



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: David Matthew Cox
- Position title: Director Management Operations
- Address: 1101 Wilson Blvd, 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 provide a list, and 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. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?

Yes **X**

No

Do not know

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

No Policies have been created for the agency at this time, however, during annual records management training staff were briefed on the correct destruction of records and a best practice was identified. During our maximum telework period, staff may have printed reference copies at their telework location and may also have shredding capability. The best practice is to destroy those reference copies in the office with a government approved shredder, to ensure the records are destroyed properly.

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 **X**

No

Do not know

Please provide details on what support is needed:

USTDA holds regular meetings on data governance and records management and Enterprise Risk Management. Records Management is central to the Agency's administrative support

function and information is shared across all lines of business. In fact, the SAORM also serves as the CDO and is the supervisor of the CIO and Records Officer.

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 **X**

No

Do not know

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

In 2020 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.

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 **X**

No

Do not know

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. This contract was awarded in January 2020 and implementation began in February 2020. This SharePoint system has now been deployed across more than half the agency and is scheduled to be completed by the end of FY21. The SharePoint system is FedRAMP certified and approved for cloud storage of federal records. Additionally, in 2020 USTDA initiated additional procurement activities specifically in support of electronic email record management.

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

Yes **X**

No

Do not know

USTDA has already invested resources and budget in its support of a new SharePoint cloud platform to host electronic records. The agency also invested resources in setting up MS Compliance Center to allow for the electronic disposition of records. The Compliance Center is due to be launched in FY21.

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 **X**

No

Do not know

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.

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 **X**

No

Do not know

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

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 2020, the records management training was recorded and staff who were not able to attend 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 and implementation began in February 2020. This SharePoint system has now been deployed across more than half the agency and is scheduled to be completed by the end of FY21. The SharePoint system is FedRAMP certified and approved for cloud storage of federal records.

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 continue to work on this activity.

Additionally, in 2020 USTDA initiated additional procurement activities specifically in support of electronic email record management.

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):

With the implementation of SharePoint, USTDA is well on its way to implementation of a fully electronic recordkeeping system with more than half the agency earmarked for data migration in the next 6 months. We also addressed a big milestone in June of 2020, updating our 1996 USTDA specific Records Schedule and submitting it to NARA senior analysts for a preliminary review before preparing to submit it to ERA. With NARA's continued support and customized guidance, USTDA will meet its goal.

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):

USTDA greatly appreciates the support and engagement of the NARA team and welcomes technical assist visits and training to keep us on-track with our record management activities.