NATIONAL
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Senior Agency Official for Records Management
2020 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 important records management initiatives.

The reporting period begins on January 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 2020 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 provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

   The Office of the Director of National Intelligence (ODNI), and all of its components.

2. **Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?**

   X Yes
   ☐ No
   ☐ Do not know

   Please explain your response (include details of specific challenges, if applicable):

   ODNI records management policies and practices have remained the same during the COVID-19 pandemic. We have reiterated staff responsibilities on capturing federal records, including those created from flexible workplaces, and regarding records sent over personal email being cc'ed to an official Government account. These records are captured via the same means as before COVID-19. Practices on records management on our Government systems continue to be performed the same way as before COVID-19, even in the midst of reduced in-office staff.

   That being said, there has been a shift to working from unclassified workspaces prompting a memo to allow work from flexible workplace locations; a permanent ODNI Instruction regarding flexible workplaces and telework is in development, and has received input from the records program. Prior to COVID-19, records were largely not created from home other than occasional emails. ODNI has been developing new systems for working from flexible locations that require Records controls. Records retrieval, especially in terms of FOIA requests, have been impacted when staff were out of the office.

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

X Yes
☐ No
☐ Do not know

Please provide details on what support is needed:

The records group is in constant contact with the CIO and CDO on issues as they arise regarding data, information, and records. The records group provides guidance and input regarding records equities to offices through the ODNI. IMO has been moved to same level as the referenced offices, and has a relationship with all the referenced offices.

4. **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)**

X Yes
☐ No
☐ Do not know

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

ODNI has utilized the GSA Multiple Award Schedule category 518210ERM (Electronic Records Management Solutions) to narrow down potential vendors for an ERMS and is now actively working towards procurement. The ODNI has identified a partner agency to digitize its hard-copy records holdings, documented records program metrics and details, and are formulating an inter-agency memo reflecting this agreement. ODNI is working through the various steps which will be required to ensure all ODNI permanent records are managed in an electronic format with the appropriate metadata.

5. **Has your agency made progress towards managing all __temporary__ records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

X Yes
☐ No
☐ Do not know

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

Since 2019 the records program has become more involved in the information systems review and approvals process so that systems are built with or modified to contain the appropriate records retentions and records controls, increasing the number of managed electronic records regardless of whether the records are permanent or temporary. The steps described in question 4 regarding an ERMS and hard-copy digitization also contribute to managing temporary records.

6. **Is your agency investing resources in IT to support the transition to electronic**

recordkeeping?

X Yes
☐ No
☐ Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

During the 2020 reporting period there has been SAORM turnover at the ODNI. In late 2020 our COO (and acting SAORM, pre-designation), has been inundated with a broad range of issues that span our entire agency. The current designated SAORM is reviewing the status of the Records Program and is making determinations for investing in resources within this fiscal year related to IT. Given the classified nature of our networks, the COVID-19 pandemic has interrupted some records initiatives with mandatory workforce drawdowns. This has created opportunities for investment in records as well, including a pivot toward adopting an unclassified platform accessible from flexible workplaces being developed by the ODNI CDO. The CDO has been working closely with records personnel to ensure records are adequately captured and records controls are implemented at a system level.

7. **To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

☐ Yes
X No
☐ Do not know

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

The ODNI does not have plans to use commercial storage facilities. The ODNI does not have an agency-operated record center, and instead stores its records in partner agencies. The ODNI maintains a small Records Holding Area (RHA) on-site.

8. **Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* 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
X No
☐ Do not know

Please explain your response (include specific details of policies and procedures):

The ODNI has procedures for incoming and outgoing senior officials which include targeted briefings on their records management responsibilities and provides four instructions to ensure all personnel process into and out of the ODNI successfully and understand their responsibilities for managing Federal records. In 2020 the program met with the incoming/outgoing DNIs, Acting DNIs, PDDNIs, and their direct staff upon transition to assist in capturing and organizing their records. The records group was directly involved with the proper capture and storage of these hard-copy records. The ODNI records program is working toward establishing targeting records training for senior officials (e.g. over 130 Capstone officials) and accompanying policy to fully address this need.

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

X Yes
☐ No
☐ Do not know

Please explain your response (include details of specific challenges, if applicable):

Much like our IC partners, there are challenges associated with meeting the goal of fully-electronic recordkeeping at the ODNI due to the variety of data and quantity of systems. As SAORM, I am working with ODNI's records program to provide the appropriate number of personnel, funding for improved systems, and training at the level required to work towards overcoming these challenges. We assess with confidence we will be able to meet our Records Management challenges.

10. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

☐ Yes
X No
☐ Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):

ODNI notes and appreciates the SAORM training provided on the NARA website, the recurring SAORM webinars, and the continued availability of our NARA representatives.