



## *Senior Agency Official for Records Management 2022 Annual Report*

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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, 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 recordkeeping and preservation under these requirements, as well as other important records management initiatives.

**The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.**

NARA plans to post your 2022 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 on our website.

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Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov). Include the words “SAORM 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

**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 indicate any that are new or have been changed due to reorganization or other circumstances.*

National Security Agency (NSA)

**2. In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?**

- Yes  
 No  
 Not applicable, no adaptations were needed  
 Do not know

*Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)*

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Necessary adjustments to mitigate the pandemic's impact to the records management program allowed NSA to:

- Develop and implement improved training for Agency Records Management Officers and Senior Capstone Officials.
- Adapt virtual and on-line training methods that proved to be more efficient, timely, and cover a broader audience.
- Increase engagement with field site locations on records management matters.

**3. Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)**

- Yes  
 No  
 Do not know

*Please explain your response with specific actions taken, challenges and results.*

- Deploying SETINSTONE, NSA's enhanced electronic records management solution, designed to automate the capture and preservation of permanent and temporary electronic records.
- Managing electronic mail from 153 senior-level Capstone position-holders.
- Preserving approximately 16M email, system, and organizational records (to include permanent and long-term temporary retentions) in STONEVAULT, NSA's electronic records repository.
- Continuing engagement and partnership between information management and technical capabilities professionals.
- Gaining exception from M-19-21 and M-23-07 requirements through 2037 – formally approved by NARA on 2 February 2023.

**4. Has your agency taken action to meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)**

- Yes  
 No  
 Do not know

*Please explain your response with specific actions taken, challenges and results.*

- Deploying SETINSTONE, NSA's enhanced electronic records management solution, designed to automate the capture and preservation of permanent and temporary electronic records.

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- Preserving approximately 16M email, system, and organizational records (to include permanent and long-term temporary retentions) in STONEVAULT, NSA's electronic records repository.
  - Continuing engagement and partnership between information management and technical capabilities professionals.
  - Gaining exception from M-19-21 and M-23-07 requirements through 2037 – formally approved by NARA on 2 February 2023.

**5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?**

- Yes  
 No  
 Not applicable, all records are in electronic format  
 Do not know

*Please explain your response with specific actions taken, challenges and results.*

Due to the classified and compartmented nature of NSA records, the Archivist of the United States approved an exception to M-19-21 (1.3) allowing NSA to construct a new certified records center. (memo dated 19 Nov 2014)

**6. Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)**

*Note: The incorporation of records management into information governance is part of the framework covered by [OMB Federal Data Strategy - A Framework for Consistency \(M-19-18\)](#) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in [OMB Circular A-130, Managing Information as a Strategic Resource](#).*

- Yes  
 No  
 Do not know

*Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.*

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

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(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.

**7. Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?**

*Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: [Email Management](#) and [CFR 1236: Electronic Records Management](#))*

- Yes  
 No  
 Do not know

*Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.*

Under the authority of Agency policies and directives, electronic messaging is captured and preserved by the Agency's electronic records management systems (SETINSTONE and STONEVAULT).

**8. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?**

*Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.*

- Yes  
 No  
 Do not know

*Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)*

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NSA currently utilizes cognitive technologies to identify permanent and temporary records within the NARA-approved Capstone approach to manage the emails of select senior-level officials. Moreover, NSA is actively exploring and evaluating automated cognitive technologies that can be incorporated with existing authorized NSA/CSS records systems. Upon selection, proposed technologies such as machine learning and artificial intelligence tools will be integrated into current solutions based on predefined business requirements in the near future.

**9. Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?**

- Yes  
 No  
 Do not know

*Please explain your response including what specific measures you have incorporated into the SAORM role.*

Oversight and evaluation is conducted through (but not limited to):

- weekly and bi-weekly reports of records management activities
- metrics gathering
- monthly leadership meetings and bi-monthly team specific meetings
- receiving reports on records management assessments, audits and compliance
- review and validation of records management policy

**10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?**

- Yes  
 No  
 Do not know

*Please explain your response and include any comments on existing, pending, and future topics.*

- Clearer guidance on NARA's digitization strategy, expectations, and standards
- Transfer of declassified electronic records (e.g. storage concerns)

**11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?**

- Yes  
 No  
 Do not know

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*Please explain your response and 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 2022 Annual Report.