



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:

Defense Intelligence Agency

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,*
- *use of any automated systems for capturing email,*
- *providing access / retrievability of your email,*
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
- *possible implementation of the Capstone approach for applicable agency email.*

DIA is currently evaluating implementation of the Capstone approach to the management and retention of email. Upon internal approval of the approach, the agency will develop a list of positions for permanent email retention. Coordinated with NGA on an IC-wide email retention policy for consideration by ODNI. Working with the IC Desktop (IC DTE) Joint Program Management Office (JPMO) to review the electronic records management capability to be implemented in the IC DTE solution.

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

DIA will develop specific policy guidance on the management and retention of email. The records management office will continue to work with the IC DTE JPMO to ensure the IC DTE tools are capable of implementing the policy.

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.

DIA has incorporated the 20 day requirement for copying or forwarding electronic messages into its records management instruction. The revised instruction is currently undergoing the formal agency review and approval process.

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).

Until the formal adoption of the Capstone policy, all permanent emails are being captured in the current email archiving system. We anticipate the number of permanent emails being captured will be reduced under the Capstone approach.

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.*

We reviewed our unscheduled paper and non-electronic records holdings in the Washington National Records Center to analyze the contents. At this time

we do not anticipate the need for submitting a new schedule to NARA for these records.

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

We will coordinate with WNRC to input the appropriate disposition authorities into the ARCIS database.

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,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

The records management office will continue to work with the IC DTE JPMO to ensure the IC DTE tools are capable of managing permanent electronic records.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

The IC DTE is planned for full operational capability for DIA in 2018. If implementation stays on schedule, we will have the capability to manage permanent electronic records in the IC DTE recordkeeping system by 2019.

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 directive is an unfunded mandate that hasn't been addressed in budget planning of the agency. The personnel and IT resources required to comply with all the directive requirements won't be available until they are accounted for in agency budgeting. The laws and regulations governing the management of records have not kept pace with technology changes.

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.*

Not applicable. DIA has no Presidentially-appointed senior officials.

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.*

Not applicable. DIA has no Presidentially-appointed senior officials.