

Initial Report

1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(c))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes	[Redacted]	1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

2. Please provide the person's name, position title, and office.

Text Response

Nancy Morgan, Director, Information Management Services

3. Does your agency have a Senior Agency Official for Records Management (SAORM)? (If you are a component of a department, you may answer "Yes" being done at the component level.)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes	[Redacted]	1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

4. Does your Agency Records Officer meet regularly (four or more times a year) with the SAORM to discuss the agency records management program's progress?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes	[Redacted]	1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

5. Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? (36 CFR 1220.34(d))

#	Answer	Bar
1	<input checked="" type="checkbox"/> Yes	[Redacted]
2	<input checked="" type="checkbox"/> No	
3	<input checked="" type="checkbox"/> Do not know	
4	<input checked="" type="checkbox"/> Not applicable, agency has less than 100 employees	
5	<input checked="" type="checkbox"/> Not applicable, Department Records Officer - this is done at the component level	
Total		

6. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes	[Redacted]	1
2	<input checked="" type="checkbox"/> No, pending final approval		0
3	<input checked="" type="checkbox"/> No, under development		0
4	<input checked="" type="checkbox"/> No		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

7. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?

#	Answer	Bar
1	<input checked="" type="checkbox"/> FY 2018 - present	[Redacted]
2	<input checked="" type="checkbox"/> FY 2016 - 2017	
3	<input checked="" type="checkbox"/> FY 2014 - 2015	
4	<input checked="" type="checkbox"/> FY 2013 or earlier	

5	<input checked="" type="checkbox"/> Do not know
6	<input checked="" type="checkbox"/> Not applicable, agency does not have a records management directive
Total	

8. Does your agency have internal records management training*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency or use of an agency-customized Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
6	<input checked="" type="checkbox"/> Not applicable, please explain		0
Total			1

Not applicable, please explain

9. Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policies and directives, covering records in all formats and communications such as email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications, which help employees and contractors fulfill their recordkeeping responsibilities? ** (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized for your agency or use of an agency-customized version of the Federal Records Officer Network (FRON) RM 101 course. **Components of departmental training should be included in the response. "Yes" if this is handled by the department. Department Records Officers may answer "Yes" if this is handled at the component level.

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		0
2	<input checked="" type="checkbox"/> No		1
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

10. Does your agency require that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of managing records under their immediate control? (36 CFR 1220.34(f))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		0
2	<input checked="" type="checkbox"/> No		1
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

11. Please add any additional comments about your agency for Section I: Activities. (Optional)

Text Response

Regarding questions 9 and 10, CIA has not instituted mandatory records management training; however, CIA does have comprehensive introductory web-based training and it is made available at new hire orientation. CIA also offers additional training on records control schedule, records inventories and system approvals, classification, and other topics, as well as an instructor-led class on the records control schedule. In addition, records management professionals meet with incoming and outgoing records management responsibilities.

12. In addition to your agency's established records management policies and records schedules, has your agency's records management program implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e)) **These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) should not be considered when responding to this question. *Examples of records management internal controls include but are not limited to: Regular meetings with records creators · Monitoring and testing of file plans · Regular review of records inventories · Internal tracking database of records · Regular review of records inventories · Approval process for disposal notices from off-site storage · Pre-authorization from records management authorities and dates

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

13. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are not destroyed before the end of their retention period? (36 CFR 1222.26(e)) **These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question. *Examples of records management internal controls include but are not limited to: Regular review of records inventories · Approval process for disposal notices from off-site storage · Pre-authorization from records management authorities and dates · Regular review of records inventories · Approval process for disposal notices from off-site storage · Pre-authorization from records management authorities and dates · Regular review of records inventories · Approval process for disposal notices from off-site storage · Pre-authorization from records management authorities and dates · Regular review of records inventories · Approval process for disposal notices from off-site storage · Pre-authorization from records management authorities and dates

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

14. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and applicable records management laws and regulations? (36 CFR 1220.34(j)) **For this question, your agency's records management program, or a major program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your records) must be the primary focus of the inspection/audit/review.

#	Answer	Bar
1	<input checked="" type="checkbox"/> Yes, evaluations are conducted by the Records Management Program	
2	<input checked="" type="checkbox"/> Yes, evaluations are conducted by the Office of Inspector General	
3	<input checked="" type="checkbox"/> Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General	
4	<input checked="" type="checkbox"/> Yes, evaluations are conducted by:	
5	<input checked="" type="checkbox"/> No, please explain	
6	<input checked="" type="checkbox"/> Do not know	
Total		
Yes, evaluations are conducted by:		No, please explain

15. How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)?

#	Answer	Bar
1	<input checked="" type="checkbox"/> Annually	
2	<input checked="" type="checkbox"/> Biennially	
3	<input checked="" type="checkbox"/> Once every 3 years	
4	<input checked="" type="checkbox"/> Ad hoc	
5	<input checked="" type="checkbox"/> Do not know	
6	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program	
Total		

16. Was a formal report written and subsequent plans of corrective action created and monitored for implementation as part of the most recent inspection? (Choose all that apply)

#	Answer	Bar
1	<input checked="" type="checkbox"/> Yes, formal report was written	
2	<input checked="" type="checkbox"/> Yes, plans of corrective action were created	
3	<input checked="" type="checkbox"/> Yes, plans of corrective action were monitored for implementation	
4	<input checked="" type="checkbox"/> No	
5	<input checked="" type="checkbox"/> Do not know	
6	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program	

17. Has your agency established performance goals for its records management program? *Examples of performance goals include but are not limited to: Planning and scheduling all paper and non-electronic records by the end of FY 2018 · Developing computer-based records management training modules by the end of FY 2019 · Planning and piloting an electronic records management solution for email by the end of FY 2019 · Updating records management policies · Conducting records management evaluations of at least one program area each quarter

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Pending final approval		0
4	<input checked="" type="checkbox"/> Currently under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

18. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, records transfers, etc.? *Examples of performance measures include but are not limited to: Percentage of agency employees that receive records management training in a year · A reduction in the volume of inactive records stored in office space · Percentage of eligible permanent records transferred to off-site storage · Percentage of records scheduled · Percentage of offices evaluated/inspected for records management compliance · Percentage of email management rates · Development of new records management training modules · Audits of internal systems · Annual updates of file plans · Performance measures to ensure records are captured · Percentage of records successfully retrieved by Agency FOIA Officer in response to FOIA

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Pending final approval		0
4	<input checked="" type="checkbox"/> Currently under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

31

19. Does your agency's records management program have documented and approved policies and procedures that instruct staff on how your agency in all formats must be managed and stored? (36 CFR 1222.34(e))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

20. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16) *Components of departmental agencies this is handled by the department.

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

21. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Annually		0
2	<input checked="" type="checkbox"/> Biennially		0
3	<input checked="" type="checkbox"/> Once every 3 years		0
4	<input checked="" type="checkbox"/> Ad hoc		1
5	<input checked="" type="checkbox"/> Never		0
6	<input checked="" type="checkbox"/> Do not know		0
Total			1

22. Is your vital records plan part of the Continuity of Operations (COOP) plan?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

23. Records needed to respond to a FOIA request are readily accessible and located by staff responsible for FOIA:

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Always		0
2	<input checked="" type="checkbox"/> Most of the time		1
3	<input checked="" type="checkbox"/> Some of the time		0
4	<input checked="" type="checkbox"/> Never		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

24. At what point in the FOIA process does your agency inform requesters of the Office of Government Information Services' (OGIS) dispute resolution that apply)

#	Answer	Bar
1	<input checked="" type="checkbox"/> When there is an adverse determination	
2	<input checked="" type="checkbox"/> When notifying the requester that the agency needs more than 10 additional days to process a request	
3	<input checked="" type="checkbox"/> When responding to the requester's appeal	
4	<input checked="" type="checkbox"/> Never	
5	<input checked="" type="checkbox"/> Do not know	
6	<input checked="" type="checkbox"/> Other, please explain	

Other, please explain

CIA includes notice of OGIS' dispute resolution services in FOIA response letters that contain appeal rights.

25. How often does the FOIA program submit to agency leadership reports on such measures as pending requests and backlog?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Annually		0
2	<input checked="" type="checkbox"/> Quarterly		0
3	<input checked="" type="checkbox"/> Monthly		1
4	<input checked="" type="checkbox"/> Weekly		0
5	<input checked="" type="checkbox"/> Never		0
6	<input checked="" type="checkbox"/> Other, please explain		0
Total			1

Other, please explain

26. Do your agency's employee performance work plans and appraisals include FOIA performance measures for non-FOIA professionals to ensure requirements of FOIA? (Note: The 2016-2018 term of the Freedom of Information Act Advisory Committee endorsed inclusion of FOIA performance standards in employee evaluations and work plans government-wide.)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		0
2	<input checked="" type="checkbox"/> No, please explain		1
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

No, please explain

CIA attorneys and public professionals have taken efforts to sensitize components to the Agency's statutory requirements under the FOIA. Briefings were provided to senior officers, executive assistants, and records managers, and web-based courses were provided to the workforce. FOIA-related performance standards are included in the objectives of employees who administer the FOIA.

27. Does your agency have procedures for preparing documents for posting on FOIA reading rooms? (Note: The FOIA Improvement Act of 2016 amended the Federal Records Act, 44 U.S.C., to include a requirement that agencies establish "procedures for identifying records of general interest or use to the public for public disclosure, and for posting such records in a publicly accessible electronic format." This requirement is now included in 5 U.S.C. 552(a)(7)(D).)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

28. Who is responsible for preparing the documents for posting? (Choose all that apply)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> FOIA staff		1
2	<input checked="" type="checkbox"/> Program staff		0
3	<input checked="" type="checkbox"/> IT/web staff		0
4	<input checked="" type="checkbox"/> Other, please explain		0
5	<input checked="" type="checkbox"/> Do not know		0

Other, please explain

29. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)

Text Response

30. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> FY 2017 - 2018		1
2	<input checked="" type="checkbox"/> FY 2015 - 2018		0
3	<input checked="" type="checkbox"/> FY 2013 - 2014		0
4	<input checked="" type="checkbox"/> FY 2011 - 2012		0
5	<input checked="" type="checkbox"/> FY 2010 or earlier		0
6	<input checked="" type="checkbox"/> Do not know		0
Total			1

31. Are records and information in your agency managed throughout the lifecycle [creation/capture, classification, maintenance, retention, and disposal] in accordance with the National Archives and Records Administration (NARA) records management standards?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> To some extent		0
3	<input checked="" type="checkbox"/> No		0
4	<input checked="" type="checkbox"/> Do not know		0
	Total		1

32. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))

#	Answer	Bar	Res
1	<input checked="" type="checkbox"/> All records are easily retrievable and accessible when needed		
2	<input checked="" type="checkbox"/> Most records can be retrieved and accessed in a timely manner		
3	<input checked="" type="checkbox"/> Some records can be retrieved and accessed in a timely manner		
4	<input checked="" type="checkbox"/> No		
5	<input checked="" type="checkbox"/> Do not know		
Total			

33. Does your agency disseminate every approved disposition authority (including newly approved records schedules and General Records Schedule within six months of approval? (36 CFR 1226.12(a))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

34. In addition to your agency's records management policies and records schedules, has your agency developed and implemented internal controls to ensure permanent records are created/captured, classified, filed and managed according to their NARA-approved records schedules? (36 CFR 1226.12(a))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

35. Did your agency transfer permanent non-electronic records to NARA during FY 2018? (36 CFR 1235.12)

#	Answer	Bar	Res
1	<input checked="" type="checkbox"/> Yes		
2	<input checked="" type="checkbox"/> No		
3	<input checked="" type="checkbox"/> No - No records were eligible for transfer during FY 2018		
4	<input checked="" type="checkbox"/> No - New agency, records are not yet old enough to transfer		
5	<input checked="" type="checkbox"/> No - My agency does not have any permanent non-electronic records		
6	<input checked="" type="checkbox"/> Do not know		
7	<input checked="" type="checkbox"/> Other, please explain		
Total			

Other, please explain

36. Did your agency transfer permanent electronic records to NARA during FY 2018? (36 CFR 1235.12)

#	Answer	Bar	Res
1	<input checked="" type="checkbox"/> Yes		
2	<input checked="" type="checkbox"/> No		
3	<input checked="" type="checkbox"/> No - No electronic records/systems were eligible for transfer during FY 2018		
4	<input checked="" type="checkbox"/> No - New agency, electronic records/systems are not old enough to transfer		
5	<input checked="" type="checkbox"/> No - My agency does not have any permanent electronic records		
6	<input checked="" type="checkbox"/> Do not know		
7	<input checked="" type="checkbox"/> Other, please explain		
Total			

Other, please explain

37. Does your agency conduct and document for accountability purposes training and/or other briefings as part of the on-boarding process for senior records management roles and responsibilities, including the appropriate disposition of records and the use of personal and unofficial email accounts? (36 CFR 1230.10(a & b))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> Yes, but not documented		0
3	<input checked="" type="checkbox"/> No		0

#	Answer	Bar	Response
4	<input type="checkbox"/> Do not know		0
5	<input checked="" type="checkbox"/> Not applicable, please explain		0
Total			1
Not applicable, please explain			

38. Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in on-boarding briefings or other processes for new officials?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		0
2	<input checked="" type="checkbox"/> No		1
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

39. Does your agency conduct and document for accountability purposes exit briefings for departing senior officials on the appropriate disposition of email, under their immediate control? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> Yes, but not documented		0
3	<input checked="" type="checkbox"/> No		0
4	<input checked="" type="checkbox"/> Do not know		0
5	<input checked="" type="checkbox"/> Not applicable, please explain		0
Total			1

Not applicable, please explain

40. Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for officials?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

41. Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) review removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No, please explain		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

No, please explain

42. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)

Text Response

Regarding #32, most records can be retrieved and accessed in a timely manner; some take more time. Regarding #40, onsite records management experts provide briefings to senior managers and inform SAORM and ARO.

43. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic information systems? (36 CFR 1236.10)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> To some extent		0
3	<input checked="" type="checkbox"/> No		0
4	<input checked="" type="checkbox"/> Do not know		0
5	<input checked="" type="checkbox"/> Not applicable, please explain		0
Total			1

Not applicable, please explain

44. Does your agency have documented and approved procedures to enable the migration of records and associated metadata to new storage media records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.10)

#	Answer	Bar	Response
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#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

45. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved authority? (36 CFR 1236.26(a))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No, please explain		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

No, please explain

46. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.26(a))
 of departmental agencies may answer "Yes" if this is handled by the department.

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No, please explain		0
3	<input checked="" type="checkbox"/> Do not know		0
4	<input checked="" type="checkbox"/> Not applicable, please explain		0
Total			1

No, please explain

Not applicable, please explain

47. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> To some extent		0
3	<input checked="" type="checkbox"/> No, please explain		0
4	<input checked="" type="checkbox"/> Do not know		0
5	<input checked="" type="checkbox"/> Not applicable, please explain		0
Total			1

No, please explain

Not applicable, please explain

48. Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the solution? (Choose all that apply)

#	Answer	Bar
1	<input checked="" type="checkbox"/> Participate in review and acceptance of proposals for new systems	
2	<input checked="" type="checkbox"/> Participate as stakeholder in requirements gathering	
3	<input checked="" type="checkbox"/> Participate as stakeholder in the design phase	
4	<input checked="" type="checkbox"/> Participate as stakeholder in the development phase including testing the system	
5	<input checked="" type="checkbox"/> Provide sign off authority for the implementation of new systems	
6	<input checked="" type="checkbox"/> Monitor system for adherence to standards, policies, and procedures	
7	<input checked="" type="checkbox"/> Provide information only	
8	<input checked="" type="checkbox"/> Do not know	
9	<input checked="" type="checkbox"/> Other, please explain	

Other, please explain

49. Does your agency have documented and approved policies requiring permanent electronic records be managed in an electronic format for eventual transfer to NARA?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

50. Do the policies include requirements for preserving records until eligible for transfer to NARA?

#	Answer	Bar	Response
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#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes	[REDACTED]	1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

51. Does your agency have a process or strategy for managing permanent electronic records, and related metadata, in an electronic form?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

52. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

53. Does your agency have a digitization strategy to reformat permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog audio)?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> To some extent		0
3	<input checked="" type="checkbox"/> No		0
4	<input checked="" type="checkbox"/> Do not know		0
Total			1

54. Does your agency use cloud services for any of the following? (Choose all that apply)

#	Answer	Bar
1	<input checked="" type="checkbox"/> Email	
2	<input checked="" type="checkbox"/> Communication tools other than email (calendars, messaging apps, etc..)	
3	<input checked="" type="checkbox"/> Administrative functions such as payroll, purchasing, and financial management	
4	<input checked="" type="checkbox"/> Mission/program-related functions	
5	<input checked="" type="checkbox"/> Customer Relationship Management	
6	<input checked="" type="checkbox"/> Case management	
7	<input checked="" type="checkbox"/> Office tools/software	
8	<input checked="" type="checkbox"/> Streaming services	
9	<input checked="" type="checkbox"/> Other, please explain	
10	<input checked="" type="checkbox"/> My agency does not use cloud services	
11	<input checked="" type="checkbox"/> Do not know	
Other, please explain		

55. Does your agency have documented and approved policies for cloud service use that includes recordkeeping requirements and handling of Federal records?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
6	<input checked="" type="checkbox"/> Not applicable, my agency does not use cloud services		0
Total			1

56. Does your agency have documented and approved policies and procedures in place to manage email records that have a retention period longer than 1236.22?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1

#	Answer	Bar	Response
2	<input checked="" type="checkbox"/> No, please explain		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1
No, please explain			

57. Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records NARA Bulletin 2018-01: Format Guidance for the Transfer of Permanent Electronic Records – Appendix A: Tables of File Formats, Section 9 - Email? (

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

58. Does your agency have documented and approved policies that address when employees have more than one agency-administered email account records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22) *Examples of business needs may include but are not limited to: separate accounts for public and internal correspondence; Creating accounts for a specific agency initiative which may have multiple users; Using classified information and unclassified information

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

59. Does your agency have documented and approved policies that address the use of personal email accounts, whether or not allowed, that state that records received by such accounts must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received on these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation of the record? (36 CFR 1236.22(b) and P.L. 113-187)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

60. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and a complete copy of email messages that are Federal records? (36 CFR 1236.22(a)(3))

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

61. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Captured and stored in an email archiving system		0
2	<input checked="" type="checkbox"/> Captured and stored in an electronic records management system		0
3	<input checked="" type="checkbox"/> Captured and stored as personal storage table (.PST) files		0
4	<input checked="" type="checkbox"/> Print and file		0
5	<input checked="" type="checkbox"/> Not captured and email is managed by the end-user in the native system		0
6	<input checked="" type="checkbox"/> Other, please be specific:		1
Other, please be specific:			

62. What percentage of your email systems are cloud-based solutions?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> 100%		0
2	<input checked="" type="checkbox"/> 75%		0
3	<input checked="" type="checkbox"/> 50%		0
4	<input checked="" type="checkbox"/> 25%		0
5	<input checked="" type="checkbox"/> Less than 25%		0
6	<input checked="" type="checkbox"/> My agency does not use cloud services for email		1

#	Answer	Bar	Response
7	<input checked="" type="checkbox"/> Do not know		0
	Total		1

63. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> Do not know		0
Total			1

64. How often does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Annually		1
2	<input checked="" type="checkbox"/> Biennially		0
3	<input checked="" type="checkbox"/> Once every 3 years		0
4	<input checked="" type="checkbox"/> Ad hoc		0
5	<input checked="" type="checkbox"/> Do not know		0
Total			1

65. Does your agency have documented and approved policies and procedures in place to manage electronic messages including text messages, chat voice messages, and messages created in social media tools or applications?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes		1
2	<input checked="" type="checkbox"/> No		0
3	<input checked="" type="checkbox"/> No, pending final approval		0
4	<input checked="" type="checkbox"/> No, under development		0
5	<input checked="" type="checkbox"/> Do not know		0
6	<input checked="" type="checkbox"/> Other, please explain		0
Total			1

Other, please explain

66. In which of the following areas does your agency have challenges with managing permanent electronic records, and related metadata, in an electronic format that apply)

#	Answer	Bar
1	<input checked="" type="checkbox"/> Email	
2	<input checked="" type="checkbox"/> Communication tools other than email (calendars, messaging apps, etc.)	
3	<input checked="" type="checkbox"/> Administrative functions such as payroll, purchasing, and financial management	
4	<input checked="" type="checkbox"/> Mission/program-related functions	
5	<input checked="" type="checkbox"/> Customer Relationship Management	
6	<input checked="" type="checkbox"/> Case management	
7	<input checked="" type="checkbox"/> Office tools/software	
8	<input checked="" type="checkbox"/> Streaming services	
9	<input checked="" type="checkbox"/> Other, please explain	
10	<input checked="" type="checkbox"/> My agency does not have challenges managing permanent electronic records and related metadata	
11	<input checked="" type="checkbox"/> Do not know	

Other, please explain

Regarding #66, CIA continues to make progress in managing permanent electronic records by incorporating records management requirements, policies, and processes into tools and systems.

67. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)

Text Response

68. How many full-time equivalents (FTE) are in your agency/organization?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> 500,000 or more FTEs		0
2	<input checked="" type="checkbox"/> 100,000 - 499,999 FTEs		0
3	<input checked="" type="checkbox"/> 10,000 - 99,999 FTEs		0
4	<input checked="" type="checkbox"/> 1,000 - 9,999 FTEs		0
5	<input checked="" type="checkbox"/> 100 - 999 FTEs		0
6	<input checked="" type="checkbox"/> 1 - 99 FTEs		0

#	Answer	Bar	Response
7	X Not Available		1
	Total		1

69. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Senior Agency Official	[Redacted]	1
2	<input checked="" type="checkbox"/> Office of the General Counsel	[Redacted]	0
3	<input checked="" type="checkbox"/> Program Managers	[Redacted]	1
4	<input checked="" type="checkbox"/> FOIA Officer	[Redacted]	1
5	<input checked="" type="checkbox"/> Information Technology staff	[Redacted]	1
6	<input checked="" type="checkbox"/> Records Liaison Officers or similar	[Redacted]	1
7	<input checked="" type="checkbox"/> Administrative staff	[Redacted]	0
8	<input checked="" type="checkbox"/> Other, please be specific:	[Redacted]	0
9	<input checked="" type="checkbox"/> None	[Redacted]	0

Other, please be specific:

70. How much time did it take you to gather the information to complete this self-assessment?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Under 3 hours	[Redacted]	0
2	<input checked="" type="checkbox"/> More than 3 hours but less than 6 hours	[Redacted]	0
3	<input checked="" type="checkbox"/> More than 6 hours but less than 10 hours	[Redacted]	0
4	<input checked="" type="checkbox"/> Over 10 hours	[Redacted]	1
Total			1

71. Did your agency's senior management review and concur with your responses to the 2018 Records Management Self-Assessment?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes	[Redacted]	1
2	<input checked="" type="checkbox"/> No	[Redacted]	0
3	<input checked="" type="checkbox"/> Do not know	[Redacted]	0
Total			1

(b)(3)
(b)(6)

72. Please provide your contact information.

Name:	Agency, Bureau, or Office:	Job Title:	Email Address:	Phone Number:
Nancy Morgan	CIA	Director, Information Management Services	[Redacted]	[Redacted] (b)(3)

73. Are you the Agency Records Officer?

#	Answer	Bar	Response
1	<input checked="" type="checkbox"/> Yes	[Redacted]	1
2	<input checked="" type="checkbox"/> No	[Redacted]	0
Total			1

74. Please provide the Agency Records Officer's contact information.

Name:	Email Address:	Phone Number:
[Redacted]	[Redacted]	[Redacted]

75. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program?

#	Answer	Bar
1	<input checked="" type="checkbox"/> Yes	[Redacted]
2	<input checked="" type="checkbox"/> No	[Redacted]
3	<input checked="" type="checkbox"/> Do not know	[Redacted]
4	<input checked="" type="checkbox"/> Comments (Optional): (Please include in your comments how you use the Records Management Self-Assessment.)	[Redacted]

Comments (Optional): (Please include in your comments how you use the Records Management Self-Assessment.)

While the CIA does not use the RMSA score to measure the effectiveness of the records management program, we do use the RMSA as a guideline for improvement.

76. Do you have any suggestions for improving the Records Management Self-Assessment next year?

Text Response

Text Response

Please convene a small working group to revise the reports to align with statutes and NARA mission requirements to ensure effective reporting to senior leadership. Consider consolidating the three reports into one to eliminate duplication and suppo

77. Q_URL

Value

[Redacted]

(b)(3)

78. SSID

Value	Total
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79. Score

Statistic	Value
Mean Score	86.00
Score Standard Deviation	0.00
Weighted Mean of Items	1.08
Weighted Standard Deviation of Items	1.40
Items	80.00