



Senior Agency Official for Records Management 2019 Annual Report

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.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 rmsselfassessment@nara.gov. Include the words "SAORM 2019 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 David Wu
- Position title Principle Deputy Assistant Secretary for Administration
- Address 1400 Independence Avenue, SW, Room 240W,
Washington, DC 20250

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:

All USDA Agencies and Staff Offices
Assistant Secretary for Civil Rights
Assistant Secretary for Congressional Relations
Assistant Secretary for Administration
Office of the Inspector General
Office of General Counsel
Office of the Chief Financial Officer
Office of the Chief Economist
Office of Budget and Program Analysis
Office of Communications
Office of Partnerships and Public Engagement
Office of Tribal Relations
Office of Hearing and Appeals
Office of the Chief Information Officer
Center for Nutrition Policy and Promotion
National Agricultural Library
Under Secretary of Food Safety
Food Safety and Inspection Service
Under Secretary for Marketing and Regulatory Programs
Agricultural Marketing Service
Animal and Plant Health Inspection Service
Under Secretary for Natural Resources and Environment
Forest Service
Under Secretary for Food, Nutrition, and Consumer Services
Food and Nutrition Service
Under Secretary for Farm Production and Conservation

Farm Service Agency
Risk Management Agency
Natural Resources Conservation Service
Under Secretary for Trade and Foreign Agricultural Affairs
Foreign Agricultural Service
Codex Alimentarius Commission
Under Secretary for Research, Education, and Economics
National Institute of Food and Agriculture
Economic Research Service
National Agricultural Statistic Service
Agricultural Research Service
Under Secretary for Rural Development
Rural Utilities Service
Rural Housing Service
Rural Business Cooperative Service

2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)

Yes
 No

Please explain your response:

A bi-weekly Records and Information Management Working Group (RIMWG) was established March 2019 discussing policies, practices, recommendations and strategies to meet the NARA goals. The working group analyzed business processes and NARA requirements which were provided to OCIO and USDA Agencies. In addition, vendor demonstrations were conducted. Due to lack of funding, the RIMWG and development of an electronic information management system was suspended pending the hiring of the Departmental Records Officer which is currently in process. Additional funding has been requested in the FY 2021 budget.

3. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

Yes
 No

Please explain your response (include specific goals and example metrics):

A bi-weekly Records and Information Management Working Group (RIMWG) was established March 2019 discussing policies, practices, recommendations and strategies to meet the NARA goals. The working group analyzed business processes

and NARA requirements which were provided to OCIO and USDA Agencies. In addition, vendor demonstrations were conducted. Additional funding has been requested in the FY 2021 budget. The Departmental Records Management Team and the OCIO staff intend to work together to meet the NARA mandates.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

Yes

No

*Please explain your response (include specific goals and example metrics):
A bi-weekly Records and Information Management Working Group (RIMWG) was established March 2019 discussing policies, practices, recommendations and strategies to meet the NARA goals. The working group analyzed business processes and NARA requirements which were provided to OCIO and USDA Agencies. In addition, vendor demonstrations were conducted. Additional funding has been requested in the FY 2021 budget. The Departmental Records Management Team and the OCIO staff intend to work together to meet the NARA mandates.*

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

Yes

No

*Please explain your response (include specific goals and example metrics):
Records Management has been incorporated into the USDA Information Technology Strategic Plan FY 2019-2022.*

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

Yes

No

*Please explain your response (include specific goals and example metrics):
USDA does not have any agency operated records centers.*

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*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

No

*Please explain your response (include specific details of procedures):
USDA Records Management Policy DR 3080-001 and Records Management Policy for Departing Employees, Contractors, Volunteers and Political Appointees DR3099-001 states that all employees must complete the AD-3001 certification form and the appropriate Agency Records Officers, Staff Office Records Officer, Field Office Records Liaison and Program Manager must sign the certification.*

8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

Yes

No

*Please explain your response (include details of specific challenges, if applicable):
USDA is a vast organization, with approximately 30 components, with multiple retention schedules and program areas. The development of a fully electronic recordkeeping system requires additional resources, funding and further NARA guidance.*

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

Yes

No

*Please provide details on what support is needed:
We require the digitization guidelines for permanent records from NARA.*