



*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 related records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 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.

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

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

Yes
 No

NGA continues to make progress towards managing all permanent electronic records in electronic format, but has not reached the 100% goal.

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

Current processes are not fully compliant with NARA and OMB Directive M-19-21 for managing records electronically (both permanent and temporary) and records are susceptible to human error/permanent record loss. A Digital Business Platform (DBP) solution that favors electronic records management (ERM) for the agency is not anticipated until 2025 at the earliest.

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

Yes
 No

With NARA releasing the digitization regulation for temporary records, the NGA RMP has begun implementation IAW with the NARA regulation. All other temporary records are either being produced and managed digitally with a minimal amount being scanned and managed electronically. A digitization plan, as well as control measures are being

developed and implemented that safely and efficiently incorporate digitization methodologies within the workforce.

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, 14)

Yes

No

A lot has come to bear since last year's report. The NARA M-19-21 Memorandum has persuaded funding for the transition to electronic workflows intended to increase proficiency in records management business processes. Broader strategies include improvements to mandatory annual training, electronic storage, a Digital Business Platform that implements ERM, and automation to improve the management of Capstone and Non-Capstone email. Publication of the standards for digitizing temporary records, and soon to be released standards for digitizing permanent records, will enable NGA to reduce its storage facility legacy holdings through gradual elimination. Agency policy modernization emboldens employees to efficiently and effectively create, identify, protect, preserve, and properly dispose of NGA records.

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

We have identified our agency-operated records centers and will request an exception to maintain them through 2025. The request to NARA for an exception is pending via NARA direction on processes for Federal agencies to submit requests for the exemption. Regarding closing agency records storage facilities, the costs of moving and storing material from our agency storage facilities to a NARA FRC or commercial facility prior too or after January 2023 are not feasible. Current NGA facilities are adequate for the near-term and efforts are underway that will allow NGA to properly close the facilities in an organized phase-out approach by 2025.

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
 No

NGA performs this task using multiple manual processes that do not do justice to accurately capture all the records without knowing if any records were not removed, altered, or deleted.

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

- Yes
 No

The processes that identifies and validates requirements and associated priorities that inform the development, delivery, provisioning, consumption, and retirement of all corporate applications, systems, and services in NGA are extensive. Records management automation technologies have gained momentum and are on/about the halfway point pending final review and approval, which depending on other requirements and priorities may affect acquisition, development, and implementation timelines as required in the OMB M-19-21 Memorandum.

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

- Yes
 No

We are expecting the NARA release of their permanent electronic records digitization requirements soon after this report is submitted. We request NARA to expeditiously begin its digitization requirements for permanent audiovisual, cartographic, film, and related records as identified in 36 CFR Part 1237.