FRC and the destruction of paper copies of these records. The agency has scanned all paper records and all newly created records are maintained electronically. USTDA has also received approval from NARA for the designation of Capstone officials, enabling the agency to utilize GRS 6.1 and to develop an electronic system to manage all email. In 2019, USTDA initiated procurement activities to acquire a system/tool to further support our overall electronic records management program. This contract was awarded in January 2020 with implementation beginning in February 2020. Additionally, in 2020 USTDA is planning additional procurement activities specifically in support of electronic email record management and we anticipate this activity to be in completed in 2020.

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 2019 USTDA conducted an internal review of the metadata captured with our electronic records and found that our electronic systems maintain appropriate metadata as directed by M-19-21, 1.2.

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):*
USTDA has approved Media Neutrality of all agency records, allowing the designation of electronic versions of permanent records as the official copy of record and the transfer of electronic records to NARA and the FRC and the destruction of paper copies of these records. The agency has scanned all paper records and all newly created records are maintained electronically. USTDA has also received approval from NARA for the designation of Capstone officials, enabling the agency to utilize GRS 6.1 and to develop an electronic system to manage all email. In 2019, USTDA initiated procurement activities to acquire a system/tool to further support our overall electronic records management program. This contract was awarded in January 2020 with implementation beginning in February 2020. Additionally, in 2020 USTDA is planning additional procurement activities specifically in support of electronic email record management and we anticipate this activity to be in completed in 2020.

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):*
USTDA continues to maintain a robust records management program that complies with the Federal Records Act and its regulations. USTDA has designated the Director of Management Operations (an SES position that is one of the four members of the agency's Executive Team) as the SAORM and the Administrative Officer (a senior leader in the operations team) as the ARO. Each year USTDA dedicates an entire day to agency-wide records

management training and comprehensive individual review of all records currently in place.  In 2019, the records management training was recorded and staff that were not able to be at the live training were able to watch the recorded training, thus ensuring 100% participation and compliance across the agency.  Also, the USTDA records management team met with NARA liaisons to discuss the current status of our program and the next steps in achieving full electronic implementation.  The SAORM has renewed the emphasis on achieving this goal and has empowered the team to achieve the milestones toward successful completion.  To date, USTDA is ~85% complete with the internal review updating our Agency Specific Records Schedule and intends to submit the update to NARA in the coming months.  In 2019, the SAORM supported and approved procurement activities to acquire a system/tool to further support our overall electronic records management program.  This contract was awarded in January 2020, with implementation beginning in February 2020, and will greatly accelerate USTDA's transition to digitized workflows and fully electronic document management.  Additionally, in 2019 the SAORM initiated planning for additional procurement activities specifically in support of electronic email record management and we anticipate this activity to be in completed in 2020.  USTDA has fully embraced the Federal Records Act and transition to fully electronic recordkeeping, maintains regular communications with our NARA Liaisons and actively manages our records program to ensure full compliance.

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**
   　　☐ No

   *Please explain your response (include specific goals and example metrics):*
   USTDA does not have any agency-operated records centers.  However, we do have records being stored at FRC, Suitland, MD, and have plans in place that will alleviate that need by 2022 at the latest.

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.

✓ ☐ **Yes**
   ☐ No

*Please explain your response (include specific goals and example metrics):*
   USTDA has standardized the onboarding process for all new employees.  In addition to USTDA's annual required training, all incoming Senior officials and new staff receive a records management briefing from the Records Manager, reviewing the link to the NARA briefing on recordkeeping responsibilities and further strengthening the overall program.  Additionally, USTDA devotes an entire day each year for both annual records management training as well as a comprehensive individual review of all records currently in place.  In 2019, the records management training was recorded and staff that were not able to be at the live training were able to watch the recorded training, thus ensuring 100% participation and compliance across the agency.  Additionally, the Records Manager reviews the responsibilities and the disposition of all records with departing employees.  In 2019, USTDA initiated procurement activities to acquire a system/tool to further support our overall electronic records management program.  This contract was awarded in January 2020 with implementation beginning in February 2020.  The records management team has been actively collaborating with our information technology team regarding the management and storage of capstone emails.  In 2019 we began building the policies and procedures to effectively administer and manage this process and anticipate those activities to be in place during 2020.  Additionally, in 2019 the SAORM initiated planning for additional procurement activities specifically in support of electronic email record management and we anticipate this activity to be in completed in 2020.

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

   ☐ Yes
✓ ☐ **No**

*Please explain your response (include specific goals and example metrics):*
USTDA is well on its way to implementation of a fully electronic recordkeeping system.  Our next biggest milestone is to update our 1996 USTDA specific Records Schedule. We are currently ~85% complete with the internal review updating our Agency Specific Records Schedule and intend to submit that update to NARA in the coming months.  With NARA's continued support and customized guidance, USTDA will meet its goal.

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

✓ ☐ **Yes**

☐ No

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

USTDA is a very small agency with limited resources and personnel. The agency relies heavily upon NARA for customized support and guidance to successfully complete the transition to fully electronic recordkeeping.  In 2019, USTDA met with and received excellent support from our NARA Liaisons. Their continued support and assistance will be critical for USTDA to complete the updating of our USTDA Records Schedule and complete the transition to a fully electronic recordkeeping system.