



Senior Agency Official for Records Management 2020 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.

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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 rmsselfassessment@nara.gov. Include the words "SAORM 2020 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:** Colleen Allen
- **Position title:** Acting Assistant Administrator, Bureau for Management
- **Address:** 500 D Street, SW, Washington, DC 20547

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

Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

Agency: United States Agency for International Development (USAID)

Position: Assistant Administrator, Bureau for Management

Reporting: This is a comprehensive report that takes into account a reorganization.

Bureau for Conflict Prevention and Stabilization (CPS) brings together four of the nine offices in the former Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA):

- The Office of Policy, Program and Management (PPM),
- Civilian-Military Cooperation (CMC),
- Conflict Management and Mitigation (CMM), and
- Offices of Transition Initiatives (OTI)

Bureau for Resilience and Food Security (RFS) combines the capabilities of the former:

- Bureau for Food Security (BFS),
- Office of Water within the Bureau for Economic Growth, Education, and the Environment (E3/W), and
- E3 Climate Adaptation (E3/AD) team

Bureau for Humanitarian Assistance (BHA) consolidates two of the nine offices in the former DCHA:

- Office of US Foreign Disaster Assistance (OFDA) and
- Food for Peace (FFP)

Bureau for Development, Democracy and Innovation (DDI) merges the former:

- Bureau for Economic Growth, Education and Environment (E3),
- US Global Development Lab (the Lab),
- Office of Democracy, Human Rights, and Governance (DRG),
- Center for Faith and Opportunity Initiatives (CFOI),
- Office of American Schools and Hospitals Abroad (ASHA), and

Bureau for Asia (Asia) reintegrates:

- Office of Afghanistan and Pakistan Affairs (OAPA)

2. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?

- Yes
 No
 Do not know

Please explain your response (include details of specific challenges, if applicable):

USAID published an Agency Notice on April 3, 2020 stating “The COVID-19 outbreak does not change your responsibilities to appropriately manage official-government records.” The notice went on to remind staff of best practices.

Subsequently, several Agency Notices were issued to remind staff of their records management responsibilities (e.g., June 17 and October 27, 2020) during this extended period of telework in response to the COVID-19 pandemic.

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

- Yes
 No
 Do not know

Please provide details on what support is needed:

USAID is working towards the goal of establishing an information governance framework. There is an existing relationship between the mentioned entities. For instance, USAID established the Data Services unit, in the Bureau for Management, Office of the Chief Information Officer (M/CIO), to serve as the one-stop shop for the USAID community’s data needs, helping to find authoritative answers to support work.

Additionally, the Agency established a Data Administration and Technical Advisory (DATA) Board. It serves as a central venue for seeking input from Agency stakeholders regarding data-related priorities and best practices to support Agency objectives. The DATA Board is chaired by the USAID Chief Data Officer and brings together stakeholders, including records management, from across the Agency to address some of USAID’s most pressing data-related challenges including data governance. To that end, Data Services and the DATA Board provides foundational skills to improve the way the Agency communicates, analyzes, manages, and secures data. The Bureau for Management, Office of Management Services, Information and Records Division (M/MS/IRD) sits on the DATA Board.

M/MS/IRD also sits on the Privacy Council. The Privacy Council provides leadership and enhances coordination, communication, and collaboration within USAID to uphold the highest standards governing the Agency’s creation, collection, use, processing, storage, maintenance,

dissemination, disclosure, and disposal of Personally Identifiable Information (PII) to ensure effective, efficient, and consistent privacy risk management and demonstrate the Agency's compliance with privacy laws and policies.

4. 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
- Do not know

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

USAID secured a vendor to digitize, to the fullest extent possible, all hard-copy records. To promote this service to offices, Records Management staff has provided over 20 scanning briefings since deployment of the service in October 2019 and will continue with the briefings once the Agency returns to normal operations.

In the instructor-led training, USAID staff are introduced to the importance of metadata while also receiving guidance on how to safeguard the information. Establishing this foundation better equips Agency staff to maintain historical records. Moreover, it helps USAID avoid inconsistencies that can occur in documenting data.

Coupled with that development, was the deployment of a new online-records management course that addresses challenges inherent in a 21st century records environment and facilitates compliance with statutory, regulatory, and other related directives.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

Along with the addition of the scanning service mentioned in Question 4 is policy to improve the management of awards (e.g., contracts and grants). For instance, all active awards made on or after June 26, 2018, are fully managed in an electronic recordkeeping system. Maintaining these records in this format is a vital component of the Agency's modernization and management of award performance.

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

USAID has allocated funding in the pursuit of procuring an Electronic Records Management Solution (ERMS). The ERMS will enable the Agency to manage the full lifecycle of records management. To also aid in that endeavor, USAID began developing a records inventory system to identify and quantify all records created and maintained.

In addition, the Agency procured digitization services to ensure that all Federal records are created, retained, and managed in electronic formats, with appropriate metadata, and consistent with records management laws and regulations

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

USAID does not have agency-operated records centers. However, the continued use of commercial storage, in conjunction with the procurement of digitization services, allows USAID to transfer all legacy paper records to electronic format as part of the first step to the transition to full-electronic records. Digitization also allows USAID to reduce its footprint by decreasing the amount of space necessary for the storage of paper records.

8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

Please explain your response (include specific details of policies and procedures):

Under my direction, USAID continues to implement various steps to ensure employees at the senior-official level are knowledgeable of their specific duties and responsibilities to capture, preserve, manage, protect, and provide accessibility to record content where applicable. This mitigates the potential that exiting senior officials will improperly remove, alter, or delete Agency records. This includes:

- Establishing policy and guidance specific to senior officials;
- Providing briefings for both incoming and outgoing senior officials;
- Developing mandatory records management training for all staff regardless of hiring mechanism; and
- Disseminating various literature (*e.g.*, pamphlets, brochures, and newsletter articles) to remind senior officials of records management responsibilities.

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

- Yes
 No
 Do not know

Please explain your response (include details of specific challenges, if applicable):

USAID administers civilian-foreign aid and development assistance. As such, the Agency partners with countries that have different statutes, regulations, and policies that do not recognize digital signatures. Collaborating in this capacity leads to the use of paper to document agreements that otherwise would go unrecognized.

By the same token, the White House and Congress require wet signatures for rulemaking. Further suggesting the need to maintain paper documents to preserve historically valuable records.

Lastly, several Agency staff have email accounts with other Federal agencies. Dictating which Agency has authority and following varying policies is challenging.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):