



## *Senior Agency Official for Records Management 2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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 progress through December 31, 2018.
- 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 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. **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.**

National Security Agency (NSA)

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

Yes  
 No

*Please explain your response:*

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

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes  
 No

*Please explain your response:*

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

Also, the Records Management Division is currently working on updates to NSA Policy 1-6 (Records Management Program) to incorporate responsibilities specific to electronic records management.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

***The Reform Plan states:***

***Transition to Electronic Environment:*** Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes  
 No

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

Yes, our Agency is developing strategic goals, objectives, plans, and initiatives intended to enable us to comply with the 2022 deadline by doing the following things:

- Adopting technologies and business processes that have resulted in the vast majority of agency business and related recordkeeping being conducted electronically. Current plans will continually increase that proportion over time.
- Acquisition of an advanced electronic records management system is underway.
- Investigating scanning options for fragile permanent classified records.
- We continue to have discussions with NARA regarding exceptions beyond the 2022 date for the transfer of paper records.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes  
 No

*Please explain your response:*

NSA is held to a higher standard under DOD Directive 5015.2 and can only use a Joint Interoperability Test Command (JITC) certified solution; not all of those listed on the GSA schedule comply. NSA chose a solution that meets both GSA Schedule 36 and JITC certification in advance of the NARA guidance.

6. Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

\*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.

- Yes  
 Changes were unnecessary (click [here](#) for your agency's 2017 report)  
 No, changes are being considered but have not been made  
 No

*Please explain your response:*

Capstone email management approach instruction is a standard procedure for incoming senior officials and we periodically communicate reminders of those responsibilities—including by the SAORM personally. In addition, senior officials (and all other employees) have mandatory annual records management training.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes  
 No

*Please explain your response:*

The SAORM advocated and was successful in gaining funding to procure technology to comply with managing electronic records. A purchase of compliant GSA schedule 36 and JITC certified software has been made. We are currently ramping up labor support and setting up the necessary infrastructure.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes  
 No

*Please explain your response:*

- Annual Records Management mandatory training.
- Records Management classroom training.
- Capstone email management approach instruction.

- 9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes  
 No

*Please explain your response:*

Recent implementation of a Records Management Evaluation Program- designed to perform bi-annual assessments of records management practices in Agency offices and to establish corrective measures to remediate identified deficiencies.

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

Yes  
 No

*Please explain your response:*

Funding would be extremely helpful.