NATIONAL ARCHIVES

OFFICE *of the*
CHIEF RECORDS
OFFICER

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*, including implementing proper email management and 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 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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" 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: Malcom Shorter

- Position title: Acting Assistant Secretary for Administration

- Address: 1400 Independence Avenue, SW, Washington, DC 20250

- Office telephone number: (202) 720-3291

- Email: ████████████████████

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

   - Agricultural Marketing Service (AMS)
   - Agricultural Research Service (ARS)
   - Economic Research Service (ERS)
   - Farm Service Agency (FSA)
   - Food and Nutrition Service (FNS)
   - Food Safety and Inspection Service (FSIS)
   - Foreign Agricultural Service (FAS)
   - Forest Service (FS)
   - Grain Inspection, Packers and Stockyards Administration (GIPSA)
   - National Agricultural Statistics Service (NASS)
   - Risk Management Agency (RMA)
   - Rural Development (RD)
   - Departmental Program and Staff Offices
   - Office of the Secretary of Agriculture

2. **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

   X Yes
   ☐ No

   If No, please list and explain which part of your agency or components did not meet the deadline?

   (Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*

3.   **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

        ☐ Yes

        X No

If No, please list which part of your agency or components did not and why?

All USDA agencies have meet with requirement with the exception of AMS and RD.

- AMS is currently working with NARA on scheduling records associated with the Science and Technology, Plant Variety Protection Program.

- RD submitted records retention schedules for Rural Development Multi-Family Housing and the Rural Utilities Water Program via NARA's Electronic Records Archives and waiting NARA approval.

4.   **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

        X Yes

        ☐ No

If yes, please describe this progress.

USDA records management directive has been revised to emphasize that records management requirements must be considered during the business process design, enterprise architecture, and system development processes. Records management has been integrated into the information technology (IT) governance process to ensure that the capture, retrieval, and retention of permanent records are incorporated into the design and development of electronic information systems.

USDA is in the process of identifying a possible enterprise-wide solution to manage permanent electronic records by December 31, 2019. USDA will continue working with stakeholders to develop functional requirements for a cost-effective enterprise solution and provide recommendations on associated pilot programs.

- AMS, NASS and RMA have deployed an electronic records management system, SharePoint to capture and manage their permanent electronic records. SharePoint ensures records are preserved until the end of their retention period. The system uses native file formats for our Microsoft Office documents, and .pdf with OCR for scanned documents.

- ARS and ERS –Policy and procedures are being reviewed for implementation during the design phase of new systems and updates/migrations of current systems.

- FNS's permanent records already reside in scheduled electronic information systems. As of FY 2015, FNCS has established electronic signature capabilities. FNS plans to continue looking into and piloting electronic document management and electronic records management application systems until a working system is fully implemented agency-wide. Electronic recordkeeping guidance has been incorporated into all training tools/resources. The training incorporates guidance regarding setting up a program offices shared drive based on their electronic file plan.

- FS has acquired an electronic records management system and is in the process of implementing the system.

- FSIS has incorporated records management in their 2017 – 2021 Strategic Plan. FSIS will employ an enterprise approach to manage all of their agency's electronic records as the agency transitions to electronic records management as its primary method of records preservation. This approach will involve IT staff, senior management, records management and all staff who create, receive, or handle electronic records to ensure compliance regarding information creation, maintenance (i.e., use, storage, and retrieval), and disposal, regardless of media."

If No, please list which part of your agency or components did not and why?

5. **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)**

        X Yes
        ☐ No

Please describe your specific plans or actions.

USDA has an enterprise-wide solution, Enterprise Content Management, to digitize the Secretary of Agriculture's incoming correspondence. This content management solution enables USDA to capture, store, manage and track correspondence from initial receipt completion and archival storage.

- FNCS has developed a process and created guidance for document conversion projects (hardcopy records to electronic format), which includes an Information Management Office (IMO) and Office of Information Technology (OIT) requirements checklist (a collaborative effort between both parties, IMO and OIT). The purpose is to provide program areas with guidance and create a standard

approach and process for document conversion initiatives. Answering the questions in the document will be the basis for a requirements document required to contract out a scanning operation. It will also ensure sensitive information is safeguarded, valuable data/documentation is captured, FNS Agency retention requirements are followed, and technology resources are used with efficiency.

- FS conducted an inventory of hardcopy records in 2013. FS is in the process of refining their records schedule as part of forthcoming electronic records management system. As part of the implementation strategy, FS has considered the scope of digitization of existing hardcopy records and will include guidance in Agency direction.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

     X Yes
     ☐ No

If Yes, please describe what steps have been taken.

USDA has designed and confirmed a senior agency official for records management each fiscal year in accordance with NARA rules and regulations. The Office of the Secretary ensures all records are managed throughout their lifecycle and works with NARA to ensure all records schedules adhere to NARA guidelines and obtain the approval of the Archivist of the United States. Records manager and liaisons ensure records guidelines are instituted throughout the Department by providing guidance to all employees and contractors. USDA's Office of the Secretary is working diligent toward towards the 2019 deadline.

USDA's Records Management Program continues to lead the department-wide effort to comply with the detailed requirements of the National Archives and Records Administration' and the requirements of the Office of Management's Circular A-130.

USDA has a mature records management program to comply with the Presidential Directive on Managing Government Records. Records management is included in the Office of the Chief Information Officer's strategy plan, the desired results to enable the Department's transition to 100% permanent electronic records by 2019.

USDA has incorporated electronic records management requirements into the IG process, for capital planning, enterprise architecture, business process design and the system development lifecycle for internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems. The IG process requires agency records officers' involvement in the planning and development stages of new information technology systems. Through this

governance structure, the USDA will continue its progress in improving the management of electronic records.

USDA has revised its policy to emphasize that records management requirements must be considered during the business process design, enterprise architecture, and system development processes. The revised policy also incorporated new requirements from the 2014 amendments to the Federal Records Act.

- FNCS has incorporated electronic recordkeeping guidance into all training their tools/resources. The training incorporates the guidance in setting up a program offices shared drive based on their electronic file plan. FNCS is making progress but has recently encountered a major setback in one of the Records Management main priorities regarding the management of agency records electronically. A successful RMA Pilot project was conducted beginning October 2015 and completed July 2016. Although a successful pilot, the pilot was limited to the Information Management Office comprised of Records Management, FOIA, Privacy, Directives, and Forms. A pilot extension with intent to expand into other key FNCS program area offices was requested, but funding for continuation was denied. FNCS plans to continue looking into other strategic methods and possibly in house resources for electronic document management due to the funding constraints until a working "system" is fully implemented agency-wide.

- FS has taken steps to include records management as a key component of the Information Resources Management Strategy. The Forest Service is exploring the best way to integrate these requirements into the Agency's information resources management strategy with the new Forest Service CIO leadership.