

DIA SUBMISSION – SAORM Report 2020

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

The Defense Intelligence Agency is covered by this report.

2. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?

Yes, RM practices were tailored to accommodate the impact of COVID on the Agency. As a result of the pandemic, DIA introduced new technology at the Agency that allowed the workforce to effectively telework. The use of these collaborative tools required new guidance was provided concerning retention of data in the collaborative tool, MS Teams.

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

DIA's CIO, CDO, SAORM, ARO and RM Staff is working to strengthen its governance framework to ensure we've instituted a comprehensive and inclusive records and information management framework. The Agency continues to coordinate/collaborate across mission focus areas to determine mission intersections and provide relevant guidance in support records, information, and knowledge management disciplines.

4. 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)

DIA continues to make strides towards meeting M-19-21 directives. In support of item 1.2, DIA has identified Agency requirements and is currently acquiring SME support which allows the Agency to maximize current IT capabilities in support of electronic transmission with appropriate metadata. During FY21, DIA will be able to effectively prototype a solution which supports this directive.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

Yes, all Agency records are created electronically. DIA's RM program is working with mission elements to identify the full inventory of Agency records.

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

DIA has identified FY21 funding which allows the Agency to acquire IT expertise in support of transitioning to an electronic recordkeeping system (ERKS). This support affords the Agency the opportunity to leverage existing (and planned future) IT capabilities in support of implementing an effective ERKS which will support governance, metadata categorization, electronic transmission, and e-Discovery initiatives.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

No, it's not the DIA's intention to acquire commercial storage. At this time, the Agency plans to continue its usage of NARA's FRC and in-house accommodations to satisfy storage requirements.

Commercial storage will only be considered if the Agency is unable to secure temperature-controlled storage in house.

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

Yes. DIA has updated current policies which identify guidelines to ensure record retention of senior officials. In collaboration with our CIO, the RM program continues to identify/refine requirements for capturing, securing and processing records (CAPSTONE).

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

DIA has been challenged with attaining the required resources to dedicate towards scanning initiatives. As a result, Agency efforts to digitize legacy paper records has been hindered. This challenge has been magnified in our current COVID-impacted environment.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

Because of their unique mission requirements, DIA requests that NARA engage/address IC components separately from other government agencies. DIA, and other IC Agencies, have unique security concerns that NARA must consider when issuing guidance/directives. Additionally, ensuring appropriately cleared personnel access to DIA records transitioned to NARA continues to be an area of concern.