Senior Agency Official for Records Management
2017 Annual Report

The OMB/NARA Managing Government Records Directive (M-12-18) requires Senior Agency Officials for Records Management (SAORM) 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 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 January 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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 nonresponding agencies in a summary report and on the website.

Instructions for Reporting

This template covers progress through December 31, 2017.
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 PRMD@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.

Provide the following information (required):

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

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)

X Yes
☐ No

The ODNI is actively discussing the acquisition and implementation of an Electronic Records Management System (ERMS) to more efficiently manage ODNI records. ODNI expects that the implementation of an ERMS will increase assurance that records maintain authenticity and reliability. The ODNI is currently working with NARA to identify U.S. Government best practices for electronic records. ODNI is also working with the Intelligence Community elements to understand their management practices and technical solutions for records management in order to assess the adoption of a common approach for ODNI records that would ensure compliance with federal requirements for the acquisition of an information system.

3. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

X Yes
☐ No

The ODNI is currently preparing to digitize its current holdings of archived material, and is developing requirements to address future holdings of archived material by establishing its own digitization process and through the acquisition of an ERMS.

4. OMB M-17-22 required agencies to create reform plans that may result in reorganizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

X Yes
☐ No

The ODNI ensures recordkeeping and records management needs are identified and accomplished through the active coordination with Component and program office leaders and staff. All ODNI personnel receive records management training when they enter on duty with the ODNI. ODNI ensures that Component leadership is aware that additional training is available upon request. Prior to leaving ODNI service or assignment, all personnel are provided guidance on the recordkeeping responsibilities of individuals departing the ODNI that includes specific guidance on the categories of official records, and directions that such records must remain in ODNI custody.

In addition, the ODNI is developing a Consolidated Records Control Schedule (CRCS) to merge office-specific scheduled items into one comprehensive ODNI schedule that is structured around the nature and topic of scheduled items that currently apply to many separate and distinct offices. ODNI anticipates that the new consolidated schedule will facilitate greater continuity of

records operations, ease administration, and allow for the necessary adjustments that any future reorganizations may require.

5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful? (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

X Yes
☐ No

As a part of the ODNI leadership role, we are in the process of developing strategies for effectively addressing cross-cutting records management issues affecting the Intelligence Community. ODNI participates in the NARA Federal Records Committee to address the 2019 OMB directive to manage all permanent electronic records by 2019. In support of this goal, ODNI established and continues to chair the Records Management Subcommittee to collaborate records management concerns throughout the IC.

Internally, ODNI is updating its file plan and is in the process of finalizing the CRCS approval and implementation plan. We continue to work closely with the IC elements to develop our long-term strategy to overcome the challenges associated with transforming hard copy records to digital and to posture the ODNI to effectively manage permanent records electronically by the end of 2019.

6. Have you, as the SAORM, ensured that 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.

X Yes
☐ No

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 addition to the training received when they enter on duty in the ODNI, senior officials receive specific training from the ODNI Records Management team to ensure their federal records management responsibilities are properly managed and preserved until their authorized disposition, to include guidance/briefings on email, the use of personal email, and the responsibilities for official records that are specific to the office and/or position of assignment.

7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)?

X Yes
☐ No

The ODNI has developed a number of key documents and guidelines to promote and uphold its information management program, and is currently strategizing the implementation of an information resource management plan or equivalent information management plan.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

In late 2017, the NARA/NIST Working Group formed by the Federal Records Management Council (FRMC) recommended that NARA partner with the National Institute of Standards and Technology (NIST) to develop a standard on Records Information Management (RIM) Systems at Federal Agencies. As ODNI begins to plan for transitioning to fully electronic recordkeeping, ODNI would strongly value the guidance such a standard would provide.

In the meantime, ODNI looks forward to the completion of the NARA Federal Integrated Business Framework (FIBF) and Use Cases for Electronic Messages that will enable the development of ODNI requirements and workflows for the future acquisition of a RIM System.