



Senior Agency Official for Records Management 2019 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 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 2019 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: **Jerald Golley**
- Position title: **Director, Office of Information Technology and Chief Information Officer**
- Address: **1501 Farm Credit Drive, McLean, VA 22102**

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Please provide list: **Farm Credit Administration**

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
 No

Please explain your response:

The Farm Credit Administration has made significant progress in managing all permanent electronic records in electronic format. Recently, we successfully implemented the Capstone methodology to manage email records, including appropriate policies, procedures, and training for staff.

With the designation of a new Senior Agency Official for Records Management and the transition of records management responsibilities to the Office of Information Technology, we will be conducting a review upon the hiring of a new Records Officer to replace our former RO, Ted Dukes, who departed in early 2020. When that review is completed, we will be able to determine what, if any, permanent electronic records are not properly managed, and implement any required policies and systems to rectify.

3. **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

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

FCA has taken steps to ensure the management of all permanent records will be in an electronic format. The Office of Information Technology is working on efforts to standardize metadata and has begun looking at appropriate records management software solutions to support the storage and retrieval of permanent records.

The plans will be further developed this calendar year as we bring on board a new Records Officer with responsibility for addressing this requirement, including a comprehensive review of policy, procedure, and training functions.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

Yes

No

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

In the past year, FCA has made progress towards managing all temporary records in an electronic format. We have implemented systems that have moved records previously routed and approved in hard copy to an electronic system that captures electronic signatures and appropriate metadata. Additionally, the transition of the records management program to the Office of Information Technology includes a full review of existing temporary records and planning to ensure all are captured electronically and with appropriate metadata. The plans are expected to be completed in calendar year 2020, once we've brought a new Records Officer on board.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

Yes

No

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

FCA has recently transitioned its Records Management Program to the Office of Information Technology, and has developed a plan to recruit a new Records Officer to replace the previous Records Officer that departed in early 2020. In addition to this plan, the Office of Information technology has developed a plan to comprehensively review its Records program, including reviews of existing schedules, policy and training, to take place in 2020.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

Yes

No

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

Not applicable. FCA does not have agency-operated records centers.

7. Does your agency have procedures that include documentation to ensure records of 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

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

As with all incoming FCA employees, senior officials receive a briefing on their records management responsibilities as part of our New Employee Orientation—either from the SAORM or the agency records officer. In addition, when a senior official departs the agency, they are reminded of the importance of their files and records being captured/maintained in order to document the decisions and actions taken during their tenure at FCA. FCA has implemented the Capstone approach to managing permanent email records.

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

Yes

No

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

FCA's current challenges are short term due to the departure of our previous Records Management Office and the transition of records management responsibilities to the Office of Information Technology. FCA has established plans to recruit a new Records Officer and then conduct a full evaluation of the records management program, identifying any gaps and establishing plans to address those gaps. We expect these steps to be completed by the end of CY 2020.

9. Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?

Yes

No

Please provide details on what support is needed:

FCA does not currently need direct support from NARA to transition to complete electronic recordkeeping. However, please continue to share best practices in electronic records management and examples of successful agency implementations of electronic recordkeeping systems.