



USAID
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**Senior Agency Official for Records Management
FY 2016 Annual Report**

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Senior Agency Official for Records Management

March 2017



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:** Angelique M. Crumbly
- **Position title:** Acting Assistant Administrator, Bureau for Management
- **Address:** 1300 Pennsylvania Ave. NW., Washington DC., 20523
- **Office telephone number:** 202 712-1200

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

Agency: United states Agency for International Development (USAID)

Position: Acting Assistant Administrator, Bureau for Management

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

No

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

(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

No

USAID took the following steps to meet the Directive Goal 2.5:

- The USAID Agency Records Officer, along with the USAID records staff, 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 obtained access to and is trained to use the NARA Electronic Records Application (ERA).
- Conducted world-wide records management assessments to help identify eligible records.
- Accordingly, the agency has scheduled all known paper and non-electronic records.

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

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)

Yes

No

If yes, please describe this progress.

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.

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

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)

Yes

No

Please describe your specific plans or actions.

USAID plans to take the following additional 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 additional training for staff in the management of electronic record content.

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

No

If yes, please describe what steps have been taken.

USAID took the following steps to adhere to the directives outlined in OMB Circular A-130 5.h:

- Mandated submission of all official records resulting from USAID program design, implementation, monitoring and evaluation activities to ProgramNet, the Program Cycle activity system of record.
- Mandated public accessibility to all records resulting from the design, implementation, monitoring and evaluation of USAID programs to the Development Experience Clearinghouse (DEC).
- Reinforced the submission and maintenance of open data supporting USAID-funded evaluations as a key element of USAID's Program Cycle Operational Policy.
- Revised USAID's Information Quality Guidelines (ADS 579), to clarify applicability of the Information Quality Guidelines to all records resulting from program cycle activities that are publically available on the DEC and in the Development Data Library (DDL).