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   Craig M. Sherman
- Position title   Deputy Chief Information Officer, Office of Technology and Information Management (OTIM)
- Address   400 7th Street, SW, Washington, DC 20219
- Office telephone number   202-649-3601

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

   Federal Housing Finance Agency (FHFA)

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
   ☐ N o

   Please explain your response:

   FHFA's electronic records management solution, eRIM was developed by the Agency and securely stores records for the length of their retention period. Fully integrated into the Agency's document clearance process, eRIM streamlines end-user responsibility by identifying records in the automated clearance process. In addition to the automated clearance process, users are easily able to indicate that a document is a record.

   eRIM is being implemented in FHFA offices during 2018 using a phased approach. In addition, Agency-wide eRIM training has been developed and will be deployed in conjunction with each office implementation.

   All permanent email records are captured and managed in FHFA's email solution, Evault. Deployment of Evault and eRIM satisfies the recordkeeping requirement of the *Managing Government Records Directive*, M-12-18, mandating all federal records with permanent value must be maintained electronically.

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.*

FHFA's management of electronic records in eRIM will be day-forward from deployment.

FHFA has evaluated several historical collections to assess whether digitization is merited. As of 2017, one large collection was converted to electronic format due to active reference needs.

FHFA is actively working on implementing secure storage for long-term records that are accessed infrequently.

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:

FHFA's response to M-17-22 will not affect the Agency's recordkeeping requirements or other records management needs.

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

The RIM Strategy will be included in OTIM's IT Strategic Plan, and there is a high-level Agency awareness of RIM responsibilities and requirements. FHFA's SAORM is directly involved as an advocate for RIM resources, integrating RIM and promoting

effective records and information management across FHFA, and in the deployment of IT systems.

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:

FHFA RIM briefs each incoming senior official both during the on-boarding process and individually to discuss specific Office records and responsibilities within 6 months of their arrival.

RIM meets with each outgoing senior official prior to their leaving FHFA to assist with RIM responsibilities, as needed, and obtain certification that records will be available to authorized Agency personnel upon their departure.

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:

FHFA's Records and Information Management (RIM) Section is organizationally located in the Office of Technology and Information Management (OTIM), and incorporated into the *IT Strategic Plan*. RIM is involved in developing the Agency-wide information management strategy.

By serving on interdepartmental project teams, RIM ensures records management is incorporated into new processes and policies. RIM works closely with other OTIM groups in system development and deployment, so records management is built into new Agency systems and their retirement.

RIM also partners with the Office of General Counsel and the Office of Congressional Affairs and Communications to review FOIAs and prepare Congressional responses.

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)

Best practices for agency review and approval of dispositions (of eligible email) within email systems.