

*Senior Agency Official for Records Management  
2016 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*, 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 January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

#### Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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](mailto:PRMD@nara.gov). Include the words "SAORM annual report" 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):

- Name of SAORM – *Andrew Hallman*
- Position title – *Deputy Director of CIA for Digital Innovation*
- Address – *Central Intelligence Agency, Washington, D.C. 20505*
- Office telephone number
- Email

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

*Central Intelligence Agency*

**2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

- Yes  
 No

If No, please list and explain which part of your agency or components did not meet the deadline?

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*)

**3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

- Yes  
 No

*Between 2011 and 2014, CIA submitted five media-neutral flexible records control schedules to NARA. The five schedules cover the following retention periods:*

- *Permanent (delivered to NARA 10/13/2011 – approved on 05/26/2015)*
- *75 Years (delivered to NARA on 08/08/2012 – approved on 01/19/2017)*
- *30 Years (delivered to NARA on 10/03/2012 – but not yet approved)*
- *10 Years (delivered to NARA on 04/29/2014 – but not yet approved)*
- *3 Years (delivered to NARA on 09/04/2014 – but not yet approved)*

If No, please list which part of your agency or components did not and why?

**4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

Yes

No

If Yes, please describe this progress.

*To meet the OMB/NARA Directive, M-12-18: Managing Government Records, the CIA continues to:*

- *Implement a NARA-approved media neutral records control schedule for permanent records into business processes.*
- *Conduct office inventories to identify and map permanent records to the Agency's media neutral records control schedule.*
- *Apply the Information Management Approval (IMA) certification process<sup>1</sup> to new or enhanced Agency information systems to ensure compliance with recordkeeping and legal requirements.*
- *Prioritize the management of permanent electronic records "in place" as part of Next Generation Information Management (NGIM), a CIA program focused on projects and services for digital information management.*
- *Invest in its information management cadre, via formal and informal training, to ensure they have the technical expertise to advise employees on the proper management of electronic records.*

If No, please list which part of your agency or components did not and why?

**5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or**

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<sup>1</sup> Information Management Approval certification is a process to ensure Agency systems incorporate electronic recordkeeping requirements to maintain records integrity, authenticity, readability, and preservation.

other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes

No

Please describe your specific plans or actions.

*CIA's Information Management Services (IMS) initiated digitization efforts for permanent records through its Next Generation Information Management (NGIM) program. This involved ensuring scanned documents met metadata and format requirements as recommended by NARA, and the certifying of a document repository to host scanned documents.*

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

Yes

No

If Yes, please describe what steps have been taken.

*While continuing our legacy of managing paper records, CIA has increased our focus on managing digital records. Between 2011 and 2014, CIA submitted five media-neutral flexible records control schedules to NARA (two of which have been approved by NARA, and three of which are awaiting approval). The approved media-neutral schedules are being implemented into business processes. CIA designated a senior agency official for records management (SAORM) who holds the position of Deputy Director of CIA for Digital Innovation, which underscores our goal for managing records electronically. CIA established a Next Generation Information Management (NGIM) program to, among other objectives, ensure continued ability to track and manage records as the Agency transforms to a digital organization. The CIA also continues its long-standing commitment to records management by maintaining a professional staff of records managers and providing training courses on records management concepts.*