



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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: Stephen G. Smith

Position title: Director, Office of Management Services and Chief Financial Officer

Address: 1501 Farm Credit Drive, McLean, VA 22102

Office telephone number: (703) 883-4275

1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

Farm Credit Administration (FCA)—agency-wide

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

☒ Yes ☐ No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal.*

- Revised existing records management email policy to include recent changes mandated by the revisions to the Federal Records Act at 44 U.S.C. § 2911.
- Began studying and gathering information on the Capstone approach for capturing and managing email.
- Began briefing program officials on Capstone and discussing the compatibility of Capstone with program officials, including the agency's CIO.
- Reviewed the new capstone General Records Schedule.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- Develop a requirements document.
- Identify which agency staff members should be designated as having Capstone email accounts.
- Decide how many non-Capstone/temporary email categories will be established and the retention periods for each category.

- Begin analyzing software for managing email records in Office 365 and SharePoint.
- Purchase software product.
- Work with IT staff to begin pilot for “journaling” email.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

☒ Yes ☐ No

- Revised current FCA records management email directive to include new guidance issued by the Federal Records Act amendments.
- Began training staff members through occasional briefings and the publication of an article in the FCA newsletter.
- Provided records management input for the “using social media” directive developed by the FCA Office of General Counsel.

4. Describe your agency’s internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

- Upon receipt of the revisions to the Federal Records Act, SAO met with Kenneth Spearman, FCA Board Chairman, to give him a briefing on his and other board members’ responsibilities concerning email records and records management.
- Informed staff of new amendments to the Federal Records Act by publication of an article in the FCA newsletter.
- Briefed incoming new hires, including upper-level staff, on the changes to the Federal Records Act during an orientation session held at FCA headquarters in June 2015.
- Met with FCA Chief Information Officer and provided him with details of the new Federal Records Act requirements.
- Met with departing board members’ administrative assistants to review email accounts in order to ensure the capture of any email identified as a Federal record.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

☒ Yes ☐ No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

- Began visiting FCA program offices to conduct file inventories and search for possible unscheduled records series.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

- Will continue to monitor for the creation of additional records series that might require the drafting of new records disposition schedules.
- Will issue memorandum to program managers asking for their assistance in identifying unscheduled records.
- Will continue to search for unscheduled paper records series during file inventories and the development of file plans in fiscal year 2016.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

☒ Yes ☐ No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

- Implemented SharePoint.
- Budgeted for the purchase of an electronic records management application.
- Met with IT staff to discuss metadata requirements for items placed in SharePoint.
- Began attending on-line demos of several electronic records software products.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

- Continue to meet with program staff to gather information and develop file plans.
- Meet with program officials to conduct analyses and gather system requirements

- Begin holding regular meetings with FCA CIO and develop a more detailed project plan for the purchase and implementation of an electronic records management application.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

Challenges: Conducting a complete/accurate inventory of agency records in an environment in which records are created and captured in many different formats and media.

Positive Outcomes: The Managing Government Records Directive has helped elevate the importance of proper records management—especially email management, across the Federal Government.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

☒ Yes ☐ No

8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

- Met with FCA board chairman and members to provide briefing on amendments to the Federal Records Act affecting email records management.
- Contacted upper-management administrative assistants to provide information on proper records management for email and to re-inforce the importance of capturing permanently valuable records in all formats.

8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

- Will schedule meetings/briefings with senior officials following the November 2016 general election to reinforce their records management responsibilities and offer assistance during the upcoming transition.
- Will schedule meetings with senior administrative assistants to review senior officials' email accounts and ensure proper disposition of email files identified as official records.