

## Senior Agency Official for Records Management 2019 Annual Report

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.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.

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 [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov). Include the words "SAORM 2019 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.

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 managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)

Yes

No

Please explain your response:

- [CIA is managing its permanent electronic records in an electronic format to the fullest extent possible.](#)
- [Email systems manage and preserve email in an electronic format in accordance with our approved](#)

email management schedule.

- CIA has internal controls to ensure the reliability, integrity, and usability of Agency electronic records maintained in our electronic information systems.
- CIA's records management accreditation approval process ensures records management functionality is incorporated into the design, development, and implementation of Agency electronic information systems.

3. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

Yes

No

Please explain your response (include specific goals and example metrics):

The CIA has made progress toward managing permanent records in an electronic format. The Agency:

- Invested in the information management cadre, via formal and informal training, to ensure records management officers have the technical expertise to advise the workforce on the proper management of electronic records.
- Prioritized the management of permanent electronic records as part of a CIA program focused on tools, services, and capabilities services for digital information management.
- Embedded data management officers with mission partners.
- Communicated and implemented data strategy to the workforce.
- Hired additional records management staff.
- Worked with mission partners to ensure developing systems comply with records management laws and policies.
- Launched a digitization and cataloging strategy.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

Yes

No

Please explain your response (include specific goals and example metrics):

The CIA manages a substantial number of electronic temporary records with the commitment to further develop the tools and services needed to manage those records in a completely electronic environment. These efforts include digitization, the use of a data layer to ensure records are managed throughout their lifecycles, increasing records management staff, and use of records management metadata services.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

Yes

No

Please explain your response (include specific goals and example metrics):

CIA's SAORM has and continues to take steps to ensure that the CIA maintains a robust records management program that complies with the Federal Records Act, the Code of Federal Regulations, Office of Management

and Budget directives, and NARA mandates through strategic plans that include performance goals, objectives, and measures. The CIA has designated a SAORM and an ARO. Additionally, we have recently completed a comprehensive update to our NARA-approved records schedules and all of our records are covered by a NARA-approved records schedule.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

Yes

No

Please explain your response (include specific goals and example metrics):

CIA continues to maintain and operate a records center. CIA is improving its management of electronic records, implementing its strategic initiative for our records center, and increasing digitization efforts. It is our goal to stop accepting temporary records at our agency-operated records center. However, CIA may request an exception “under paragraph 2.2” once NARA provides guidance on this process. It is not feasible for CIA to close its records center and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities until such facilities have secured environments, procedures, and cleared personnel to house compartmented records. The cost and challenges of fully electronic recordkeeping may exceed NARA’s reported benefits of doing so.

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

\*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 (include specific details of procedures):

The exit process for departing senior officials includes engagement with records and information management staff, who review and approve the removal of personal papers.

8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

Yes

No

Please explain your response (include details of specific challenges, if applicable):

The CIA manages a significant number of records in an electronic format and there are ongoing efforts to use technology, develop tools, and provide services needed to fully, electronically manage CIA records. However, hard copy records are voluminous and the resources required to meet the goal of fully-electronic recordkeeping make the NARA-directed timeframe of 31 December 2022 timeframe untenable and unrealistic.

9. Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?

Yes

No

Please provide details on what support is needed:

NARA needs to define “commercial storage facility” and provide metrics—to include cost/benefit analysis—to support the idea that moving to a commercial storage facility for CIA will be more cost-effective than the Agency’s current records center. CIA looks forward to receiving the new electronic standards for the digitization of records which are scheduled to be issued by 30 September 2020. Once new standards are issued, NARA could support implementation by permitting additional time for agencies to become compliant.