Senior Agency O■icial for Records Management

2016 Annual Report

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The OMB/N ARA Managing Government Records Directive (M-12—18) requires Senior Agency
Of■cials 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 identi■ed by NARA.

NAM 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

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This template covers progress through December 31, 2016.
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Please be brief and precise in your answers. Limit answers to each question to no more
than 500 words.
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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.
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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.

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Provide the following information (required):

1.

2.

Name of SAORM: Malcom Shorter

Position title: Acting Assistant Secretary for Administration

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

Of■ce telephone number: (202) 720-3291

Email: —

What agencies, bureaus, components, or of■ces are covered by this report
and your position as SAORM?

0 Agricultural Marketing Service (AMS)

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Agricultural Research Service (ARS)

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Economic Research Service (ERS)
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Farm Service Agency (FSA)
0

Food and Nutrition Service (FNS)
0

Food Safety and Inspection Service (FSIS)
0

Foreign Agricultural Service (FAS)

0

Forest Service (FS)
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Grain Inspection, Packers and Stockyards Administration (GIPSA)
0 National Agricultural Statistics Service (NASS)
0 Risk Management Agency (RMA)

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Rural Development (RD)
0 Departmental Program and Staff Of■ces

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Of■ce of the Secretary of Agriculture

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
El No

lfNo, 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 of■cers
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)

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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)

[:IYes
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.

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

0 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

[I 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.

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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 ■le formats for our Microsoft Of■ce documents, and.pdf with OCR for
scanned documents.

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

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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 of■ces
shared drive based on their electronic ■le plan.

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

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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., micro■che, micro■lm, analog video, analog
audio)? (M—12-18 Goal 1.1)

X Yes

El No

Please describe your speci■c 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.

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FNCS has developed a process and created guidance for document conversion
projects (hardcopy records to electronic format), which includes an Information
Management Of■ce (IMO) and Of■ce 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

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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 ef■ciency.

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F S conducted an inventory of hardcopy records in 2013. F S is in the process of
re■ning their records schedule as part of forthcoming electronic records management
system. As part of the implementation strategy, F S 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

[I No

If Yes, please describe what steps have been taken.

USDA has designed and con■rmed a

senior agency

of■cial for records management each
■scal year in accordance with NARA rules and regulations. The Of■ce 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 Of■ce 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 Of■ce 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
Of■ce of the Chief Information Of■cer’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 of■cers’ involvement in the planning
and'development stages of new information technology systems. Through this

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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.

0 FNCS has incorporated electronic recordkeeping guidance into all training their
tools/resources. The training incorporates the guidance in setting up a program of■ces shared
drive based on their electronic ■le 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 Of■ce comprised of Records
Management, F OIA, Privacy, Directives, and Forms. A pilot extension with intent to expand

into other key FNCS program area of■ces 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.

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F S 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.

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