



USAID
FROM THE AMERICAN PEOPLE

**Senior Agency Official for Records Management
FY 2015 Annual Report**

January 2016

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

The United States Agency for International Development (USAID)
Angelique M. Crumbly, Assistant Administrator, Bureau for Management

Question 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.*

USAID has begun to inform employees at all levels of upcoming email policy changes to meet the Directive goal to manage all email records in accessible electronic format by December 31, 2016.

USAID plans to adopt and implement the National Archive and Records Administration endorsed (NARA) capstone approach for managing both permanent and temporary emails. To this end, we have identified capstone senior official positions whose emails will be captured permanently. We have assembled a Project Team consisting of relevant stakeholders to address both policy and practical implications.

The USAID Chief Information Officer (CIO) and Agency Records Officer (ARO) met with the NARA CIO and other NARA staff in FY 2015 to discuss our planned approach and steps towards compliance. USAID has since conducted requirements gathering, market research, preliminary budgeting and explored various tools and applications to support managing all email records electronically.

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

USAID will continue to update related policies and practices, leverage and implement tools/applications, and design and deliver training as appropriate to meet the Directive goal.

Question 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.

USAID has taken several 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 including:

- Revising policy to incorporate and implement stated requirements
- Incorporating related discussions in records management meetings, briefings, information sessions, etc. at all levels
- Strengthening training to include specific modules on this topic

Question 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).

USAID'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) are articulated in agency policy and standard operating procedures and address this area specifically. In addition, records management briefings for the agency head, the USAID Administrator, and other executives are conducted. Records management training targeted specifically to these labor categories also lends itself to adequate internal controls.

USAID also employs several other methods by which to inform all employees of their overall records management responsibilities. These include:

- Agency-Wide Notices
- New employment orientation records management overview
- World-wide instructor-led records management training
- Suite of on-line records management training
- USAID Records Management Website
- Records management literature such as brochures, pamphlets, and infographics

Question 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.*

USAID has taken the following steps to meet the Directive Goal 2.5:

- The USAID Agency Records Officer, along with the USAID records staff, has completed the requirements for the NARA certificate of Federal Records Management Training thereby increasing awareness and knowledge of scheduling and dispositioning.
- The USAID records staff has obtained access to and is trained to use the NARA Electronic Records Application (ERA).
- Conducted world-wide records management assessments to identify applicable records.

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

USAD will continue to conduct records management assessments and reviews, provide technical assistance to ensure affected record types are identified and determine effective and efficient scheduling and dispositioning needs and submit records schedules to NARA as appropriate.

Question 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:*

USAID has taken the following steps to meet the Directive Goal 1.1:

- Conducted market research and analysis of comprehensive records management tools and applications to effectively manage the agency's complex records management portfolio
- Engaged with other stakeholders to discuss the task of implementing an electronic records management application to manage a complex enterprise records management environment to identify best practices and lessons learned

- Ensured all electronic information systems which generate and store electronic content are scheduled with the National Archives and Records Administration (NARA).
- Implemented scanning policy and procedures that meet data quality standards and compliance to facilitate the conversion of paper records to electronic format and manage through disposition
- Implemented policy and procedures to allow for the management of electronic record content in agency approved document management systems which provide record-keeping functionality.

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

USAID plans to take the following steps to meet the Directive Goal 1.1:

- Leverage and/or acquire suitable technology to manage our complex and varied agency records management portfolio
- Develop and institutionalize governing policy, including updating and media-neutralizing all schedules, thus enabling all record content to be digitized and managed throughout the lifecycle in electronic format
- Provide training for staff in the management of electronic record content for USAID's business

Question 7. Please provide 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.

USAID recognizes the importance of the *Managing Government Records Directives*, in particular as it relates to the transition to a digital government. In this vein, the agency has forged working relationships with various stakeholders – internal and external - to collaborate and address inherent challenges created by technology and unconventional working environments. The proliferation of electronic records – much of which are digitally born – provides unique opportunities to conduct and document agency business, but also present unprecedented record management challenges. Some of these challenges are in the sheer volume of records and systems themselves, coupled with the varied business usage needs. This is further complicated when a set of records are unstructured.

The importance of obtaining and leveraging advanced technology to address the complexities of a unique records management portfolio of a global Agency has become more urgent. Particularly because the Agency uses various cloud-based applications. USAID thus continues to explore options to identify the most streamlined approaches.

USAID continues to seek innovative solutions to the problems in communication, knowledge sharing and governance that a 21st century records management program faces.

Question 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.*

To ensure records of departing senior officials will be appropriately managed not only during the upcoming change in Presidential administration, but also as an ordinary course of business, USAID updated its related policy that mandates a records management exit review and the completion of a checklist for departing employees. This policy defines more specifically, records management policies and check out procedures for those individuals designated as senior officials, including the requirement to seek approval to remove any non-public records and cites to associated penalties for the violation of the policy.

- 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.*

USAID will adhere to the aforementioned 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 in the future. USAID will also continue to educate and communicate these policy requirements via training, meetings, briefings and other venues.