



*Senior Agency Official for Records Management  
2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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](mailto:rmsselfassessment@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):

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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.

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 toward managing all permanent electronic records in electronic format. Current progress includes: (1) Identifying and locating permanent record series to ensure data owners are aware of their responsibilities for maintaining paper and electronic records for eventual transfer to NARA. (2) Monitoring the retirement of legacy applications and servers to verify permanent records are adequately protected and transferred appropriately.

3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its Criteria for Successfully Managing Permanent Electronic Records (March 2018)?

Yes  
 No

*Please explain your response:*

The Defense Intelligence Agency is continuing to identify collections of analog records designated as permanent and is evaluating efficiencies and the benefits of scanning to a designated electronic repository rather than continued physical storage at the Washington

National Records Center. Two major permanent series have been selected and are in the process of being converted at DIA's scan center. Documents in another permanent record group are also being converted to digital format, upon demand, based on requests, retrieval, and usage. The Defense Intelligence Agency will continue to explore future service improvements and technological advancements to move the agency closer to managing all permanent record series electronically.

4. As included in the Administration's Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

*The Reform Plan states:*

*Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

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

The Defense Intelligence Agency delegates responsibility for maintaining records to its major Directorates/Departments. NARA's strategic goal to eliminate paper records is being communicated through training required for DIA's Staff Officers working in its organizations. DIA's record owners or stewards submitting analog records for storage are also being informed of NARA's strategic goal. In addition to the previously mentioned scanning projects for major permanent records series, the scan center has two projects focusing on temporary records series that comprise a large volume of the types of temporary records normally submitted to a Federal Records Center. The Defense Intelligence Agency has devoted, and will continue to devote, resources to innovative solutions for manipulating and managing information and records in a way that further supports mission and decision making. These investments ultimately will impact the future direction of records management at the Defense Intelligence Agency.

5. Is your agency utilizing General Service Administration's Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

*Please explain your response:*

The Defense Intelligence Agency has not considered a COTS product for the management of electronic records. Fundamentally, many of the products are not yet deployable on a classified network at this time without considerable customization.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure 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  
 Changes were unnecessary ([click here](#) for your agency's 2017 report)  
 No, changes are being considered but have not been made  
 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 during onboarding, and annually thereafter, that includes specific handling and safeguarding responsibilities during, and after, DIA employment.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management)**

- Yes  
 No

*Please explain your response:*

I was recently assigned as the new SAORM for the Defense Intelligence Agency. Utilizing my background in information technology and business process engineering, my intention is to evaluate DIA's program in concert with the strategic goals and mission of the Agency in order to guide our program for success within our environment.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See NARA Bulletin 2017-01: Agency Records Management Training Requirements)**

Yes

No

*Please explain your response:*

The Defense Intelligence Agency recently mandated Records Management training for all Staff Officers. Also, basic Records Management training is available in our e-learning system, and this training is required for personnel assigned with records responsibilities within the Directorates/Departments. As stated above, officers receive extensive training during onboarding, and annually thereafter, that includes specific handling and safeguarding responsibilities during, and after, DIA employment.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes

No

*Please explain your response:*

I was recently assigned as the new SAORM for the Defense Intelligence Agency. Utilizing my background in information technology and business process engineering, my intention is to evaluate DIA's program in concert with the strategic goals and mission of the Agency in order to guide our program for success within our environment.

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

Yes

No

*Please explain your response:*

- Support that addresses/modernizes policies, records disposition schedules, appraisals, and audits to reflect, and compensate for, the dynamic and complicated formatting and structure(s) of information (data and records) and their repositories.
- Support that expedites changes in regulations/standards to allow the destruction of permanent records after scanning (consistent with established scanning guidelines).