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 <u>March 11, 2019</u> with reports due back to NARA no later than <u>April 19, 2019</u>.

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 rmselfassessment@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.

National Geospatial-Intelligence Agency (NGA) and all of its components to include remote offices.

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)**

      X Yes
      ☐ No

Please explain your response:

While NGA is making process toward achieving the goal of managing all permanent electronic records in an electronic format, the Agency will not achieve this goal by 31 December, 2019 as called for by M-12-18, Goal 1.1. Continued mission priorities and internal agency budgetary constraints have impacted the Agency's ability to achieve the goal IAW the prescribed date of 31 December 2019. The Agency is currently pursuing an acquisition effort for an Electronic Records Management (ERM) capability that is projected to achieve the goal of managing all permanent electronic records in an electronic format by 31 December 2024.

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)?**

      X Yes
      ☐ No

Please explain your response:

The requirement to manage all permanent electronic records continues to be a concern for NGA and has been addressed in a number of forums with discussion on platforms and measures to support the full implementation of electronic records management. Procurement delays have played a role in NGA's ability to meet specific criteria, specifically in having control of all permanent electronic records through an electronic records management system (ERMS). Agency policies are being updated to address the manual management of permanent electronic records and educate staff on their responsibilities.

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.*

X Yes
☐ No

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

NGA is developing strategic plans, goals, objectives, and initiatives that will enable it to digitize all current paper based records and transition to an electronic environment; however, the Agency has established a 31 December 2024 deadline, two years after the NARA deadline. At present the Agency is planning to conduct a Business Case Analysis (BCA) during FY20 to determine the extent to which paper based records will be digitized to comply with the 31 December 2022 goals, and ensure that all NGA paper-based records are digitized by 31 December 2024.

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

☐ Yes
X No

Please explain your response:

NGA initiated its Electronic Records Management (ERM) acquisitions efforts in 2016, more than a year before the GSA schedule 36 was published. However, NGA's goal is to conduct an ERM acquisition consistent with the GSA schedule 36, the NARA's new Universal Electronic Records Management Requirements, and/or DoD 5015.2 STD on electronic records management software applications design criteria standard. NGA will also consider using the GSA schedule 36 for any future digitization efforts associated with paper-based records.

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)
> X No, changes are being considered but have not been made
> ☐ No

Please explain your response:

There is no records management training or briefings provided to senior executives based on their role or position within NGA. Our guiding policy document for Records management, NGA Instruction 8040.2, is being updated to adequately reflect senior official responsibilities for the proper capture of their emails, calendars, and other messaging accounts as well as preserving all permanent records and making accessible sufficient information to ensure the management and accountability of agency programs. Additionally, NGA provides annual mandatory computer-based records management training to all member of the Agency workforce, to include Agency senior leadership.

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*)**

> X Yes
> ☐ No

Please explain your response:
I have allocated funds to support the NGA ERM acquisition effort, however, as in the past these funds will be subject to internal agency prioritization to meet Agency mission requirements.

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*)**

X Yes

☐ No

Please explain your response:

The NGA Records Management Program has an extensive and exhaustive training regimen with instructional classes held monthly for our information officers assigned to each directorate and office. They, in turn, show the way to workforce personnel under their province. The NGA also has an annual mandatory Records Management training certification course for all employees covering general NGA records management concepts, requirements, and employee responsibilities. Desk side assistance is also provided upon request.

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?**

X Yes

☐ No

Please explain your response:

NGA's Records Management Program conducts ad-hoc office assessments to measure and evaluate the effectiveness of records management business processes and practices within the offices. This includes ensuring Information officers have attended training, have conducted office inventories and have created/submitted Office File Plans (OFPs) based off the inventories, developed filing systems for all records and non-records, and apply proper disposition to their records IAW retention schedules. These assessments are to ensure that offices comply with records management responsibilities as outlined in federal regulations and NGA records management policy. As we begin to automate our records management program, the ad-hoc office assessments will mature into a more coordinated, established regimen.

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

X Yes

☐ No

Please explain your response:

As NARA explores ways to establish a Records Management Line of Business as an E-Government initiative, it would be incumbent on NARA (and OMB), regardless of the uphill battle, to be an advocate for Federal Agencies by impressing upon Congress to initiate legislation to include appropriations for electronic records management

requirements in the Federal Budget Process; with regards to the Intelligence Community, that would be the National Intelligence Program/Military Intelligence Program (NIP/MIP). The Presidential Memorandum on Managing Government Records was signed by the President in 2011 and the M-12-18 Directive to the POTUS memorandum which established deadlines for Federal agencies to meet certain electronic records management requirements was approved by OMB and NARA a year later. However, both fell short in establishing regulation to ensure adequate resources would be available within Federal agencies to implement. Since the joint issue of OMB M-12-18, this agency has feverishly struggled to enhance management of Government records, data, and information. Although NGA does promote an overall information governance framework, it still requires concentrated leadership involvement in developing collaborative relationships between records management staff, information technology staff, and senior management to better recognize records management as an integral part of their information governance strategy.

The two primary goals of M-12-18 have not evolved as quickly or efficiently as they should have. Email retention scheduling and final disposition methodologies have yet to be fully resolved and implemented (2016 deadline). Managing permanent electronic records electronically (2019 deadline) is continually laden with setbacks and budget cuts. Although under consideration, the records management program overall is not properly resourced and aligned with the agency's strategic information management plan. It is NARA's responsibility to report on the state of Federal records management. Setbacks and budget constraints are diminishing electronic records management enhancement and records management programs across the IC cannot continue to survive on last minute, excess end of year funding; they must be implemented and appropriated in the Federal budget process. However, until such legislation can be established to improve the government-wide management of electronic records, it would seem that records management will continue to take a slow course and a low priority as it relates to the overall mission of this agency. The NGA records management program will continue to work across the agency to ensure the mission value for all data and information is fully defined and supported by records retention policy, aligning digital assets against records inventories, building records disposition into systems accreditation, and enriching data tags to ensure proper electronic records requirements in information systems.

NARA can continue to provide real examples of actual implemented ERM and Capstone capabilities (and POCs), along with continued guidance, inspections, etc. NARA also should formally notify Agency Heads of their obligation to ensure that their RMP is fully resourced and has begun to implement automation for managing all permanent electronic records as well as digitization of paper records whose disposition date is after the December 31, 2022. We look forward to NARA's digital standards being published and the release of ERA 2.0 to assist us in our digitization program development and records archiving processes.