



Senior Agency Official for Records Management 2021 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. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2021, 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 2021 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.

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

Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

The Office of the Director of National Intelligence (ODNI) and all of its components.

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

- Yes
- No
- Do not know

Please explain your response (include details of specific challenges, if applicable):

During 2021, ODNI Records Management returned to a mostly normal business schedule with a clear goal of improving policies surrounding records processes. For the first half of 2021, some services were delayed as a result of incomplete staffing due to the COVID pandemic.

3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

- Yes
- No
- Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

Though ODNI reported yes on last year's report, as Records Management current business processes are analyzed and applied, challenges not previously identified have been discovered that indicate that the current information governance framework does not adequately apply electronic records keeping requirements. The ODNI is currently investigating all options available to integrate records and data management functionalities into its established information governance framework.

4. Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

- Yes
 No
 Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

The ODNI is working through various steps required to ensure all permanent records are managed in an electronic format with the appropriate metadata. The process requires both the implementation of durable records management business processes and digitization capabilities. Neither of these processes are readily accomplishable and both require the devotion of considerable resources, which may take several years for this transition to be fully successful.

5. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

The ODNI will not meet the goal of managing and preserving all temporary records in an electronic format because several record sets are currently maintained only in hardcopy form. Additional time is required to institute potential digitization effectively according to 36 CFR 1236.32.

6. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

- Yes
 No

Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

The ODNI is exploring the possibility of seeking an exception to the M-19-21 requirements, as appropriate, and will submit the exception request to NARA before the deadline.

7. Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

Yes, the ODNI is utilizing GSA's 518210 ERM to procure solutions to assist in the transition to a completely electronic environment. Specifically, the ODNI is using the 518210 ERM to establish the baseline criteria for services proposed in the recent business process designed to improved ODNI electronic records management capabilities.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

Yes

No

Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

Though we do not yet have developed plans, ODNI is engaged in efforts to digitize all analog records with strategies to implement electronic recordkeeping for all temporary records moving forward.

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

Yes

No

Do not know

Please explain your response (include details of specific challenges, if applicable):

As the SAORM, I see several challenges to fully meeting this goal, as outlined above. A key consideration is that, to complete this nuanced and complex work, resources are required to both overcome these challenges and sustain solid records management processes. Some manual controls and procedures have been implemented and the ODNI is currently updating policy to provide further direction for offices to carry out their records management responsibilities. I remain hopeful for economic ERM solutions in the future to enable efficiencies for automation and increase staff focus on ODNI records management business activities, with the intent to improve our digital transformation strategy and information governance effort.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

Yes

No

Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):