NATIONAL ARCHIVES

OFFICE *of the*
CHIEF RECORDS
OFFICER

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 rmselfassessment@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: Craig Sherman
- Position title: Deputy Chief Information Officer
- Address: Federal Housing Finance Agency

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: Federal Housing Finance Agency (FHFA)

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:

   FHFA was established in 2008, so all FHFA permanent records have been "born electronic" and continue to be managed in electronic formats. Permanent email records are retained and stored in FHFA's email management solution, Evault.

   Permanent electronic records are managed in FHFA's information management system and electronic records repository, which uses FHFA's electronic records management solution, eRIM, to manage the records. eRIM automates end-user responsibilities to identify records, assign records schedules, securely store declared records for their retention periods, and capture records within the Agency's document clearance process that distributes documents for executive review and approval. FHFA also manages some permanent electronic records throughout their lifecycle on shared drives, data repositories, and other types of storage (*e.g.,* hard drives).

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):

Metadata is captured for all electronic documents and records that are managed in FHFA's information management system and electronic records repository. The fully integrated eRIM module uses appropriate metadata attributes to support automated management of trustworthy records over time in accordance with applicable requirements for the retention period of the records and eventual disposition or transfer. RIM participates in the Systems Design and Lifecycle Development process to provide input as new systems are being designed and ensure records in the new systems are appropriately scheduled.

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

☒ Yes
☐ No

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

Many temporary electronic records are currently managed in FHFA's information management system and electronic records repository in which eRIM, the electronic records management tool, is integrated. eRIM automates and streamlines end-user responsibilities to identify records, assign records schedules, and securely store declared records for their retention period. FHFA also manages some temporary electronic records throughout their lifecycle on shared drives, in data repositories, and other types of storage (*e.g.,* hard drives) where electronic records management is implemented manually.

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):

FHFA's SAORM has ensured that FHFA's records and information management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures. The RIM Strategy is included in OTIM's Draft IT Strategic Plan and there is a high-level Agency

awareness of RIM responsibilities and requirements. These are periodically refreshed through newsletter articles, RIM guidance, and mandatory continual awareness program activities and RIM training for new employees and contractor personnel.

FHFA's SAORM is directly involved as an advocate for RIM resources, integrating RIM, promoting effective records and information management across Offices, and in the deployment of IT systems. The following objectives are included in FHFA RIM's 2020 Operating Plan: (1) Document digitization criteria; (2) Working with FHFA Offices, identify permanent paper records that are appropriate for scanning; and (3) Continue review of FHFA file rooms to identify physical records collections and ensure that paper records that have yet to meet their retentions are either digitized if appropriate or transferred to Federal Records Centers prior to 2022.

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)**

   N/A

   ☐ Yes
   ☐ No

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

   FHFA does not operate records centers. However, all paper files or boxes must be removed from all FHFA file rooms before 2022.

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):

   Records and Information Management staff meets with each outgoing senior and appointed official prior to their leaving FHFA to assist with RIM responsibilities, as

needed, and to ensure that electronic records will be available to authorized Agency personnel upon their departure. Exit briefings for departing senior officials include discussions on the appropriate retention and disposition of records, including email, under their immediate control and completion of an automated exit clearance form certifying that records management responsibilities were met. The Agency Records Officer is involved in briefings or other exit clearance processes for departing senior officials, which may include other designated official(s) reviewing and approving requests to remove senior official personal papers and the Information Removal Waiver Request Form, which documents requests to remove copies of 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):

FHFA expects to face challenges over the next couple of years as the Agency moves away from paper and transitions to fully electronic recordkeeping by December 31, 2022. The multi-step process requires serving business needs, continuing electronic records training, and scanning or moving paper records.

Advantages that support the transition to electronic recordkeeping include FHFA's executive level support and buy-in for managing FHFA records electronically, RIM's placement in the Office of Technology and Information Management, and FHFA's ability to leverage existing custom technology to provide document management and records management functionality for the Agency.

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: