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: Kevin Smith
- Position title: Chief Information Officer, CIO
- Address: 400 7the Street SW, Washington, DC 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 changed any 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):

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)**

   ☐ Yes
   ☒ No
   ☐ Do not know

   Please provide details on what support is needed:

   FHFA is working towards establishing an information governance framework that connects records management, data management, and other agency information lines of business.

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)**

   ☒ Yes
   ☐ No
   ☐ Do not know

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

FHFA's 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 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. **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)**

   ☒ Yes
   ☐ No
   ☐ Do not know

   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.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

   Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

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.

FHFA's SAORM ensures 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. There is a high-level Agency awareness of RIM responsibilities and requirements. RIM participates in the SDLC development process to provide input as new systems are being designed and to ensure records in the new systems are appropriately scheduled. In addition to encouraging use of collaboration tools that interface with the electronic records repository (eRIM), FHFA is considering plans to fund a small digitization project.

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
   ☒ No
   ☐ Do not know

   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 FHFA by 12/31/2022 in order to comply with M-19-21. Specific permanent collections have been identified for digitization.

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.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

Senior Officials are required to attend both Onboarding and Offboarding briefings with RIM to discuss records and RIM responsibilities. Signed certifications are required to document Offboarding briefings.

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

☐ Yes
☒ No
☐ Do not know

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

None at this time. However, FHFA asks that NARA consider extending the M-19-21 deadline for transferring paper records to Federal Records Centers given the delays caused by the pandemic and mandatory telework.