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. 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 Sherman
- Position title – Deputy Chief Information Officer
- Address   – Federal Housing Finance Agency

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: 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
   ☐ No

   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 deployed through FHFA and will be fully implemented in 2019. In addition, Agency-wide eRIM training has been developed and 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 permanent electronic records be managed in an electronic format.

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: FHFA offers both live and virtual training for FHFA employees and contractor personnel on how to manage electronic records. The FHFA Records and Information Management (RIM) Section is a stakeholder in the information technology system development process, whose approval is required for system development. In addition, records management has been built into clearance workflow for routing documents for executive review and approval. The Agency records repository has security restrictions that limit the access to and dissemination of electronic records. All FHFA records are covered by existing records schedules.

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): In 2018, the RIM Section coordinated with Agency offices to identify paper collections that are eligible for immediate transfer or good candidates for digitization, based on reference need and cost benefits. In addition, FHFA is deploying eRIM which manages electronic records, including permanent electronic records throughout their lifecycle, and has deployed Evault, the Agency's email management solution.

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: FHFA developed an electronic records management system and transitioned to an electronic environment prior to the issuance of General Service Administration's Schedule 36.

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: In preparation for the Office of Director's transition, RIM met with all exiting senior executives and provided one-on-one support to each individual. The RIM Section updated training and guidance for the Office of the Director's transition.

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. **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: The RIM Strategy is 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 Offices, and in the deployment of IT systems.

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

    Please explain your response: All FHFA employees are required to complete mandatory annual RIM training that covers their recordkeeping responsibilities. All onboarding employees and contractor personnel are required to attend records management orientation, including onboarding senior executives and political appointees.

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: FHFA conducted an evaluation of Agency records management by reviewing Office file plans and their implementation to compare each office file plan to procedures and practices, and assessed the efficiency by which records can be retrieved.

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

    ☒ Yes
    ☐ No

    Please explain your response: Share best practices on how agencies are building disposition review and approval within email systems (eligible email and calendar items).