INTER-AMERICAN FOUNDATION
EMPOWERED COMMUNITIES, SUSTAINABLE RESULTS

MEMORANDUM

DATE: April 5, 2021

TO: The National Archives and Records Administration

FROM: Lesley Duncan
                 Chief Operating Officer
                 Inter-American Foundation

SUBJECT: Senior Agency Official for Records Management FY 2020
                 Annual Report

Attached please find the Inter-American Foundation's 2020 Records Management Annual Report, which complies with the *Managing Government Records Directive (M-12-18)* requirement that Senior Agency Officials for Records Management (SAORMs) provide an annual report to NARA.

The Inter-American Foundation (IAF) is an independent agency of the United States government whose mission is to promote grassroots development throughout Latin America and the Caribbean. To achieve this, the IAF responds to innovative ideas presented by the organized poor from Latin and South America aimed at improving their livelihoods. The IAF is one of the smallest federal government agencies, with 47 employees, all located in Washington DC. The agency outsources many services, including budget, accounting, procurement, payroll, and other human resource services. While we are cognizant of the importance of records management, there is no staff person solely designated to those efforts.

Please feel free to contact Kara Rogers, Senior Management Analyst, at krogers@iaf.gov or 202-683-7182 if you have any questions.

Provide the following information (required):

- Name of SAORM: Lesley Duncan
- Position title: Chief Operating Officer
- Address: 1331 Pennsylvania Ave NW, Suite 1200 North, Washington DC 20004

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

   Inter-American Foundation (IAF) – no subsidiary bureaus or components.

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

   ☐ Yes
   ☒ No
   ☐ Do not know

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

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

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

   ☒ Yes
   ☐ No

☐ Do not know

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

☒ Yes
☐ No
☐ Do not know

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

IAF temporary records are stored electronically.

8. **Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* 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

The IAF has drafted an Information Resource Management Strategic Plan for 2020-2023. The Strategic Plan outlines the current IT environment, provides an overview of key issues, and a recommendation to address these key issues. The IAF has annual mandatory Records Management Training for All-Staff. The Office of Operations provides service to program offices: to respond to FOIA requests; manage records; and establish up-to-date relevant training,

guidelines, and directives. As of March 2014, and implementation of Google email and Google Vault, email records, chats, and files are maintained as per NARA guidelines.

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

☐ Yes
☒ No
☐ Do not know

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

☐ Yes
☒ No
☐ Do not know