



*Senior Agency Official for Records Management
2017 Annual Report*

The [OMB/NARA Managing Government Records Directive \(M-12-18\)](#) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive* transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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 progress through December 31, 2017.
- 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 PRMD@nara.gov. Include the words "SAORM 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: **A. Jerome Fowlkes**
- Position title: **Director, Office of Agency Services**
- Address: **1501 Farm Credit Drive, McLean VA 22102**
- Office telephone number: **(703) 883-4069**

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

Farm Credit Administration

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

Yes

No

Please explain your response:

Over the past two years, we have begun the initial steps in identifying and selecting an enterprise-wide records management application. For example, we will conduct an analysis and inventory of our paper-based filing system; we will conduct an inventory of our electronic documents on shared drives and in SharePoint; we will continue to work towards the implementation of an email management solution; we will conduct a work-flow analysis of paper and electronic documents throughout our agency; and, we will begin developing a requirements document for an electronic records management system. In addition, the FCA records officer continues to attend vendor webinars and records management conference sessions to view product demonstrations of potential applications/solutions.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes

No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

Due to budget constraints, FCA has not begun this initiative.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

Yes

No

Please explain your response:

Although FCA has not been affected by recent organizational changes, when such events occurred in the past, the SAORM and FCA records officer have been proactive in providing records management guidance and promoting record-keeping awareness throughout the agency.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>)

Yes

No

Please explain your response:

As the SAORM, and in my capacity as Chief Human Capital Officer and Director of the Office of Agency Services, I have worked closely with the FCA records officer to ensure that the agency's records management program has the necessary support and resources, including technology, human capital, and funding. In addition, I work with the FCA records officer and senior agency officials to ensure that FCA complies with Federal records management statutes and regulations and that government-wide RM directives are integrated into agency policies, procedures, and guidelines.

6. **Have you, as the SAORM, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.**

*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:

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.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

Yes

No

Please explain your response:

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

Continued sharing of best practices in electronic records management and examples of successful agency implementations of electronic recordkeeping systems.