Senior Agency Official for Records Management
2018 Annual Report

April 30, 2019

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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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 progress through December 31, 2018.
- 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 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):

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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.

Please provide list: Central Intelligence Agency

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
Please explain your response:

In an effort to meet the OMB/NARA Directive, M-12-18: Managing Government Records, the CIA continues to focus on:

- Implementing a NARA-approved media-neutral records control schedule for permanent records into business processes.
- Conducting office inventories to identify and map permanent records to the Agency's media-neutral records control schedule.
- Applying the Information Management Approval certification process (a process which ensures Agency systems incorporate electronic recordkeeping requirements to maintain records integrity, authenticity, readability, and preservation) to new or enhanced information systems to ensure compliance with recordkeeping and legal requirements.
- Prioritizing the management of permanent electronic records as part of Next Generation Information Management (NGIM), a CIA program focused on tools and services for digital information management.
- Investing in its information management cadre, via formal and informal training, to ensure these individuals have the technical expertise to advise employees on the proper management of electronic records.
- Updating its entire data management and governance regulatory framework to ensure data is consistently, efficiently, and effectively utilized, to include proper identification and retention of records. The framework includes specific regulations and policies to ensure CIA personnel create, preserve, and disposition both paper and digital records that document the decisions, policies, procedures, and transactions of the Agency.

3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its Criteria for Successfully Managing Permanent Electronic Records (March 2018)?
X Yes
☐ No
Please explain your response:

To align with the criteria and requirements published by NARA in its Criteria for Successfully Managing Permanent Electronic Records, the CIA continues to:

- Ensure budgetary resources for managing permanent electronic records by prioritizing NGIM.
- Invest in its information management cadre, via formal and informal training, to ensure it has the technical expertise to advise the workforce on the proper management of electronic records.
- Collaborate with Information Technology (IT), Information Security, Legal, and other stakeholders to validate records schedules and identify systems containing permanent records.
- Apply the Information Management Approval certification process to new or enhanced information systems to ensure compliance with recordkeeping and legal requirements.
- Improve policies to promote integration of records management into IT system design and development.

4. As included in the Administration's Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?
The Reform Plan states:
Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.
X Yes
☐ No
Please explain your response (include specific goals and example metrics):

CIA is initiating digitization efforts for permanent records through NGIM. This involves ensuring scanned documents meet metadata and format requirements as recommended by NARA, and certifying document repositories to host scanned documents.

5. Is your agency utilizing General Service Administration's Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?
☐ Yes
X No
Please explain your response:

N/A

6. Have you, as the SAORM, established or improved your agency procedures that ensure 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, changes were unnecessary
☐ No, changes are being considered but have not been made
☐ No
Please explain your response:

CIA continues to improve its procedures to ensure 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. In addition, all new employees have access to records management training during the Agency on-boarding process and web-based training is available to everyone.

7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management)
X Yes
☐ No
Please explain your response:

CIA prioritizes records management in numerous ways. The information management program falls under the Chief Data Officer. Records management resources are built into CIA's budget and data strategy, as well as integrated into CIA's data governance structure.

8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See NARA Bulletin 2017-01: Agency Records Management Training Requirements)
X Yes
☐ No
Please explain your response:

CIA has web-based training available to all personnel, briefings for seniors, and more in-depth training for those with records management roles.

9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?
X Yes
☐ No
Please explain your response:

CIA's records management staff evaluates records through the Mission Records Inventory (MRI), a process that supports proper recordkeeping by reviewing office workflows and determining the types of records an office holds. The MRI provides guidance on proper recordkeeping and disposition. Additionally, the Agency utilizes an Information Management Approval (IMA) process that ensures systems holding electronic records are designed and maintained to properly meet records management requirements and integrates records management requirements into the information security authorization process.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?
X Yes
☐ No
Please explain your response:

CIA looks forward to NARA'S approval of CIA's two outstanding records schedules. Between 2011 and 2014, CIA submitted five media-neutral, flexible records control schedules to NARA. The five schedules cover the following retention periods:

- 3 Years (not yet approved)
- 10 Years (not yet approved)
- 30 Years (approved on 03/19/2018)
- 75 Years (approved on 01/19/2017)
- Permanent (approved on 05/26/2015)