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CHIEF RECORDS
OFFICER

Senior Agency Official for Records Management
FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.

- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.

- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words "SAO annual report" and your agency's 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.

Provide the following information (required):

1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

>   *Please list them below:* **National Security Agency/Central Security Service**

2. Is your agency going to meet the *Directive* goal to manage all <u>email</u> records in an accessible electronic format by December 31, 2016? *(Directive Goal 1.2)*

>   ☒ Yes   ☐ No

>   2a)   *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your <u>progress</u> regarding:*

>   - *establishing formally approved email policies,*

>   -   **NSA/CSS is currently updating its records management policy (NSA/CSS Policy 1-6: *Records Management Program*, available at www.nsa.gov) to include an annex on email management.**

>   - *use of any automated systems for capturing email,*

>   -   **NSA/CSS is developing an automated solution for transferring email records as they are created on the agency's email system to its electronic records management system.**

>   - *providing access / retrievability of your email,*

>   -   **Permanent email records are currently captured upon departure of an employee from a leadership position and stored in the NSA/CSS electronic records management system. Records stored in the system are accessible and**

retrievable. As noted above, NSA/CSS is developing a capability to capture all such email as it is generated.

- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*

  - **Email records are scheduled as permanent records under an Executive Files records disposition authority (N1-457-07-001). The email records of individuals are transferred to the NSA/CSS electronic records management system upon their departure from position and retained permanently. Email records of other agency personnel are managed according to NSA/CSS's four "big bucket" records disposition schedules.**

- *possible implementation of the Capstone approach for applicable agency email.*

  - **NSA/CSS is implementing the Capstone approach for email management. NSA/CSS has identified 161 permanent positions, whose email would be permanently retained, a major expansion of the number of positions previously scheduled. Email for all other personnel will be retained for 7 years.**

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

  - **Complete update to Records Management Policy, annex on email management, and update the records disposition schedule.**
  - **Retain email active and online for 7 years for all agency personnel and automate the capture of Capstone email using journaling.**
  - **Update records management training, including the mandatory course for all agency personnel, with information on Capstone approach to email management.**

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

☒ Yes   ☐ No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

- **The NSA/CSS Federal Records Officer/Senior Agency Official has sent two notifications, one to senior leadership and one to all agency affiliates, about the amendments to the *Federal Records Act* and requirements for using unofficial email accounts.**
- **NSA/CSS is currently updating the agency's Records Management Policy (NSA/CSS Policy 1-6: *Records Management Program*, available on www.nsa.gov) to reflect the amendments to the *Federal Records Act*.**
- **NSA/CSS policy on use of unclassified information systems by its personnel also includes guidelines for using unofficial email accounts which reflect the *Federal Records Act*.**
- **Training for NSA/CSS Records Management Officers now includes language covering the amendment. Records management training for all agency affiliates is currently being updated.**

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

- **Email records are captured for storage in the NSA/CSS electronic records management system when senior officials leave their positions. Any chat, text, and instant messages stored in the email client are captured with the email records.**
- **Policies and internal controls for other types of electronic messaging are currently under development.**

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? *(Directive Goal 2.5)*

☒ Yes   ☐ No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

- **All NSA/CSS paper and other non-electronic records are scheduled.**

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

- **As additional types of paper or non-electronic records are discovered, NSA/CSS will work NARA appraisal archivist to ensure the records are scheduled.**

6. Is your agency going to meet the *Directive* goal to manage all <u>permanent</u> electronic records in an electronic format by December 31, 2019? *(Directive Goal 1.1)*

$\boxtimes$ Yes $\qquad$ $\square$ No

6a) *Provide a list of the actions your agency, components, or bureaus <u>have taken</u> to meet this goal. Include specific information on your <u>progress</u> regarding:*

- *establishing formally approved electronic records policies,*

    - **NSA/CSS Policy 1-6:** *Records Management Program* **requires all offices that create, maintain, or store electronic records or anticipate creating, maintaining or storing electronic records to incorporate records management requirements into the development of automated information systems. Records Management Officers are also required to identify electronic records and information systems in up-to-date file plans.**
    - **NSA/CSS is considering including records disposition information in the agency's registry of information systems. The NSA/CSS system decommissioning process includes requirements for managing electronic records held by systems being decommissioned.**

- *use of any automated systems for capturing electronic records,*

    - **NSA/CSS has implemented an electronic records management system for capturing inactive long-term temporary and permanent electronic records. Currently included in the system are inactive Signals Intelligence Products, closed Directorate actions, and emails of previous senior leaders. An automated system-to-system transfer of records has been developed for specific record types. Owners of records can submit requirements to have their records ingested into the agency's electronic records management system.**

- *providing access / retrievability of your electronic records, and*

    - **Records stored in the electronic records management system are searchable and retrievable.**

- *establishing disposition practices for agency electronic records.*

  - **NSA/CSS uses four media-neutral "big bucket" records disposition schedules to manage electronic records.**

  - **Inactive long-term temporary and permanent electronic records are ingested into the agency's electronic records management system. Disposition rules are applied automatically upon ingest and automated alerts are generated when disposition requirements are reached.**

6b) *Provide a list of the actions your agency, components, or bureaus <u>plan to take</u> in the future to meet this goal.*

  - **NSA/CSS will continue to advise personnel who manage systems on their records management responsibilities. Inactive long-term temporary and permanent electronic records will continue to be ingested into the agency's electronic records management system.**
  - **The electronic records management system is being expanded to include modules for conducting declassification review, archival processing, and FOIA case management.**
  - **Using Records Management Officers throughout the agency, NSA/CSS will continue to ensure that electronic records are identified in file plans and records management principles are used to manage shared drives and SharePoint sites.**

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

 Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

  - **Implementation of the *Managing Government Records Directive* requirements can be constrained by the availability of funds dedicated to that purpose.**

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

  ☐ Yes ☒ No

8a)   *Provide a list of the actions your agency, components, or bureaus <u>have</u> <u>taken</u> to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

- **NSA/CSS does not have any Presidential appointees and no senior officials will be departing due to the upcoming change in Presidential administration. NSA/CSS routinely ensures that departing senior officials understand their records management responsibilities and do not improperly remove records from the agency.**

8b)   *Provide a list of the actions your agency, components, or bureaus <u>plan to</u> <u>take</u> in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

- **NSA/CSS does not have any Presidential appointees and no senior officials will be departing due to the upcoming change in Presidential administration. NSA/CSS will continue to ensure that senior officials leaving the agency understand their records management responsibilities and do not improperly remove records from the agency.**