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 related 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 rmselfassessment@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. **(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:

   National Security Agency

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

   ☐ Yes
   X☐ No

   Please explain your response:

   The Agency's Information Technology Organization is currently underway with the implementation of an electronic records management automated permanent solution.

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)**

   X☐ Yes
   ☐ No

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

   The Agency is currently working toward implementing a new electronic records management capability, working in concert with the current records management technology, to bring the Agency into compliance with federal directives and regulations and to help prevent the unauthorized destruction of electronic permanent records.

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

   X☐ Yes
   ☐ No

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.

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)**

X☐ Yes
☐ No

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

The Agency has instituted many records management initiatives, such as the Capstone approach to email management and the implementation of a NARA-approved electronic records management capability designed to ingest, decrypt, and preserve electronic federal records.

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)**

X☐ Yes
☐ No

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

The National Security Agency received NARA approval to construct a new Records and Information Management facility. The facility is scheduled to be completed in 2025.

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.

X☐ Yes
☐ No

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

When a Capstone position-holder transitions out of a Capstone position, the Agency provides a webpage 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.

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

X☐ Yes
☐ No

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

Challenges include limited information technology resources and funding constraints.

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

X☐ Yes
☐ No

Please provide details on what support is needed:

Funding