



Senior Agency Official for Records Management 2018 Annual Report

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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 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):

- *Todd Abrajano*
- *Acting Deputy Director*
- *1101 Wilson Boulevard, Suite 1100
Arlington, VA 22209*

- 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) has no component 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)**

- Yes
 No

Please explain your response:

USTDA has approved the Media Neutrality of all agency records, allowing the designation of electronic versions of permanent records as the official copy of record and allowing 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. It is anticipated that during 2019, the procurement process for a system to be created to ensure that the agency's emails will be managed electronically will be finalized.

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response:

USTDA started to implement plans to digitize, manage and make accessible all permanent records electronically. Databases developed for Agency program records were successfully implemented and updated, and all program permanent records were digitized and uploaded. This provides accessibility to all staff and has become integral to carrying out USTDA's mission. All administrative records were digitized in 2018 with plans for the

development of a similar database that is expected to be functional for all digitized administrative records. During 2018, USTDA strengthened its operational activities, leveraging the knowledge of a full time Records Manager to provide regular new employee briefings, staff training, resource information, updates to records schedules, and management of permanent records.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

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

USTDA is working to transition its business processes from a manual, paper-based process to an electronic distribution and record keeping processes to meet the December 31, 2022 deadline to eliminate all paper records. The agency has passed a Media Neutrality policy to designate electronic versions of records as the official record copies for transfer to NARA and to enable paper versions to be disposed. All new program records are electronic. In 2018, several improvements and updates to internal databases to consolidate program data and to analyze and evaluate programmatic results to enhance both the accessibility of the data and the management of program information were completed... A procurement action was begun for an electronic email management system, and the development of electronic workflows for internal distribution and approvals of documents, document sharing and editing, and time and attendance processing are underway to streamline routine business processes and to further an electronic environment for the agency.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes
 No

Please explain your response:

USTDA is utilizing GSA Schedule 36 to procure an Electronic records management solution for email management. The research and the solicitation process has begun and a contract is expected to be awarded during calendar year 2019.

- 6. Have you, as the SAORM, established or improved your agency procedures that ensure 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.

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response:

In addition to USTDA's annual required training, the Agency has regularized and strengthened the Records Management briefings and trainings for all new employees. All incoming Senior officials and new staff are provided the link to the NARA briefing on recordkeeping responsibilities. The Records Manager also reviews the responsibilities and the disposition of all records with departing employees. USTDA's office of the CIO has begun the procurement process for an electronic system for email management to strengthen the controls for the agency's email records.

- 7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

No

Please explain your response:

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. As a small agency, USTDA does not have the staffing resources to provide for a dedicated records management staff and has allocated one FTE and one Contractor as the Records Management Liaison Officer and the Records Manager to fulfill Records

Management responsibilities as collateral duties. IT investments are planned with an eye to effectively managing and preserving all records and emails electronically.

- 8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes
 No

Please explain your response:

Currently USTDA provides formal Records Management training annually for all staff which covers and meets all the required content areas outlined for annual training. The agency also provides onboarding and exit Records Management briefings and interviews on recordkeeping responsibilities and management of permanent records and emails for all staff, regardless of agency role. USTDA plans to research and to develop role-based records management training incorporating practices and policies of the agency.

- 9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes
 No

Please explain your response:

Although USTDA does not have an evaluation or auditing process specifically related to records management directives, policies, procedures or retention schedules, the SAORM has held regular meetings with the records management staff where records management issues and progress toward meeting the requirements for managing records and emails electronically are discussed. USTDA conducts an annual internal management review to evaluate and audit all agency business processes, including those for Records Management.

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

Yes
 No

Please explain your response:

USTDA is a small agency that relies on NARA and its resources for instructions and guidance as we transition to an electronic records management environment. In 2018, we have received excellent support from our NARA liaison, Sean Curry, who has been very responsive to USTDA's inquiries and requests, especially as related to the requirements for electronic management of its emails and permanent records and the updating of USTDA's Records Schedules. This continued support has been very important for USTDA's efforts to meet OMB and NARA recordkeeping requirements.