



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: Edie Pembleton

Position title: Manager, Information Management and Customer Relations

Address: 400 7th Street, SW, Washington, DC 20219

Office telephone number: (202) 649-3644

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

Please list them below:

Federal Housing Finance Agency (FHFA)

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. Include specific information on your progress regarding:*

- *establishing formally approved email policies, use of any automated systems for capturing email,*
 - *providing access / retrievability of your email,*
 - *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
 - *possible implementation of the Capstone approach for applicable agency email.*
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- In 2013, FHFA completed the *Legacy Email Project*, which captured and managed, as FHFA records, all emails of employees who previously worked for a predecessor agency, and who left FHFA between September 2009 and December 2012.
 - In 2014, FHFA completed the capture of all email of users who departed the agency between 2013 and 2014. This email is now managed as FHFA records, using a commercial off-the-shelf vaulting software product, in accordance with FHFA's *Comprehensive Records Schedule (CRS)*.
 - In 2015, FHFA developed a proposal to manage "live" email of current employees, leveraging the vaulting software for 2016 deployment. Each user,

based on their organizational assignment and their role in the agency, will be assigned to one of five retention periods. Retention periods are established in accordance with FHFA's CRS.

- In 2015, FHFA re-emphasized to employees and contractor personnel that personal email accounts are not to be used to conduct FHFA business and that all business-related emails must be created and maintained using authorized FHFA email accounts.

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

- In 2016, FHFA will capture "live" email of current employees and authorized contractors to manage email over 180 days old.

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

Please provide a brief description of the actions taken, such as establishing policies and providing training.

FHFA does not allow the use of personal email or electronic devices to conduct agency business. This is a part of FHFA's records management training and ethics training. FHFA issues mobile devices to ensure each employee has remote access to their agency email.

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).

FHFA's Records Officer briefs senior agency officials after joining FHFA. These specific executive level briefings focus on how to manage electronic records, including electronic messages. FHFA's RIM program also created an informational tri-fold flyer which addresses particular records issues that may be experienced by senior officials, entitled *Records Management Guidance – All Senior Officials*.

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.*

FHFA has met the *Directive* goal ahead of the 2019 requirement. All agency records are covered by an approved request for disposition authority or the *General Records Schedule* (GRS).

- N1-543-11-01, FHFA *Comprehensive Records Schedule* was approved on *January 11, 2013*, and schedule item DAA-0543-2014-0001, *Supervision and Housing Mission* was approved on *October 23, 2014*.
- During the annual file planning process, business units are evaluated to ensure that records they create and maintain are properly scheduled.

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

FHFA will continue to conduct the annual file planning process to ensure all records are scheduled.

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. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

In 2015, FHFA deployed basic automated electronic records management functionality to declare individual records in three business units. The electronic records and information management (eRIM) functionality was developed in-house as a module to the Agency's Information Management System and FHFA's Gateway utilizing SharePoint 2013. When fully implemented, the eRIM will manage all permanent agency records electronically and automate records management administration. Office-specific eRIM training is under development.

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

Over the next four years, FHFA will deploy its eRIM solution in all business units to ensure that all permanent records that are born digital are managed electronically.

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:

- Ensuring that business needs are fully identified and incorporated into the eRIM solution
- Developing an end-user training strategy

Advantages:

- FHFA executive level support and buy-in for managing FHFA records electronically
- Records and Information Management business unit resides within the Office of Technology and Information Management
- FHFA's *Records Management Policy* No. 207 was updated in 2015 to reflect changes to the Federal Records Act
- Leveraging FHFA's existing custom technology to provide document management and records management functionality for the agency

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 ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

FHFA will not be immediately impacted by the change in the Presidential administration. The FHFA Director serves in five-year terms.

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.*

New senior officials are required to undergo formal records management training that has been customized for senior agency officials, and to take annual RIM Refresher training. Before leaving the Agency, senior officials are debriefed, and must certify that they are not taking any FHFA records. If desired, they must formally submit a request to remove any *copies* of agency records. Those requests, and the actual records, must be reviewed, before any copies are made. On the recommendation of General Counsel and the Records Officer, all removals must be approved by the Director.