



Senior Agency Official for Records Management 2023 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 8, 2024, and reports are due back to NARA no later than March 8, 2024.

NARA plans to post your 2023 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.

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. Include the words “SAORM 2023 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. Will your agency 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

Not applicable, all records are in electronic format

Deployed SETINSTONE, NSA’s enhanced electronic records management solution, which has automated the capture and preservation of permanent and temporary electronic records.

Managing electronic mail from 157 senior-level Capstone position-holders.

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- Preserving approximately 25M email, system, and organizational records (to include permanent and long-term temporary retentions) in STONEVAULT, NSA's electronic records repository to include all metadata in accordance with 5015.02 and 8180.01.
 - Continuing engagement and partnership between information management and technical capabilities professionals.
 - Exception from M-19-21 and M-23-07 requirements through 2037 – formally approved by NARA on 2 February 2023.

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

3. Will your agency 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
- Not applicable, all records are in electronic format

- Deployed SETINSTONE, NSA's enhanced electronic records management solution, which has automated the capture and preservation of permanent and temporary electronic records.
- Electronic mail of non-Capstone position holders are captured and preserved via backup tapes.
- Preserving approximately 25M email, system, and organizational records (to include permanent and long-term temporary retentions) in STONEVAULT, NSA's electronic records repository to include all metadata in accordance with 5015.02 and 8180.01.
- Continuing engagement and partnership between information management and technical capabilities professionals.
- Exception from M-19-21 and M-23-07 requirements through 2037 – formally approved by NARA on 2 February 2023.

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

4. 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 by June 30, 2024? (Choose all that apply)

- Yes
- No
- Not applicable, my agency does not have agency-operated records storage facilities
- Not applicable, all records are in electronic format

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)

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)

- Yes, we will transfer to the FRC
- Yes, we will transfer to commercial storage facilities
- No
- Not applicable, all records are in electronic format

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)

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

6. Does your agency have a Data Management Strategy that includes records management principles? (<https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-report.pdf>)

- Yes
- No

Please explain your response.

NSA does have a Data Management Strategy that includes records management principles. There is an ongoing collaborative relationship between the NSA Records Officer and Data Management, Technology (Chief Data Officer/Director of Capabilities) to ensure records management directives, requirements and NARA guidance are understood and implemented in all architecture and infrastructure deployed Agency wide.

In addition, this collaboration spans across all of the IT/Capabilities organizations and Records Management organizations at all personnel levels. Efforts have included cross-functional teams, tiger teams, and re-occurring status meetings. This close working relationship with IT service providers and leadership, ensures both IT and records

management principles link together to ensure compliance with all records management directives and preservation requirements.

7. In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program's goals?

Yes

No

Not applicable, my agency does not currently have a designated Agency Records Officer

Please explain your response. (If 'Yes,' please include how often, a description of topics, and outcomes of these meetings. If 'No,' please explain why not.)

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, OIM 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 OIM falls under Enterprise Guidance Services (EGS), led by the SAORM.

Please explain your response. (If 'Yes,' please include how often, a description of topics, and outcomes of these meetings. If 'No,' please explain why not.)

8. Has your agency incorporated NARA's digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)

Yes

No

Not applicable, my agency is not currently digitizing records

NSA has incorporated all NARA digitization standards provided into strategic and infrastructure plans. In preparation for digitization, NSA has pro-actively researched and procured equipment and software to meet NARA standards. Efforts included meeting Agency requirements, such as, identification of a new digitizing program to include office space, network infrastructure and personnel, to ensure the Agency has all resources available on day one of implementation.

Please explain your response. (If 'Yes,' what steps have been taken? If 'No,' why not?)

9. Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?

Yes

No

All NSA collaboration/social media platforms follow NSA and NARA established Records Disposition Schedules (RDS). To ensure NSA incorporates the appropriate retention and preservation of social media records, the Records Management organization is a key member of the Agency's Collaboration Platform Advisory Group. This participation ensures the group clearly understands the statutes and regulations related to social media and records management. NSA also provides guidance via Agency web pages to ensure any external Agency collaboration/social media activities are captured internally and preserved as required.

Please explain your response.

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

Yes

No

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

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