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?

    Please list them below:

    National Reconnaissance Office (NRO)

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:*

    - NRO's Records Management (RM) team is working closely with Information Technology (IT) teams to include Capstone functional requirements in the new Intelligence Community Information Technology Enterprise (ICITE) solution that supports ICITE's Records Management objective*. Until NRO transitions to ICITE, NRO's email records remain accessible on email exchange servers and NRO will follow established records management Directives and Instructions for the proper disposition of electronic [email] records per NARA-approved schedules.

    - Because NRO is not scheduled to begin transition to the ICITE solution until early in 2017 NRO will not fully implement Directive Goal 1.2 by the December 31, 2016 deadline.

- NRO has drafted a new Capstone email management policy that is currently in formal coordination for agency-wide approval prior to the 31 December 2016 deadline. This email management policy follows the model of NARA's General Records Schedule (GRS) 6.1, *Email Managed Under a Capstone Approach*.

- NRO created email management training videos to help users set up automated rules in their inbox to address the capturing of email records per the Capstone approach.

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

- NRO will continue to coordinate the formal process to approve the new Capstone email management policy by 31 December 2016.

- NRO will continue to coordinate with the IT teams to include Capstone functional requirements into the ICITE solution that supports ICITE's Records Management objective*.

- The RM team will work with IT teams to develop a feasible, agency-wide email transition plan to the ICITE environment.

- NRO will develop an agency-wide Communications Pan for email management per the Capstone approach.

- NRO will include information on the Capstone approach in the annual Records and Information Management Month (RIMM) activities.

- NRO will Submit form NA-1005 to NARA to obtain approval to apply the Capstone GRS.

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.

NRO policy forbids the use of non-official accounts to conduct NRO business. Employees are also directed to create, manage and preserve records of their activities in official accounts and systems.

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).

Before the departure of senior officials, the RM staff coordinates with the office of the departing official(s) and the IT staff to capture and archive electronic records, including email calendars, and instant messages.

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 have taken to meet this goal.*

NRO has submitted and has been working closely with NARA on a complete rewrite of the NRO's Records Control Schedule (RCS). NRO has identified one additional series of records that is unscheduled. This series has been reported as part of a previous data call.

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

NRO will continue to work with NARA on the rewrite of the current RCS. NRO will also submit an RCS item for the identified unscheduled series prior to the deadline.

6. Is your agency going to meet the *Directive* goal to manage all permanent 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 have taken to meet this goal. Include specific information on your progress regarding:*

- Reviewed current RM policies (e.g., Instructions and Directives) to ensure the policies provide the proper guidance on managing electronic records. These policies effectively communicate disposition best practices, goals, and instructions to the workforce.

- Updated the storage capacity of our existing electronic content management system that is used to archive, search, and retrieve electronic records. This will ensure NRO has sufficient space to archive electronic records.

- Evaluating alternative solutions to manage records 'in place.'

- RM team is working closely with the IT teams to include function requirements in the new ICITE solution that supports ICITE's Records Management objective*.

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

- Continue to coordinate with the IT teams to include the functional requirements into the ICITE solution to support ICITE's Records Management Objective*.

- Work with IT teams to develop a feasible electronic records transition plan to the ICITE environment to meet the goals as outlined in the *Managing Government Records Directive*.

- Update file plans in order to identify current records and possible duplicate records collections.

- Develop an agency-wide Communication Plan for electronic records management of permanent and temporary records.

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.*

NRO has created and implemented a Web Based Training (WBT) Records Management module that the workforce must complete in order to maintain network access. This training informs the workforce of their records management responsibilities per laws and policies. NRO also provides a one day classroom course on records management foundations which was revised to include goals as outlined in the *Managing Government Records Directive*.

NRO is participating in the emerging ICITE solution and we are very active in ensuring ICITE's Records Management objective is realized. This objective supports "electronic records management frameworks where necessary to better enable accountability and compliance with Federal regulations throughout the records lifecycle."* NRO is depending on ICITE to provide the technical solutions to realize some of the goals (e.g., 1.1 and 1.2) outlined in the Managing Government Records Directive. Our success in reaching these goals is dependent on ICITE's implementation schedule. NRO's RM team is examining alternatives with the IT teams to meet Directive goals if ICITE implementation schedule is delayed; however, NRO's resources are limited in what the organization can utilize.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

$\boxtimes$ Yes $\square$ No

8a)   *Provide a list of the actions your agency, components, or bureaus <u>have taken</u> to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

The NRO does not have any Political Appointees and therefore does not have an expectation that the change in Presidential administration will result in the departure of senior officials.

8b)   *Provide a list of the actions your agency, components, or bureaus <u>plan to take</u> 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.*

The NRO will continue to capture the records of departing officials and interactions with the current and future Presidential administrations and manage them in accordance with the NRO's approved Records Control Schedule.

Intelligence Community Information Technology Enterprise Strategy 2016-2020, page 6, found at www.dni.gov