



Senior Agency Official for Records Management 2021 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. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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, 2021, 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 2021 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: Kevin Smith
- Position title: Chief Information Officer (CIO)
- Address: Federal Housing Finance Agency
400 7th Street, SW, Washington, D.C. 20219

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.

Federal Housing Finance Agency (FHFA)

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

- Yes
- No
- Do not know

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

Mandatory teleworking during the pandemic assisted in the implementation and use of Digital Signatures and highlighted the need for and development of other electronic processes that will assist/have assisted in FHFA's records and information management (RIM).

3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

- Yes
- No
- Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

FHFA is working towards establishing a comprehensive information governance framework that connects records management, data management, and other agency information lines of business. Chief Data Officer and Chief Information Officer are currently working on a combined Strategic

Plan. RIM, Privacy, Security, and FOIA have developed a combined incident and breach management Plan as well as contribute to *Records Management Self-Assessment* responses.

4. Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

- Yes
 No
 Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

FHFA's permanent email records are all 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 includes FHFA's electronic records management solution, eRIM. FHFA also manages some permanent electronic records throughout their lifecycle on shared drives, data repositories (systems), and other types of storage (e.g., hard drives).

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 also participates in the Systems Design and Lifecycle (SDLC) development process to provide input into design and scheduling of new systems.

5. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

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.

6. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

FHFA will meet the deadline to approve for transfer all permanent and temporary paper records to FRC by 12/31/2022.

7. Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
- No
- Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

N/A

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

- Yes
- No
- Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

FHFA does not operate records centers. All boxes of FHFA paper records will be submitted for approval to transfer to NARA by December 31, 2022 in order to comply with M-19-21. FHFA will electronically manage records only in electronic formats after December 2022.

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):

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. In addition to managing issues related to mandatory telework due to the pandemic, the multi-step process requires serving business needs, continuing electronic records training, and scanning or preparing paper records for transfer to Federal Records Centers.

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. Mandatory telework has helped FHFA to solidify that approach and to implement digital signatures.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

- Yes
- No
- Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):