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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?

This report covers the National Geospatial-Intelligence Agency (NGA). The Director of Security and Installations (SI) is designated as the SAO for Records Management.

2. Is your agency going to meet the *Directive* goal to manage all <u>email</u> 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 <u>progress</u> regarding:*

- NGA has drafted a Capstone-based email policy and guidance for inclusion in the Agency's Records and Information Management (RIM) Instruction.

- NGA does not have an automated system for the capture of email.

- NGA email accounts contain classified security information and have restricted access. However, access and retrievability can only be accomplished if the emails are managed within the Outlook/Exchange email systems. Technical issues prevent .pst email from being opened outside of the email application. NGA's experience is that separating closed email accounts into external storage outside of the Outlook/Exchange system prevents the ability to access, search and retrieve, so external storage is a problem for recordkeeping and preservation. Email systems without Records Management Application (RMA) software must retain the emails within the email system for access and retrieval.

- The NGA Agency Records Officer has directed the implementation of the Capstone method of managing email; however, NGA does not have an RMA software system. Therefore management of email must be provided solely by the Outlook/Exchange email systems which are not set up to manage email in this manner. Work has commenced to set up the existing email systems to accommodate the Capstone approach. NGA has identified 297 Capstone positions which will have their accounts tagged in PeopleSoft to identify the position as Capstone. Efforts are being made to identify how start date and end date can be documented for Capstone user accounts. There are some concerns that a user's entire email account cannot be kept intact for anyone identified as Capstone. The part of the account that is permanent has to be separated out of, or away from the temporary part (emails prior to or after a person occupies a Capstone position). Since there are no automated tools to provide this capability, this procedure has to be accomplished manually, leading to questionable ability to manage all parts of all accounts properly and accurately. The lack of RMA software at NGA has forced this manual procedure. As a result of this issue, NGA intends to utilize the Capstone approach only as a stop-gap until an RMA can be implemented on all networks. Since personnel move into and out of Capstone accounts, manually managing individual and lists of accounts will prove as difficult as managing individual emails.

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

- Expand from only capturing the current Director's email to include having the NGA top five officials under Capstone control on one network.

- Begin planning for migration of email system storage into the cloud environment.

- Solidify techniques for separating permanent Capstone email from temporary user accounts to facilitate preservation of permanent email and system deletion of temporary emails.

- Expand capture of Capstone from the top five officials to all 297 officials as identified by the Human Development Directorate. These Capstone Officials are senior officials designated by account level or by email addresses and principal management positions, such as the Director/NGA, Deputy Director/NGA, Chief of Staff, Director of Operations, and the Director of Plans and Programs.

- Begin applying the first network model for Capstone to the other two NGA networks by the end of FY16.

- Collaborate with IC Desktop Environment Phase 2 for management of Common Operating Environment email.

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.

NGA has recently written its agency policy for the Records and Information Management (RIM) Program. The Federal Records Act amendment was included in the reference list and the copy/forward process for electronic messages is addressed in this policy.

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).

NGA is establishing Primary Information Officers (PIOs) and Information Officers (IOs) in all office elements. The RIM Program is working with assigned PIOs and IOs to establish shared folder structures to manage all record types including email that must be maintained for longer than a seven-year retention. An effort is underway to ensure procedures are established for capture and transfer of executive records to RIM storage. This is a manual effort to manage electronic records, it is intended to eventually be replaced by the implementation of an Electronic Records Management (ERM) system. The RIM Program is developing procedures and guidance for management of social media records such as texts and chat.

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 <u>have taken</u> to meet this goal.*

- Only two series contain hardcopy "paper" records, which can also include digital or film negatives

- Remainder of records control schedule is written in a media neutral style

- The retention and disposition instructions include an option for: "Recordkeeping copies (paper, negative, positives, and/or electronic.)."

- There is no need to schedule paper or non-electronic records separately, since almost all records are now produced and maintained electronically.

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

- Configure and implement an ERM to requirements of NGA's records.

- Include auto-categorization as a feature.

- Include records management metadata to capture details needed to appropriately disposition records.

6. Is your agency going to meet the *Directive* goal to manage all <u>permanent</u> 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 <u>have taken</u> to meet this goal. Include specific information on your <u>progress</u> 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 RIM program has requested approval of funding to implement ERM software. This software will provide electronic identification of permanent records

- The Records Management Program Instruction, Volumes 1 – 5 is currently in approval coordination. Volume 2 provides procedures to process retention and disposition instructions agency-wide.

- Continuous meetings are held with stakeholders, customers, and NARA to review and revise NGA records disposition and retention instructions.

- Administrative changes are worked through NARA's Electronic Records Archive web application for approval and then disseminated at NGA's Library and other applicable sites

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

The RIM program is awaiting approval of funding and implementation of an RMA application. With the inclusion of records management metadata and the auto-categorization feature, NGA will be better positioned to meet the goal to manage all permanent electronic records in an electronic format by December 31, 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.

NGA is attempting to establish the NARA Capstone method for email management without the use of an RMA functionality, as was done by NARA. Because the lack of RMA software requires the email system itself to retain the permanent Capstone user accounts, the storage cost for the email system must be programmed for such long term retention. NGA is currently setting up the Capstone approach and seeking funding for the email system long-term storage costs.

NGA has piloted electronic recordkeeping software but did not have sufficient functionality available during setup and testing to perform automated recordkeeping. Therefore, the system was dependent on the users to perform all actions to identify and file records. This in essence retained a manual approach for the users to perform the recordkeeping and eventually failed due to users not accepting the additional work required.

Currently NGA is programming funding to begin implementation of an automated enterprise ERM system in FY18. This automated approach will, if/when funded, provide auto-categorization software that would perform the tagging and filing in the background, removing this responsibility from the user. Assuming the funding becomes available, implementation would be underway but may not be fully completed before the 31 December 2019 deadline.

NGA hopes that the fact of an implementation is underway by that deadline will be acceptable to NARA.

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.*

- The NGA RIM has experienced one Presidential administration change with no resulting impact.

- Currently the RIM is engaged with the Senior Executive offices developing a records control schedule series to instruct on the proper management of these records.

- The Executive offices have designated PIO and IOs, developed Office File Plans, and have continuous interaction with the RMP.

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.*

- RIM-related questions have been included on the exit check-out sheet used by the Human Resources Directorate.

- The Capstone approach captures the email generated by seniors and is manually identified as permanent records originated by a senior.

- Improvement on all processes at the implementation of an ERM to facilitate identifying and capturing records.