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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 rmselfassessment@nara.gov. Include the words "SAORM 2020 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 provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.
   National Security Agency

2. **Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?**

   X Yes
   ☐ No
   ☐ Do not know

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

   - Developed virtual records management training
   - Enhanced promulgation of record management instruction and guidance for telework employees
   - Developed virtual assessments/consultations of records management practices within Agency offices (in lieu of physical office visits)

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

   X Yes
   ☐ No
   ☐ Do not know

   Please provide details on what support is needed:

   NSA/CSS Policy 1-6 (NSA/CSS Records Management Program) establishes, delineates, and associates the roles and responsibilities of Information Management, Records Management, the Chief Information Officer (CIO), Data Management, Technology (i.e. Capabilities Directorate), Education and Training, Senior Leadership, Directorate Records Officers (DROs), Records Management Officers (RMOs), the Office of the General Counsel, the Office of the Inspector General (OIG), and Agency affiliates.

4. **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)**

   X Yes

☐ No
☐ Do not know

Please explain your response (include specific goals and example metrics):
The National Security Agency (NSA) is currently moving towards implementing a new electronic records management capability. Working in concert with the current records management technology to bring the NSA into compliance with federal directives and regulations and to help prevent the unauthorized destruction of electronic permanent records.

5. **Has your agency made progress towards managing all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

   X Yes
   ☐ No
   ☐ Do not know

   Please explain your response (include specific goals and example metrics):
   The Agency's Information Technology Organization is currently underway with the implementation of an electronic records management automated permanent solution.

6. **Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

   X Yes
   ☐ No
   ☐ Do not know

   Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

SETINSTONE is NSA/CSS electronic records management automated solution where journaled email(s) will be captured directly from the Exchange servers, tagged, and processed to meet National Archives and Records Administration and DoD 5015.02 requirements. SETINSTONE will support Information Management organizations to include the Freedom of Information Act/ Privacy Act and Office of General Council primary needs for a preserved record(s) to answer litigation and congressional inquiries.

7. **To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

   ☐ Yes
   X No
   ☐ Do not know

Please explain your response (include specific goals and example metrics):
The Archivist of the United States approved an exception to M-19-21 and allowing NSA to construct a new certified record center due to the classification and compartment of the records.

8. **Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* 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.

   X Yes
   ☐ No
   ☐ Do not know

   Please explain your response (include specific details of policies and procedures):

   When a Capstone position-holder transitions out of a Capstone position, the NSA provides a web interface to collect pertinent information (e.g. name, tenure (date range) in the position, information technologies used). The Agency's Records Management Division receives the Capstone position-holder's emails and associated mail folders from the Agency's Information Technology Organization. Once collected, the emails and associated mail folders are processed and stored in an organized file structure for future ingestion into the Agency's long-term electronic archival system.

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

   X Yes
   ☐ No
   ☐ do not know

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

   Challenges include limited information technology resources and funding constraints.

10. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

    ☐ Yes
    X No

☐ Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):