



Senior Agency Official for Records Management **2019 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 13, 2020, with reports due back to NARA no later than March 13, 2020. NARA granted deadline extension to April 13, 2020.

NARA plans to post your 2019 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, 2019.
- 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 2019 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 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. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

Yes
 No

The ODNI continues to research the most effective Electronic Records Management System (ERMS) to more efficiently manage ODNI records.

- 3. 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

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

ODNI is working through the various steps which will be required to ensure all ODNI permanent records are managed in an electronic format with the appropriate metadata, to include internal partnership efforts to update metadata standards for data management. Records retention-related tags are included in these efforts; however, ODNI still has other work to do in terms of establishing or modifying systems to capture all ODNI permanent records.

- 4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)**

Yes
 No

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

In 2019, the records program became more involved in the information systems approvals process so that systems are built with or modified to contain the appropriate records retentions and records controls, increasing the number of managed electronic records regardless of whether the records are permanent or temporary.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

Yes
 No

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

The ODNI records management program has begun drafting a multi-year Strategy to meet our long-term records goals, including compliance with the Federal Records Act and its regulations. This document reestablishes our vision and mission with regard to records management and lays out long-term strategic objectives.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

Yes
 No

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

The ODNI does not have an agency-operated records center and instead partners with other IC agencies to store records, and has identified an IC partner to assist in digitizing its paper records with plans to digitize before the 2022 suspense date.

7. Does your agency have procedures that include documentation to ensure records of 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

X No

Please explain your response (include specific details of procedures):

The ODNI provides four instructions to ensure all personnel, to include senior officials, process into and out of the ODNI successfully and understand their responsibilities for managing Federal records. In 2018, the ODNI Records Management Program updated guidance for senior officials and in 2019 the program met with the outgoing DNI, PDDNI, and their direct staff upon transition to assist in capturing and organizing their records. A briefing about records responsibilities was also provided to the incoming Acting DNI, Principal Executive, and their direct staff.

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

X Yes

No

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

Much like our IC partners, there are challenges associated with meeting the goal of fully-electronic recordkeeping at the ODNI due to the variety of data and quantity of systems. As SAORM, I am working with ODNI's records program to provide the appropriate number of personnel, funding for improved systems, and training at the level required to work towards overcoming these challenges.

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

X Yes

No

Please provide details on what support is needed:

ODNI will collaborate with NARA as we finalize our approaches to electronic records management.