



*Senior Agency Official for Records Management
2017 Annual Report*

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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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 progress through December 31, 2017.
- 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 - [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):

- Defense Intelligence Agency, Joint Base Anacostia-Bolling, Washington, DC
20340

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

Defense Intelligence Agency

2. Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)

Yes

No

Please explain your response:

The Defense Intelligence Agency continues to make progress towards managing all permanent electronic records in electronic format. Current progress includes identifying and locating permanent records series to ensure data owners are aware of their responsibilities for maintaining paper and electronic records for eventual transfer to NARA, and monitoring the retirement of legacy applications and servers to verify permanent records are adequately protected and transferred, as appropriate.

3. 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)

Yes

No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

The Defense Intelligence Agency is implementing a pilot program to scan older analog documents identified as permanent to a designated repository. Documents in this permanent record group are also being converted to digital format upon demand based on requests, retrieval, and usage. The Defense Intelligence Agency will use the results of this pilot program to explore future service improvements to move the agency closer towards the digitization of additional permanent records created in hard copy or other analog formats.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

Yes
 No

Please explain your response:

The Defense Intelligence Agency has policy to address recordkeeping and other records management requirements during internal re-organizations. This policy is documented in DIA Instruction 5015.001, Records Management Program, dated June 27, 2016.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02.html>)

Yes
 No

Please explain your response

The Defense Intelligence Agency believes more can be done to strategically strengthen records management across the agency. An intra-agency working group is now actively conducting an analysis of the agency's Records Management Program. Results from this analysis will inform future steps to improve the current program including placement of Records Management and appointment of a new Senior Agency Official for Records Management.

6. **Have you, as the SAORM, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.**

*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:

The Defense Intelligence Agency has not established a specific program to brief Senior officials on their records management responsibilities, including documenting their public service, use of personal email, and other recordkeeping requirements. However, all officers receive extensive training upon onboarding and annually thereafter that includes specific handling and safeguarding responsibilities during and after DIA employment.

7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?

Yes

No

Please explain your response:

The Defense Intelligence Agency has a new initiative that promises to strengthen records management across the agency. This initiative is documented in the Facility and Services Division's business plan for fiscal year 2018. See response to question 5 for additional insight.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

- Continue to communicate progress NARA makes in implementing the Federal Electronic Records Modernization Initiative aimed at streamlining the procurement of records management products and services.
- Address the modernization of tools and procedures for declassifying documents.
- Address legacy issues relating to the transfer, storage, and access to classified materials (that may require further review from related equities or have extended security concerns after transfer) during the redesign of NARA's era (Electronic Records Archives – ERA 2.0).