



Senior Agency Official for Records Management 2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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 progress through December 31, 2018.
- 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 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 and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

The ODNI is actively discussing the selection and implementation of an Electronic Records Management System (ERMS) to more efficiently manage ODNI records. ODNI expects that the implementation of an ERMS will further support accurate and easily accessible recordkeeping throughout the agency. The ODNI is also working with the other Intelligence Community (IC) elements to understand existing ERMS practices and technical solutions for records management in order to determine the best approach ODNI should employ.

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response:

ODNI is not currently fully aligned with the success criteria of all four categories within the *Criteria for Successfully Managing Permanent Electronic Records*, but is making strides to improve in several ways. Over the past year, ODNI has increased its participation in the systems accreditation process, ensuring that system development incorporates proper record-keeping measures. ODNI is also taking steps to update and

reorder the organization's shared drive in preparation for implementation of an ERMS, and to improve its records training program.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

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

The ODNI is in the planning stages to digitize its current holdings of archived material and is developing requirements to address future holdings of archived material through the acquisition of an ERMS. The deadline for transferring the ODNI's first batch of records to NARA is 2036.

5. **Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

Yes

No

Please explain your response:

The ODNI is using SIN 51 600 within GSA Schedule 36 to identify vendors with certified Electronic Records Management solutions.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*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
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response:

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 Records Branch updated guidance for senior officials. Upcoming updates to ODNI's training program will have a section devoted specifically to senior officials.

- 7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
- No

Please explain your response:

As SAORM, I have been made aware of the challenges facing the Records program, which include establishing appropriate expertise and optimal staffing, and am working to implement the necessary solutions as expeditiously as possible.

- 8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
- No

Please explain your response:

All ODNI employees are informed of their records responsibilities when they enter on duty in the ODNI, and further training is available after that upon request. ODNI is currently working to develop a web-based training course which will serve as mandatory, yearly refresher training. In addition, as ODNI makes efforts to update its shared drive, records management training is being incrementally provided to ODNI offices.

9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
 No

Please explain your response:

As reflected in my answer for Q7, the ODNI is in the midst of its internal governance process to appropriately resourcing its records program. Implementing an evaluation or auditing process is one of the factors that is being considered in making such resource decisions.

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

- Yes
 No

Please explain your response:

ODNI always welcomes more guidance from NARA.