



***Senior Agency Official for Records Management***  
***2017 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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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. 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):

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

*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)**

Yes  
 No

*Please explain your response:*

*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 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.*

*(Continued on next page)*

- *Update its entire data management and governance regulatory framework under the auspices of its Chief Data Officer (CDO) (who is also CIA's SAORM) to ensure data is consistently, efficiently and effectively utilized, to include proper identification and*

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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.

*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. The CDO is developing a five year plan to implement the CIA Data Strategy Principles that were formally approved by CIA's Corporate Board. A key principle of this strategy is to ensure that data is consistently managed, protected and accessible regardless of where it resides*

- 3. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes  
 No

*Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.*

*CIA's Information Management Services (IMS) has initiated digitization efforts for permanent records through our Next Generation Information Management (NGIM) program. This involves ensuring scanned documents meet metadata and format requirements as recommended by NARA, and certifying of document repositories to host scanned documents. As the volume of permanent records increases, resource constraints may limit how quickly digitization efforts can be completed.*

- 4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

Yes  
 No

*Please explain your response:*

*(Response on next page)*

*Information Management Services (IMS) promotes Records Management requirements and training Agency wide. As deployed officers, they work directly with directorates, mission centers, and offices staying informed of organizational changes. This allows them to stay agile and strategically respond to changes in office structures and more effectively manage records regardless of reorganizations. IMS is developing a single communication interface to respond to*

*office inquiries related to information management. Deployed officers also anticipate office moves to ensure records are maintained appropriately*

- 5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful? (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02.html>)**

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 our budget and data strategy, as well as integrated into our data governance structure. In addition, we have established records management campuses as an effective strategy for communicating key records management criteria and initiatives, and to ensure consistent records management practices across the Agency.*

- 6. Have you, as the SAORM, ensured that 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.

Yes

No

*Please explain your response:*

*The Agency utilizes in-briefing and out-briefing communication opportunities to inform senior leaders of their records management responsibilities. Our campus leadership is chiefly responsible for coordinating and communicating with senior officials on their records management responsibilities.*

- 7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

Yes  
 No

Please explain your response:

*CIA has a policy that requires all systems to be certified against a records management compliance schema. This aligns to the requirements of OMB Circular A-130.*

**8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

*CIA looks forward to the approval of our 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:*

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

*Additionally, CIA would like to have Top Secret network connectivity in place to better facilitate interactions between NARA and the Intelligence Community. CIA recommends NARA and ISOO work to formally streamline and consolidate annual compliance reports. In some cases, reports ask for duplicative information.*