



*Senior Agency Official for Records Management
2020 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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 2020 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: Currently Vacant
- Position title:
- Address:
- Office telephone number:
- Email:

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

National Geospatial-Intelligence Agency (NGA) and all its components.

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

- Yes
 No
 Do not know

Practices related to records management have changed in that the telework environment has caused separation from the norm in carrying out the lifecycle of records management. Most offices moved into a new unclassified domain for managing most agency records and many offices had to learn anew the RM business processes to manage records in accordance with agency records schedules and Federal regulations.

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)

- Yes
 No
 Do not know

NGA data stewards share the work load by documenting data with metadata and ensure the data is in commonly accessible databases to improve discoverability, eliminate duplication, and speed up the decision-making process. NGA records managers share the work load with Agency appointed Primary Information Officers (PIOs) and Information Officers (IOs) by verifying record reliability, authenticity, and safeguarding Agency records throughout the records lifecycle to ensure records can be located, retrieved, presented, interpreted, and appropriately dispositioned. Collectively, there is an overarching vision to improve mission delivery, customer service, and accountable stewardship of Agency records. The goal is to develop automation techniques that transition data and recordkeeping business processes to a fully electronic environment consistent with data and records management laws and regulations.

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)

- Yes
 No
 Do not know

NGA has some digitization capabilities that implement digitization processes where those capabilities can minimize costs and resources while maximizing the digitization of existing permanent analog records. Capturing and storing all permanent records electronically has been and continues to see improvement, but lacks automation. The analog record intake has mostly been reduced to only film negatives or slides that require transmissive scanning technologies for digital imaging. However, there remains a viable push for digitizing substantial analog material in the future.

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
 No
 Do not know

No, many temporary records such as contracts and various Agency forms are still being managed in paper/analog format. NGA is working to implement automation capabilities for managing both temporary and permanent records, while also working to have all records be born digital.

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

- Yes
 No
 Do not know

An implementation strategy for digitization that supports the NARA and OMB Memorandum M-19-21 will enable digitization of existing analog records. A business case for electronic recordkeeping applying a digital business platform has also been initiated and being strengthened by an ERM Analysis of Alternatives (AoA) Tiger Team initiative. However, NGA may not be able to complete the transformation to automation by the current OMB deadlines.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency 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)

- Yes
 No
 Do not know

Temporary records in analog format being held in NGA's records holding facility are being scheduled for initial digitization once the digitization effort commences, which optimistically will be before December 31, 2022. There is no plan to move these records to a commercial storage facility. Temporary records currently stored in a NARA FRC will remain there as analog until digitization occurs or until final disposition.

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?

*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
 Do not know

Partially. The agency does have an Exit Checklist that is supposed to help ensure that all records are captured for anyone leaving the Agency; however, there is no validation or automation involved in the process. In addition, policy has been established, but the processes are rudimentary and manually driven, which require automation or an ERMS to fully manage electronically the electronic records and email. NGA has begun to implement the Capstone Approach for manually capturing email of senior officials and NGA hopes to automate in the future.

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

- Yes
 No
 Do not know

NGA is committed to achieving automation of all electronic records; however, progress is slow due various setbacks and budget constraints. Automation to replace repeatable processes and reduce manual intervention is still a goal. A digitization effort for digitizing aerial film is also reliant on NGA having a set of published digitization standards for scanning of permanent record film slides and negatives (transmissive scanning requirements).

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

- Yes
- No
- Do not know

NGA would like to see NARA meet with each Agency one-on-one to understand where their agency is relative to meeting the goal of managing all temporary and permanent records in electronic format, the challenges that each agency faces, and what NARA can do to assist. For example, NGA needs an approved set of digitization standards in order to begin digitizing aerial film and other permanent records. The Agency also needs to have a technical solution for the transfer of TBs/PBs/EBs of permanent classified records (e.g., cloud-to-cloud transfers) as the transfer of GBs at a time over a constricted unclassified network connection is not possible.