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## ***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](mailto:prmd@nara.gov). Include the words “SAO annual report” and your agency’s name in the subject line of the email.

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- 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 SAO:

Position title:

Address:

Office telephone number:

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

*Please list them below:*

***Central Intelligence Agency (CIA)***

2. Is your agency going to meet the *Directive* goal to manage all email 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 progress regarding:*

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email,*
- *providing access / retrievability of your email,*
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*

- possible implementation of the Capstone approach for applicable agency email.

***CIA captures and manages all email records electronically in accordance with applicable records management requirements, including the capability to identify, retrieve, and retain the records for as long as they are needed. Current business practice is to retain email records indefinitely until they are dispositioned in accordance with applicable records schedules (to include a schedule for email records managed electronically, once approved by NARA).***

***In January 2014, CIA submitted to NARA a SF115 (Request for Disposition Authority) for Non-Senior Email, which aligned to Capstone's role-based email approach. In consequence of an Agency-wide reorganization, the SF115 request (N1-263-14-01) was formally withdrawn.***

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

***CIA will continue to capture and manage email records electronically to support Agency mission, and comply with records management requirements. A new agency-specific records control schedule will be submitted to NARA for email records.***

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

***The 2014 amendments to the Federal Records Act are still being incorporated into CIA corporate regulations and policy.***

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).

*Emails created or received by CIA employees while conducting official Agency business on the Agency's secure email system are captured and managed electronically by CIA. With respect to all other electronic messages used to conduct official Agency business, CIA policy requires users to ensure that electronic messages of record value are saved and stored in an appropriate CIA electronic recordkeeping system or printed to paper and filed appropriately to be maintained in accordance with applicable records control schedules.*

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.

*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 - but not yet approved)*
- *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)*

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

*The absence of NARA-approved media neutral schedules has limited CIA's ability to fully implement a cost-effective electronic records management program. CIA's top records management priority is to implement the new flexible schedules in order to effect disposition and preservation of records, regardless of medium. In preparation for the transition to media-neutral schedules, the Agency has developed appropriate training for Agency employees.*

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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:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

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

- ***Revise CIA corporate policies and regulations to support changes in recordkeeping requirements.***
- ***Apply the information management (IM) approval certification process<sup>1</sup> to new or enhanced Agency information systems to ensure compliance with recordkeeping and legal requirements.***
- ***Conduct office records inventories to identify and map permanent records to the Agency's flexible records control schedule.***
- ***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.***
- ***Outsource some more traditional paper-based archiving tasks to contractors so staff employees can focus on pressing electronic recordkeeping matters.***
- ***Help craft the Abstract Data Definition for Electronic Records Management (ADD-ERM) to define the common conceptual data elements and support the management of record information in the Intelligence Community (IC).***
- ***Establish a program called Next Generation Information Management (NGIM) to lay the foundation for the digital world.***

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<sup>1</sup> The Information Management Approval certification is a process to ensure the records integrity, authenticity and readability; to bind the metadata to the record object; and have the ability to apply disposition to those records. In the case of Permanent records, to ensure there is a migration plan when the system is sunset.

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

**CIA plans to:**

- *Continue to formally document the storage of permanent records (electronic and hard copy) to ensure their integrity, authenticity, and preservation.*
- *Continue to conduct office records inventories to identify and map permanent records to the Agency's flexible records control schedule.*
- *Continue to apply the IM approval certification process to new or enhanced Agency information systems to ensure compliance with recordkeeping and legal requirements.*
- *Where practical, convert permanent records from legacy formats (e.g., paper, microform/microfiche) to electronic form.*

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

*One of CIA's top priorities is to transition from paper-based records management to electronic records. In support of this effort, the Agency established the Next Generation Information Management (NGIM) program.*

**Key initiatives of NGIM include:**

- *Building a suite of "services" to lay the foundation for the digital world;*
- *Seamlessly embedding policies, processes, tools, and workflow into mission and business systems to facilitate efficient categorization, metadata, storage, access, and disposition of digital information (in accordance with a NARA-approved records control schedule); and*
- *Expanding the use of machine learning and natural language processes to identify and categorize electronic records.*

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

Yes

No

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

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***Past actions included having a Records Manager on transition task forces to ensure policies were followed.***

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

***CIA will assign a Records Manager to participate on the transition task forces to ensure records of departing senior officials are properly managed. These actions are in addition to the guidance and support already provided to senior officials by existing records managers embedded in CIA offices.***

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