

*Senior Agency Official for Records Management
2019 Annual Report
DoD Office of the Inspector General*

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 important records management initiatives.

Instructions for Reporting

Provide the following information (required):

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- 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.**

(a) Department of Defense Office of the Inspector General

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

Yes

Please explain your response:

- (b) Permanent records are retrievable or accessible in an electronic format.*
- (c) DoD OIG is taking actions to develop standardized automated electronic lifecycle processes to identify or auto-tag and classify permanent records.*

3. Has your DoD Component made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

Yes

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

(a) DoD OIG is taking actions to develop formal processes to consistently identify, categorize and segregate permanent records from voluminous unstructured electronic information and disparate business systems.

(b) DoD OIG is establishing a standard classification scheme across the agency with unified metadata structures to ensure permanent records are consistently captured, indexed, stored, shared, retrieved, and transferred to the OIG official repository with minimal user interaction. By July 2021, DoD OIG will perform an agency-wide functional analysis to define metadata of permanent and potentially permanent records.

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

Yes

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

(a) DoD OIG is taking actions to develop formal processes to categorize and manage electronically stored temporary records, including auto-tagging and deleting temporary records according to their NARA approved retention periods.

(b) DoD OIG is establishing a standard classification scheme across the agency with unified metadata structures to ensure temporary records are consistently captured, indexed, stored, shared, retrieved, and deleted with minimal user interaction. By March 2021, DoD OIG will eliminate redundant, obsolete, and trivial (ROT) files from temporary electronic records.

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)?

Yes

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

(a) The DoD OIG, SAORM meets with the OIG agency records officer every 2 weeks, approves initiatives and reviews work plans to ensure the program complies with the Federal Records Act and other applicable regulations.

(b) Managing information effectively is a principle goal of the OIG Strategic Plan

(c) The program incorporates DoD OIG performance goals, objectives, and internal controls to ensure the agency complies with the Federal Records Act and its regulations.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before December 31, 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)?

Not Applicable

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

(a) DoD OIG does not use agency-operated records centers.

7. Does your DoD Component 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

Yes

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

- (a) DoD OIG has documented procedures for departing senior officials to ensure records are properly captured and not improperly removed.*
- (b) DoD OIG automatically captures email of senior officials.*
- (c) DoD OIG provides a brief to all departing senior officials that outlines any remaining records management responsibilities.*

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

Yes

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

(a) Some DoD OIG challenges include: Meeting the OMB -19-21 goal to transition to electronic recordkeeping within classified environments and transitioning to electronic recordkeeping for all investigative case related records. The DoD OIG is committed to meeting this goal and is working diligently to this end, including procuring and additional archive for the classified environment and hiring additional employees.

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

No

Please provide details on what support is needed:

At this time, DoD OIG does not need additional support from NARA and is taking actions to ensure a successful transition to fully electronic recordkeeping environment.