The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

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. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

Instructions for Reporting

- This template covers 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.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

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

   DoD SAORM will provide this response. No DoD Component input is required.

   National Security Agency (NSA)

2. **Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.

X Yes
☐ No
☐ Do not know

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

- Developed a virtual records management training platform for records officers and the NSA workforce.
- Enhanced the promulgation of records management guidance and instruction to address an increasing telework population.
- Greatly reduced in-person office evaluations and consultations regarding records management practices within NSA offices; conducted virtual assessments and facilitated corrective measures to remediate deficiencies and to ensure compliance with records management policy and procedures.

3. **Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.

X Yes
☐ No
☐ Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

NSA/CSS Policy 1-6, Records Management Program, establishes and outlines the roles and responsibilities of the Office of Information Management (OIM)- directed by the NSA Records Officer, the Records Management (RM) Division, the Chief Information Officer (CIO), Data Management, Technology (the Directorate of Capabilities), Education and Training, Senior-level Leadership, Directorate Records Officers (DROs), Records Management Officers (RMOs), the Office of the General Counsel (OGC), the Office of the Inspector General (OIG), and all NSA affiliates.

Moreover, the IM office incorporates the Freedom of Information Act (FOIA)/Privacy Act (PA) Division and has direct relationships with the Office of Security and Counter Intelligence (S&CI). The IM office falls under Enterprise Guidance Services (EGS), led by the SAORM.

4. **Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.

☐ Yes

X No

☐ Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

SETINSTONE (Phase 1), NSA's upcoming enhanced electronic records management solution, is tentatively scheduled to deploy in March 2022. Phase 1 will involve the journaling of Capstone position-holder emails on the Top Secret network only.

Successful completion of this effort in future phases is expected to capture and preserve system and organizational records on all networks, to ensure all records on Executive-level decisions and mission-related outcomes are preserved with the appropriate metadata.

5. **Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

☐ Yes

X No

☐ Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

Successful completion of SETINSTONE (Phase 1) is expected to result in the implementation of future phases to capture and preserve the temporary emails of all Agency employees, as well as system and organizational records, on all networks.

6. **Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

X Yes

☐ No

☐ Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

NSA submitted an exception request package to the M-19-21 requirements; specifically, the requirements on transferring analog records after December 2022 and to utilize Federal Records Centers or commercial records centers; on 9/14/21.

7. **Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

X Yes

☐ No

☐ Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

NSA's electronic records management solution is Joint Interoperability Test Command (JITC) certified. The certification is against Department of Defense (DoD) 5015.2 standards, which supports:

- Compliance with December 2016 Presidential Mandate on Electronic Federal Records
- E-Discovery
- Improved FOIA compliance
- Increased speeds in record ingest process
- Enhanced culling and de-duping functionality
- Automation of manual steps to prepare permanent records for NARA transfer

8. **Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?***

☐ Yes

X No

☐ Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

The Archivist of the United Sates approved an exception to M-19-21 (1.3), allowing NSA to construct a new certified records center, due to the classified and compartmented nature of NSA records.

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

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

X Yes

☐ No

☐ Do not know

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

Challenges continue to primarily be limited information technology resources and capabilities, along with funding constraints.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

☐ 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):

NSA appreciates the opportunity to participate in, and provide input to, the NARA SAORM 2021 Annual Report.