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 rmselfassessment@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: Jerry Golley
- Position title: 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?**

   This report covers the responses of the Farm Credit Administration.

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

   ☐ Yes

   X No

   ☐ Do not know

   The FCA records program is fully electronic and staff have been able to utilize existing IT systems to access records needed while teleworking.

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)**

   X Yes

   ☐ No

   ☐ Do not know

   FCA has a Data Working Group (DWG) which includes the Agency Records Officer, Senior Agency Official, Chief Data Officer, and the Chief Information 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)**

   X Yes

   ☐ No

   ☐ Do not know

FCA has transitioned to fully digital records management. It is currently working on enhancing policy and process to ensure programs have adequately incorporated records management requirements on metadata and transfer.

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)**

   X Yes

   ☐ No

   ☐ Do not know

   FCA has transitioned to fully digital records management. It is currently working on enhancing policy and process to ensure programs have adequately incorporated records management requirements on metadata, content type, and automated destruction.

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

   X Yes

   ☐ No

   ☐ Do not know

   FCA is investing time and money into developing or re-developing existing IT systems to meet records management requirements.

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

   Because FCA is operating in a fully digital environment, it has no need to store paper records in commercial facilities.

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.

X Yes

☐ No

☐ Do not know

FCA has a policy (PPM 903) which identifies email management requirements for all staff, including senior officials. The exit/offboarding process includes review of the materials by the Agency Records Officer (ARO) and completion of a form (FCA Form 423) which confirms no records are being removed without approval.

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

☐ Yes

X No

☐ Do not know

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.

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

X Yes

☐ No

☐ Do not know

Continue to issue guidance through email communication. If NARA holds SAO meetings, please consider hosting them online via YouTube or some other method.