



## *Senior Agency Official for Records Management 2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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](mailto:rmselfassessment@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 SAO: Vonda Bell**
- **Position title: Director, Office of Agency Services, and Chief Human Capital 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? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

*Please provide list:* **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 year, we have taken initial steps towards managing all permanent electronic records in an electronic format. The FCA's records management program has begun reviewing policies and training functions to identify areas where information/guidance on managing permanent electronic records can be updated or added. FCA currently has a comprehensive, big-bucket records disposition schedule that was approved in 2011, and we have successfully completed transfers of permanent electronic records to NARA in acceptable formats with the appropriate metadata. The FCA records management program will continue to work with stakeholders to identify unscheduled records and to prioritize those proposed for permanent retention. We will also continue to consult with our Office of Information Technology to raise awareness and to discuss requirements on the maintenance of permanent electronic records and their eventual transfer to NARA. In addition, the FCA records officer continues to attend webinars and records management conference sessions to view product demonstrations of potential, enterprise-wide, records management solutions.**

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes**  
 **No**

*Please explain your response:*

FCA has not developed or implemented a formal plan; however, we are aware of the criteria used to measure success and are working towards meeting those requirements. Our efforts will focus on creating and implementing effective policies; establishing control over dedicated records management systems, agency shared drives and SharePoint repositories; providing access to permanent electronic records and ensuring that they remain usable and retrievable; and, following the mandatory disposition instructions in the FCA Comprehensive Records Schedule or the NARA General Records Schedule.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

*The Reform Plan states:*

*Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

- Yes  
 No

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

FCA has established goals and initiatives to promote and facilitate our recordkeeping to a fully electronic environment by December 31, 2022. The FCA records officer has taken opportunities during briefings and meetings to raise awareness of this deadline and has encouraged staff to inventory and expedite the removal of paper files for transfer to the FRC/NARA. In addition, for the past year, the records management program has been assisting our office of Congressional and Public Affairs with reviewing and selecting permanent series of legacy paper files for transfer to NARA. Our goal is to identify and transfer 100% of permanent paper records series to the Suitland FRC or to make direct offers to NARA of any eligible series.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes  
 No

*Please explain your response:*

Since the FCA has not reached the level of actually selecting and purchasing an electronic records management solution, our procurement program has not used GSA

**Schedule 36; however, when the need arises, GSA Schedule 36 will be consulted in an attempt to ensure that the solutions being considered solve the complex challenges posed by electronic records and that the selected vendor or software ensures proper access, maintenance, control, storage, disposition, and transfer of electronic records.**

- 6. Have you, as the SAORM, established or improved your agency procedures that ensure 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  
 Changes were unnecessary (click [here](#) for your agency's 2017 report)  
 No, changes are being considered but have not been made  
 No

*Please explain your response:*

**Please see our agency's 2017 report, as noted above.**

- 7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes  
 No

*Please explain your response:*

**As the FCA's Senior Agency Official for Records Management and in my capacity as Chief Human Capital Officer, it is my responsibility to work closely with the FCA records officer to ensure that the agency's records management program has the necessary resources, including technology, human capital, and funding. In providing strategic direction for the FCA's records management program, I work to ensure that the agency complies with all applicable records management statutes, regulations, and NARA/OMB policies. In addition, I serve as an advocate for the records management program in its collaboration with other program areas such as the Office of Information Technology.**

- 8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff**

including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes  
 No

In addition to new employee orientation records management training presented to new hires, in 2018, the FCA conducted records management and Capstone email management training for all agency personnel in our McLean headquarters office and in our four field offices (Bloomington, MN; Dallas, TX; Denver, CO; and Sacramento, CA). This training included the minimum required content areas listed in NARA Bulletin 2017-01 and was specific to the practices and policies of the organization. Plans are under way to finalize refresher training modules that will be offered on an annual basis.

9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes  
 No

*Please explain your response:*

FCA does not have an official records management evaluation or auditing system in place; however, our program's directives, policies, procedures and retention schedules are thoroughly vetted by the SAORM, records officer, Office of General Counsel, and Office of Information Technology before implementation. In addition, the FCA records officer reviews policies and procedures on an annual basis to look for gaps or outdated information.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes  
 No

*Please explain your response:*

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.