



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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*, including implementing proper email management and 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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):

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

Please list them below:

The Office of the Director of National Intelligence (ODNI) and all its subordinate offices and elements.

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
 - Email policy is forthcoming. Goal: by December 31, 2016.
- *use of any automated systems for capturing email,*
 - Both legacy and current ODNI email have automated archiving systems in place that currently hold all employee (government, contractor, other) email permanently.
- *providing access / retrievability of your email,*
 - ODNI automated email archiving systems provide retrievability for all emails sent or received by users. The Information Management Division (IMD) is able to request access to emails if required (i.e., legal, FOIA requests, and for archival retrieval)
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
 - ODNI is currently reviewing the GRS 6.1 and 6.2 disposition instructions and may consider submitting a separate ODNI schedule item for NARA approval.

- *possible implementation of the Capstone approach for applicable agency email.*
 - ODNI plans to implement NARA's Capstone approach. ODNI plans to have applicable SF 115 (Request for Disposition Authority) for both senior and non-senior email prepared and submitted to NARA, prior to the December 31, 2016 deadline.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- Submit to NARA a SF-115 for senior and non-senior listings for approval.
- Conduct an appraisal visit with NARA and coordinate the proposal with its internal stakeholder units.
- Maintain and regularly update Capstone officials list.
- Create a team (stakeholders) to champion the implementation of Capstone role-based email.
- Establish Capstone records schedule and policies
- Provide training and awareness for senior staff, IT, and others as needed.
- Review current IT capabilities and needs

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

- March 9, 2015, the CMO sent an announcement to all ODNI employees informing them of their disclosure requirements of the 2014 amendments to the Federal Records Act if there is a legitimate need to use their personal email to conduct official government business. In addition, we are working to include this requirement as part of our routine training.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

- The internal controls for managing records is part of the ODNI check-in/out process. Records managers send the arriving and departing employee the appropriate records management instructions/policies to review and follow.

- ODNI Records Managers, with support of office Program Managers, will manage ODNI recordkeeping systems, including electronic recordkeeping systems, that are explicitly identified and established to collect, organize, and manage records.
- ODNI Records Managers assist ODNI components with establishing and maintaining effective records management practices by providing technical advice and training, including assistance with creating and reviewing file plans.
- ODNI Records Managers perform information management audits or needs assessments to ensure effective information management practices.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

- ODNI submitted 31 schedules to NARA.
- NARA approved 28 of the 31 schedules.
- The remaining three schedules are at NARA for appraisal.
- ODNI is preparing to submit a consolidated Records Control Schedule (RCS).

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

- ODNI is preparing a single consolidated RCS to supersede all current RCS'. The goal is to be consistent with NARA's recommended flexible big bucket concept.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
 - ODNI Instruction 80.03 - Departing ODNI Personnel
 - ODNI Instruction 80.06 - Records and Information Management
 - ODNI Instruction 80.10 - Creation of Office of the Director of National Intelligence Records
- *use of any automated systems for capturing electronic records,*
 - ODNI decommissioned and pre-accessioned to NARA the Worldwide Incident Tracking System (WITS) in 2012.

- Security and Counterintelligence Online Reporting (SCOR) database or the Insider Threat Program Records (ODNI-22 SORN).
 - Other Electronic Recordkeeping (ERK) systems are being considered for possible future use.
 - *providing access / retrievability of your electronic records, and*
 - IMD shall request access approval through appropriate channels for legal, FOIA, or archival purposes.
 - *establishing disposition practices for agency electronic records.*
 - ODNI establishes the “File Plan” in accordance with current ODNI records dispositions authorities.
- 6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*
- Implement the consolidated RCS.
 - Update ODNI Instructions.
 - Develop ODNI email policy.

7. Please provide any insight to your agency’s efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

- The ODNI is working on the following challenges:
 - a. Obstacles with Multi-agency Environment (MAE) ownership with different dispositions:
 - i. There could be multiple RCS item numbers.
 - ii. Should only one “Gold” copy exist?
 - iii. Should whomever is supposed to keep the record the longest in accordance with their RCS shoulder the ultimate retention requirement?
 - iv. For permanent records, should one agency be responsible for transferring the records to NARA per an agreement?
- Metadata in multiagency environment.
 - Challenges: The creation of metadata could potentially create quality problems with regard to version control and master file identification in MAEs.
- Email lifecycle management challenges in tracking, tagging, and metadata.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes No

- 8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*
- Executive Assistants (EA's) and designated records support staff have been briefed and/or provided training on managing their records and notifying the Records Management Officers (RMOs) when a senior official is preparing for departure. RMOs will:
 - Arrange meeting to review the records.
 - Inform departing senior official of requirements set forth in ODNI Instruction 80.03, Departing ODNI Personnel.
 - Provide Records Management guidance and assist in preparation for archival.
 - Once records are received for archival, the records are:
 - Organized, categorized, and indexed.
 - Boxed and sent to ODNI's Records Center until transfer to NARA.
- 8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*
- The RMOs will assist in review and archival of senior official records by:
 - Currently drafting a workforce notice and other outreach activities to help facilitate the transition.
 - Ensuring senior officials are familiar with recordkeeping practices as outlined in ODNI Instruction 80.03, Records Management Requirements for Departing ODNI Personnel.
 - Safeguarding the availability of complete and accurate documentation and the proper transfer of record material to an appropriate custodian.
 - Facilitating efficient and timely retrieval by authorized personnel.
 - Preserving their context by grouping related records.
 - Distinguishing records from non-record material.
 - Implementing records disposition instructions based on NARA-approved RCS'.