APR 1 2 2018

Mr. Laurence Brewer
Chief Records Officer for the U. S. Government
National Archives and Records Administration
8601 Adelphi Road, Room 2100
College Park, MD   20740

Dear Mr. Brewer:

As requested in your January 8, 2018 correspondence, please find the enclosed Department of Defense (DoD) Senior Agency Official for Records Management 2017 Annual Report.   The report documents the Department's progress towards the successful implementation of the *Office of Management and Budget/National Archives and Records Administration (NARA) Managing Government Records Directive* (M-12-18).

The Department remains committed to transitioning to electronic records solutions that move it towards records transparency, efficiency, and accountability.   We appreciate the support NARA has given the Department to help mature our records management program, and looks forward to continued engagement in the future.

The point of contact for the Department's records management program is Ms. Patti Benner, (571) 372-4443, patricia.l.benner4.civ@mail.mil.

Sincerely,

Thomas P. Michelli
Acting Principal Deputy

Enclosure:
As stated

Department of Defense

Chief Information Officer

Senior Agency Official for Records Management

2017 Annual Report

16 March 2018

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DoD Senior Agency Official for Records Management (SAORM) Contact Information

Provide the following information (required):

Name of SAORM   Mr. Thomas P. Michelli
Position title   Acting Principal Deputy, DoD CIO

Address   Department of Defense
                        6000 Defense Pentagon
                        Washington, DC 20301-6000

Office telephone number 703-695-0871

1. DoD Components Covered by this Report

What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

This report covers all Components of the Department of Defense (DoD). DoD has a Component SAORM structure to facilitate the role of the DoD SAORM across the Department. Given the distributed authorities set forth by Title 10 of the U.S. Code, the DoD Instruction 5015.02, *DoD Records Management Program*, updated August 2017, sets the records management (RM) policy for DoD and delegates the responsibilities for execution of this policy to the head of each DoD Component. The DoD SAORM works with the Component SAORMs and the Agency Records Officers (ARO) to gain the broad reach that is needed to ensure compliance with RM statues and regulations.

Given the size of DoD and the number of Components with diverse missions, the strategies and solutions for meeting the goals of the *Office of Management and Budget/National Archives and Records Administration (NARA) Managing Government Records Directive* (M-12-18) may differ and implementation progress may be at different points. To best report this to NARA, responses in this report provide the DoD-wide perspective as well as specific responses for DoD Components when applicable. In addition, each detailed response from reporting DoD Components is included in the appendices.

This chart shows each of the Component SAORMs and the DoD Components that report through that Component SAORM:

Component SAORM	DoD Components Covered	Component SAORM	DoD Components Covered
Mr. Gerald B. O'Keefe Administrative Assistant to the Secretary of the Army	Dept of Army	**Ms. Karen Finnegan Meyers,** Director, Executive Services Division/WHS	Office of the Secretary of Defense
Dr. Kelly E. Fletcher Acting Dept of Navy (DON) CIO **Mr. William O'Donnell** DON/Asst for Admin, Delegate **MajGen Frederick Padilla** Director, MC Staff, Delegate	Navy	**Mr. Thomas P. Michelli** SAORM and Acting Principal Deputy, DoD CIO	Army and Air Force Exchange Services
	US Marine Corps		Defense Commissary Agency
Mr. Arthur G. Hatcher, Jr. Director, Cyber Capabilities and Compliance, Office of Information Dominance and CIO	Dept of Air Force		Defense Contract Audit Agency
RADM Michael J. Dumont Vice Director, Joint Staff	Office of the Chairman of the Joint Chiefs of Staff		Defense Contract Management Agency
	National Defense University		Defense Finance and Accounting Service
	US Africa Command		Defense Information Systems Agency
	US Central Command		Defense Logistics Agency
	US European Command		Defense Security Service
	US Northern Command		Defense Technical Information Center
	US Pacific Command		Defense Threat Reduction Agency
	US Southern Command		Missile Defense Agency
	US Special Operations Command		DoD Office of Inspector General
	US Strategic Command		National Guard Bureau
	US Transportation Command		

2. Management of Permanent Electronic Records

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

All DoD Components are making progress toward meeting the deadline to manage all permanent electronic records in electronic format with the exception of the National Guard Bureau (NGB). In many cases, DoD Components have acquired or are in the process of acquiring systems for this purpose. As an enterprise, DoD is in the process of acquiring an enterprise desktop solution that will include records management capabilities. This solution will provide the capability to electronically manage electronic records created through desktop applications such as word processing, spreadsheets, video conferencing, and messaging. For discussion of progress by specific Components, please refer to the appendices. NGB has recently appointed an ARO to establish their records management program and address electronic management of permanent records.

3. Digitization of Permanent Records Created in Analog Formats

Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18, Goal 1.1)

☑ Yes

☐ No

All DoD Components have developed plans or taken actions to evaluate and implement digitization of permanent records created in hard copy or other analog formats with the exception of the Office of the Chairman of the Joint Chiefs of Staff (OCJCS), Defense Contract Audit Agency (DCAA), Defense Contract Management Agency (DCMA), and NGB:

- OCJCS has not developed an agency plan to implement digitization of permanent records created in hard copy or other mixed media at this time. OCJCS has a significant collection of classified paper and mixed media records. However, because of current budgetary and manpower issues, the digitization of these collections would be burdensome and would require a multi-year phased approach.
- DCAA plans are not yet developed and are pending the appointment of an ARO.
- DCMA has encountered some challenges regarding the digitization of both temporary and permanent archival hard copy records, primarily due to the fact that the agency has no plans to purchase a document conversion application or service; employees have been directed to scan in their hard copy records and apply the appropriate metadata.

- NGB has recently appointed an ARO establish their records management program. The first priority is to stand-up a compliant program for the NGB Joint Staff. Digitization plans will follow.

4. Recordkeeping Impacts of Reform Plans

OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

☑ Yes

☐ No

The DoD is completing the Agency Strategic Plan for Fiscal Years 2018 – 2020. This document incorporated the DoD Reform Plan that was previously submitted to OMB. One of the objectives in the plan is Optimize Organizational Structures (Strategic Objective 3.2). While significant changes in organizational structures across DoD will occur over time, an initial set of reforms at the Department level has been identified.

On March 2, 2018, the DoD Washington Headquarters Services issued a memorandum to affected Components titled, "Records and Information Management Guidance on the Transfer of OSD [Office of the Secretary of Defense] Functions and Programs." The memorandum provides guidance regarding the identification, maintenance, disposition and transfer of OSD records and information per existing policy.

While near-term restructuring is limited to the OSD, components across the Department are initiating policies and processes to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes. All three Military Departments have or are taking specific measures to ensure proper transition of records as part of organizational restructuring. Many of the Independent Agencies are also addressing records management requirements as part of any structure or organizational changes. Further detail can be found in the appendices.

5. Strategic Direction, Support and Resources for DoD's RM Program

Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful? (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

☑ Yes

☐ No

In August of 2017, the DoD Instruction 5015.02, *Records Management Program* (DoDI 5015.02) was updated to reflect both changes in statute and emerging challenges. DoDI 5015.02 applies to the entire Department and delegates responsibility for implementing

that policy to DoD Component Heads. While the DoD SAORM and the DoD Records Officer (DoD RO) provide strategic direction to the entire Department, it is the responsibility of Component Heads to ensure the program is resourced and supported to be successful.

In the case of OSD, OCJCS, and the three Military Departments, Component SAORMs have been designated to provide further direction and address resources for these large and complex organizations. All of these leaders have policies in place and advocate for the financial, personnel, and technological resources necessary to ensure RM responsibilities are being met. Additionally, each has a designated office to oversee RM and acts on their behalf.

The SAORM provides strategic direction to the 13 Independent Agencies. To support this responsibility, the DoD RO has initiated monthly meetings with the leadership of these programs to provide updates, address challenges, and share best practices. In addition, the DoD RO is working with the AROs to identify senior RM leadership in their organization and establish regular communications.

Highlights include:
- The Air Force SAORM has directed the development of an Air Force Records Management Strategic Plan and is working with the AF Judge Advocate to publish a memorandum to all record holders reminding them of their legal responsibilities.
- The Naval Inspector General conducts formal inspections of the RM programs for both the Navy and USMC.
- National Defense University (NDU) has established an annual memo from the University President affirming the importance of information management, identifying permanent and vital records, and protecting the NDU legacy.
- In OSD, the Component SAORM has established and prioritized a list of strategic goals, which include training, information systems and applications, and providing real-time advice and guidance to senior leadership.
- US Central Command has placed RM under the Chief Information Officer ensuring RM team is exposed to all new Command systems.

6. Informing Senior Officials of Their RM Responsibilities
Have you, as the SAORM, ensured that 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

☐ No

At the DoD level, DoDI 5015.02 codifies DoD policy that senior leaders must be advised of their RM responsibilities within 30 days of assumption of their duties. Further, it is policy that out-briefings must be provided to senior leaders to ensure capture of the records generated during their tenure. All DoD Components have ensured that senior officials receive briefings on their RM responsibilities with the exceptions of OCJCS, United States Transportation Command (USTRANSCOM), DCMA, and NGB:

- OCJCS is in the process of enhancing its outreach to onboarding and off boarding senior level officials.
- USTRANSCOM has not briefed all their senior officials on their RM responsibilities. They are currently in the process of creating an email policy to brief all USTRANSCOM personnel on use of personal email.
- DCMA has not implemented records management into the in-processing or out-processing procedures for senior-level employees.
- NGB has recently appointed an ARO to establish their RM program. NGB currently conducts RM In and Out-processing briefings and conducts monthly Newcomers Briefings regarding RM. As part of developing a compliant National Guard Bureau RM Program, NGB will begin briefing senior officials on this issue.

7. RM as a Component of the Information Resource Management Plan
Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)?

☑ Yes

☐ No

The April 2015 Department of Defense Information Resources Management Strategic Plan includes records management as a key component of the strategy. The strategy includes seven goals. The first goal is "Exploit the Power of Trusted Information Sharing." One of the Strategic Elements supporting the goal is "Deploy an effective Records Management System/Program."

Additionally, the plan includes a section on "Managing Information as an Asset." The Information Lifecycle is specifically addressed as follows: "The life cycle for information within the DoD information environment spans information creation, storage (both short-term and long-term Records Management), protection, dissemination, discoverability and accessibility, and use by applications and other computing services when and where needed."

Finally, the plan identifies four RM focus areas: Policy and Oversight, Records Management Community, Systems Development, and Professional Workforce. These four areas contribute to meeting the goals set in the M-12-18.

8. Suggestions for NARA to Support the Transition to Fully Electronic RM
What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan, Goal 2.4)

The DoD continues to make progress on the transition to electronic recordkeeping. The road has many challenges, and the DoD appreciates NARA's continued support and innovations to aiding the government in making this transition. In the appendices of this report, please find many specific ideas of how NARA might support DoD and other government agencies in the transition. Here is a synthesis of some of the themes suggested by several DoD Components:

Provide guidance for "Records 2.0"
As government agencies accomplish their missions in new and innovative ways, they are adopting and evolving their use of internet-based technologies, social media, messaging systems and technologies not yet categorized. Use of these technologies result in a "Records 2.0" environment that presents new challenges for RM. DoD needs NARA to provide guidance in this Records 2.0 world. For example, could NARA provide success criteria for management of social media and other web records? Could NARA collaborate with social media companies to pave the way for appropriate RM? How do we address encrypted message records? How can we manage records within collaboration environments and portals?

Find mechanisms to enforce the transition to electronic recordkeeping
The DoD would like NARA to explore ways to enforce RM and hold government agencies accountable in the electronic records world. More explicit compliance policy, possible through the RM regulations, may help agencies to prioritize investments in electronic recordkeeping technology.

Provide detailed guidance and expedited support for scheduling
A key step in the transition to electronic recordkeeping is the transition to updated records schedules. In the near term, the DoD would like to see faster approval of submitted schedules and schedule changes. To support adoption of the General Records Schedule (GRS), it would be helpful for NARA to clarify the descriptions of the GRS and to clarify how to implement given the caveat that longer retentions are authorized for business use. In the longer term, it would be helpful to further streamline retentions based on the how they can be applied automatically in the systems that create and maintain electronic records.

Leverage the government and commercial communities to provide guidance and find technology solutions

The DoD encourages NARA to continue its leadership in developing best practices and guidance on how to successfully transition to electronic recordkeeping. Collaboration with industry, the Federal CIO Council, National Institute of Standards and Technology, and agency leaders could lead us to a framework and specification on how to minimize risk of records loss while making the records available for mission use. Such a framework would be helpful in moving the marketplace and the government toward technologies that automate electronic records throughout their lifecycle.

Department of Defense

Chief Information Officer

Senior Agency Official for Records Management

2017 Annual Report

16 March 2018

APPENDIX A

Department of the Army Component SAORM Report

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Gerald B. O'Keefe
- Position Title: Administrative Assistant to the Secretary of the Army
- Address: 101 Army Pentagon, Washington D.C., 20310-0101
- Office Telephone Number: 703-545-0561
- ███████████████████████████

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   X Yes

☐ No

The Army is exploring the possibility of using DEOS as its future records management tool. Currently, the Army uses the Army Records Information System (ARIMS). ARIMS is a 5015.2 compliant semiautomated records management solution. Army records management policy (Army Regulation 25-400-2 (The Army Records Management Program) and DA Pamphlet 25-403 (Guide to Recordkeeping) have been modified to include the management of electronic records, incorporating program elements necessary to meet the management of permanent electronic records. Army policy ensures that electronic records and their documentation are retained and accessible as long as needed, including provisions for transferring copies of records and an index to the National Archives.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

   X Yes
   ☐ No

Less than 1 percent of Army records designated as permanent are created in hard copy or analog format. Army policy provides explicit guidance for the digitization of all hard copy records. Army is in the development phase of a detailed plan for digitizing archival materials.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

   X Yes
   ☐ No

In the event of an agency reorganization, the Army has established records management controls to ensure that all records management needs are accounted for. As part of the reorganization process, all associated records, regardless of media, will continue to maintain their relation to the originating office, both in location as well as in ARIMS. In the

event of an office's disestablishment, all its related records will be archived until such time as they have reached their designated or approved disposition.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

   X Yes
   ☐ No

   As the Army's designated SAORM; I or my appointed designee on my behalf, advocates for the financial, personnel, and technological resources necessary to ensure the adequate and proper documentation of the organizations, functions, policies, decisions, procedures, and essential transactions is preserved and usable for as long as needed to protect the legal and financial rights of the U.S. Army, DoD, and any persons directly affected by the agency's activities. The Department of Army has an agency, the Records Management and Declassification Agency (RMDA,) specifically designated for records management, including policy and program oversight. RMDA's varied mission includes, but is not limited to, monitoring and advising the SAORM of the following: Records management mission according to the size and structure of the agency; information resources, including any electronic information systems, that affect the management and preservation of records; and all risk associated with the management of information, including the volume and format of all mission-related records.

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

     X Yes

     ☐ No

As part of the Army's onboarding process, senior officials are briefed on their records and email management responsibilities and receive all applicable records and email management policies.

7.   **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

   DoD SAORM will provide this response. No DoD Component input is required.

8.   **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

   More responsive scheduling support. Specifically, the amount of time it takes to process submissions for record retention schedules.

APPENDIX B

Department of the Navy Component SAORM Report

DON SAORM:	Kelly E. Fletcher, Ph.D.
Position title:	Department of the Navy Chief Information Officer (Acting)
Address:	1000 Navy Pentagon
	Washington, DC 20350
Office number:	(703) 695-1840

Delegate SAORM (USN):	William O'Donnell
Position title:	DON Assistant for Administration
Address:	1000 Navy Pentagon
	Washington, DC 20350
Office number:	(703) 692-6094

Delegate SAO (USMC):	MajGen Frederick M. Padilla
Position title:	Staff Director, Marine Corps
Address:	3000 Marine Corps Pentagon
	Washington DC 20350
Office number:	(571) 256-8883

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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: For task and records management, the DON has transitioned to a system named Department of the Navy Tasking, Records, and Consolidated Knowledge Enterprise Repository (DON TRACKER). Although the system is in use, implementation and development efforts are ongoing. DON TRACKER will be the DON repository for electronic records.

DON records management personnel will receive RM training during calendar year 2018. As development and training continue, the Secretariat and Navy still use Total Records Information Management (TRIM) as their records management application. The Marine Corps has a SharePoint-based configuration called Marine Corps Tool for Information Lifecycle Management (MCTILM). MCTILM employs a tailored command file plan and has been incorporated into the Marine Corps Enterprise Information Technology Services (MCEITS) portfolio for individual command use.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

        ☒ Yes
        ☐ No

Please explain your response and include *any obstacles you are facing in planning or implementing digitization initiatives.* The Department of the Navy / Assistant for Administration (DON/AA) Directives & Records Management Division (DRMD) declassification program support services contract includes digitization of permanent hard copy records. To date, 145 boxes of permanent SECNAV records totaling 362,500 pages have been reviewed and are undergoing conversion to a digital format. The program meets established National Archives guidelines for electronic record preservation, including requirements for Optical Capture Recognition (OCR), a minimum of 300 DPI, and appropriate metadata.

The Marine Corps has worked with the Declassification Program support services hosted by DON/AA DRMD and also offers bulk scanning capability for hard copy to electronic record format.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records**

management needs have been or will be accounted for and implemented when making these changes?

☒ Yes
☐ No

Please explain your response: DON/AA maintains the DON Secretariat organization charts. The Secretariat and Navy require organization records managers to inform DON/AA of any contemplated reorganization efforts. When thus notified, DON/AA DRMD sends a team to meet with the organization's records managers and front office to plan steps to ensure recordkeeping requirements are maintained.

The Marine Corps Records Management Program (ARDB) responds to organizational changes through its Command Designated Records Management community (CDRM). Whether an organization is standing down or realigning, the CDRM ensures records remain safeguarded throughout their lifecycle. The Marine Corps is also in the process of establishing formal procedures within DON TRACKER to manage electronic records during organizational changes. The DON TRACKER processes are being developed in-line with the establishment of Deputy Commandant for Information (DCI), a new Marine Corps organization that now encompasses select Marine Corps organizations.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**
   (See: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

☒ Yes
☐ No

Please explain your response: The DON has Secretary of the Navy directives in place that provide policy and guidance for implementation of records management throughout the Department. SECNAVINST 5210.8E, "DON RM Program" was updated in December 2015. MCO 5210.11F, "Marine Corps Records Management Program," was updated in April 2015.

The Navy and Marine Corps staffs both participate in formal inspections of the Records Management Program conducted by the Naval Inspector General. These inspections provide the DON Records Management Program Offices with opportunities to see how

records management is interpreted and executed at commands throughout the DON. Inspections also provide insight on command challenges for consideration and policy update and provide opportunities for teaching and training. The results of these inspections are reported to the Secretary of the Navy

The Marine Corps Records Management Program has continued to grow within the scope of resources allocated to the program. The size of its CDRM community doubled in 2017, with a total of 814 CDRMs throughout the enterprise by year end. The CDRM program has empowered commands with resident subject matter experts to perform and inspect proper records management.

6. **Have you, as the SAORM, ensured that 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?**

     ☒ Yes
     ☐ No

Please explain your response: In collaboration with DON/AA Human Resources Division, DON/AA DRMD briefs all incoming and Secretariat and Navy senior officials during the onboarding process and debriefs them during their out processing. The DON also requires annual records management training of all personnel (military, civilian, and contractor), offering computer based training (CBT) and leader-led discussion guides to satisfy the requirement.

The Marine Corps distributed an information brief at the Executive Off-Site (EOS)/General Officer Symposium (GOS). The Corps also notifies outbound personnel of their records management responsibilities and all must complete NAVMC 11786, "Records Management Checklist for Departing USMC Employees" prior to departure/separation. NAVMC 11786 also offers a checklist for Capstone Officials and Non-Capstone Officials to guide preservation and maintain accessibility of records and emails.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

     DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

The DON recommends that NARA fully engage with all of the Services to identify existing resources and technical capabilities and explore challenges and solutions prior to publishing policy. For example, the Marine Corps is not resourced, nor does it have the necessary infrastructure to capture temporary email for users other than Senior Capstone Officials. Additionally, policy requiring retention of texts and electronic chats would require a third party agreement that may not be attainable. By increasing engagement with the Services, NARA would better understand their resource limitations and could devise more feasible solutions.

APPENDIX C

Department of the Air Force Component SAORM Report

Senior Agency Official for Records Management
2017 Annual Report
DoD Component Input from the Department of the Air Force

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive* (M-12-18). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

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- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Tommy W. Lee
- Position Title: Air Force Records Officer
- Address: 1800 Air Force Pentagon, Washington, DC 20330-1800
- Office Telephone Number: (703) 695-6609
- Email: usaf.pentagon.saf-cio-a6.mbx.af-records@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   X Yes

☐ No

Please explain your response:

The Air Force is planning on migrating to DEOS. Furthermore, in conjunction with the Air Force Chief Technical Officer, the Air Force provided its requirements for an automated information Management application to the Defense Information Systems Agency (DISA) for the DEOS initiative in 2016. The requirements were incorporated into the DEOS system requirements and published in the Request for Proposal.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

   X Yes
   ☐ No

   Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.
   The Air Force has evaluated digitizing hard copy records, however, due to the required accuracy threshold and amount of documents, it is not economically feasible for the Air Force to mandate the digitization of all hard copy records. As a result the Air Force provided within AFMAN 33-363, Management of Records, a recommendation to the records holders to convert paper documents to electronic formats where economically feasible to storage across the Air Force. The manual directs the evaluation of cost effectiveness prior to scanning and the performance of quality assurance validation prior to the destruction of the paper records.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

   X Yes
   ☐ No

   Please explain your response:

The Air Force has taken steps to ensure that recordkeeping requirements and other records management needs have been accounted for during reorganizations and the elimination of offices and/or functions. IAW AFI 33-364, Records Disposition: Procedures and Responsibilities, 22 December 2006, Chapter 7, When the Air Force redesignates or reorganizes a unit or activity with a change in function or mission, cut off the files on the day before the redesignation or reorganization and ensure that the successor unit or activity maintains them as a separate entity. When the Air Force redesignates or reorganizes a unit or activity with no change in function or mission, maintain the files and cut off in the same manner and at the same time as if no change of status had occurred. When the organization is not transferring responsibilities, destroy records as permitted by records disposition schedule, transfer records (that are disposable within 8 years) to the appropriate staging area until they are eligible for disposal, and retire records to WNRC that are to be kept for at least 9 years or that current directives do not require at another organization or records center.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

    X Yes
    ☐ No

Please explain your response:
In 2017, the Air Force Deputy Chief Information Office (CIO) informed all Air Force functional leaders to reduce, simplify and group existing Air Force records retentions. In addition, the Air Force SAORM directed the development of an Air Force Records Management Strategic Plan. Furthermore, this spring, the Air Force will conduct a comprehensive review of all Air Force records in an effort to reduce the amount of "official" records; place these identified records into common dispositions and produce a new Air Force records schedule. Finally, the CIO in conjunction with the AF Judge Advocate will publish a memorandum to all records holders reminding them of their legal responsibilities for records management.

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

      X Yes
      ☐ No

Please explain your response:
The Headquarters Air Force (HAF) Record Management Office established an out-processing procedure for the Senior Executive Service members, Presidential Appointees and all outgoing General Officers whereby they are to contact their Records Manager to receive a Records Management presentation on their responsibilities, including documenting their public service, use of personal email, and other recordkeeping requirements. The office of the Assistant to the Secretary of the Air Force (SAF/AA) administers the program and executes the program through each individual office. During 2017's Presidential appointee changeover, the outgoing appointees were all briefed on their Records Management responsibilities - what they can and cannot retain.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

   DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**
   The Department of the Air Force highly recommends that NARA provides the success criteria for meeting the 2019 goal in managing permanent electronic records at least a year in advance. Furthermore, the Air Force requests NARA to interact with the commercial community to push possible technical solutions towards the automation of electronic records throughout their lifecycle.

APPENDIX D

Chairman of the Joint Chiefs of Staff Component SAORM Report

APPENDIX D-1

Chairman of the Joint Chiefs of Staff SAORM Report

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

Patricia Capers
Records Officer
Pentagon Room 2D943 Washington, D.C> 20318
703-6799777
Patricia.a.capers2.civ.mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   X Yes

☐ No

Yes - The Joint Staff currently maintains the majority of its information electronically, particularly when it comes to official JS case files, as these flow directly from the tasking system into the records repository, thus enabling capture of these important permanent records. The JS has deployed and implemented its enterprise tasking and records management tool. While there is still much work to be done this solution will allow the JS to meet the requirement of 2019. JS progress continues in the development and implementation of its enterprise tasking and records management tool that will support future lifecycle management of all JS electronic information.

No-JS is not planning to utilizes DEOS.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

☐ Yes
X **No**

JS has a significant collection of classified paper and mix media records. However because of current budgetary and manpower issues the digitization of these collections would be burdensome and would require a multi-year phased approach. At this time the JS has not developed an agency plan to implement digitization of permanent records created in hard copy or other mixed media.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

    DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

    ☐ Yes
    ☐ No

    Please explain your response:

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**

(see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

    ☐ Yes
    ☐ No

Please explain your response:

6. **Have you, as the SAORM, ensured that 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.

   DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

       ☐ Yes
       X No

JS is in the process of enhancing its outreach to onboarding and off boarding senior level officials. The current trifold is made available where a one one-one briefing is currently being developed.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

   DoD SAORM will provide this response. No DoD Component input is required.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

To the extent that NARA has the capabilities to execute oversight and compliance of the execution of born digital lifecycle management as it does today with textual records, NARA would be proactive in providing "Success Criteria" for electronic recordkeeping for social media, web records, or other electronic records that could potentially be an electronic records set. This criteria must necessarily include the ability to access records retention, migration, acquisition and decommissioning of systems that were once electronic records repositories or conduits for electronic records.

Workshops for electronic recordkeeping and compliance with student observation of the process of collection and transfer of electronic records to NARA's Electronic Records Archive.

APPENDIX D-2

National Defense University SAORM Report

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact – Ms. Tonya Barbee, MBA
- Position Title – Agency Records Officer/MICP Program Manager
- Address – 300 5th Avenue, SW Washington, DC 20319
- Office Telephone Number – 202-685-3941
- Email – barbeet@ndu.edu

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   <mark>☐</mark> Yes
   ☐ No

Please explain your response: NDU is planning to meet M-12-18, Goal 1.1 of managing all permanent records in an electronic format by December 31, 2019. We are planning to acquire a 5015.02 STD Electronic Records System before this deadline. In the interim, we have inventoried 85% of our records and are now in the process of completing this project and identifying our permanent records.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

   ☑ Yes
   ☐ No

   Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives. NDU is currently in the process of developing a set of actionable plans to implement the digitization of hard copy permanent records. The first set is the identification of eligible records and the generation of a Rough Order of Magnitude (ROM) for the associated costs and associated work to perform the task. The process is currently underway and when completed, NDU plans to submit a proposal to outsource the digitization tasks. Potential issues are:

   - *Acquisition of additional IT storage resources*

   - *Personnel resources to perform the tasks (potentially mitigated if outsourced)*

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

   ☐ Yes
   ☑ No

   Please explain your response: We have no plans this year of eliminating offices/functions.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

☑ Yes
☐ No

Please explain your response: At NDU, we have refined and republished our Records Management Instruction; created the annual Top-down RMP memo which is being disseminated to affirm the importance of information management, identifying our permanent and vital records, and protecting the NDU legacy; including RM as a critical element in performance plans; created a task force for procuring a 5015.02 STD Electronic Records System.

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

☑ Yes
☐ No

Please explain your response: Senior leaders have been briefed on records management responsibilities to include email records management. We are in the process of creating Email Records Management Instruction and additional guidance for NDU senior leaders. In addition, NDU has integrated a mandatory Records Management brief to all

new employees, regardless of their position within the University, to ensure that everyone is fully cognizant of their individual and corporate records management responsibilities.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

   DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

   NARA has provided guidance in regards to NDU's records management responsibilities. We will continue to communicate with our archivist as we progress in meeting M-12-18 and beyond.

APPENDIX D-3

United States Africa Command SAORM Report

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

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- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Mr. Randall J. Nelson
- Position Title: Supervisory Management Analyst
- Address: UNIT 29951 APO, AE 09751-9951
- Office Telephone Number: 314-421-3611
- Email: Randall.j.nelson.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   ▉ Yes

☐ No

Please explain your response: All permanent official records are being retained as electronic records. Records Officers and File Custodians are trained to manage their respective directorate's records in electronic form. The use of shared drives is still being utilized however training is underway to create links to our designated electronic records management system, Content Manager as the approved electronic archive. The same process is being used for electronic mail by creating links from an Outlook Organizational Mailbox to Content Manager.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

■ Yes
☐ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives. All Records Officers (RO) and File Custodians (FC) have been briefed that any permanent records still in hard copy format will be digitized and migrated to Content Manager. All JSAPs and records signed by the Top 5 are being electronically archived in Content Manager by the SJS. All other permanent records are the responsibility of the ROs and FCs. If shared folders are being used then they have been directed to create links between these folders and Content Manager to archive the records and the same with permanent email records from Outlook into Content Manager. ROs and FCs have been briefed that they are responsible for manually migrating permanent records that reside on SharePoint into Content Manager.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

☐ Yes
☐ No

Please explain your response: No input

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

   ☐ Yes
   ☐ No

   Please explain your response: No input

6. **Have you, as the SAORM, ensured that 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.

   DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

   ■ Yes
   ☐ No

   Please explain your response: A tri-fold is provided to all new senior leaders. An offer to brief is extended if additional information is required. Prior to departure, senior leaders' staff is notified that all papers and records that will be taken by the senior leader must be reviewed by the Command Records Manager.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information**

management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))

DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

No specific guidance or support is required from NARA at this time. As our electronic capture and file capability continues to evolve future support could be required and as such, the Command RM has the tools and contacts needed to reach out to NARA for such support.

APPENDIX D-4

United States Central Command SAORM Report

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

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- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact Ms. Kathryn H Nevins
- Position Title: Command Records Manager
- Address: 7115 S Boundary Blvd, Macdill AFB FL
- Office Telephone Number: 813-529-6297
- Email: Kathryn.h.nevins.civ@mail.smil.mil; Kathryn.h.nevins.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

    DoD SAORM will provide this response. No DoD Component input is required.

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)**

    DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

    ☒ Yes

☐ No

Please explain your response: The CENTCOM RM is uniquely positioned within the J6 community. The position has visibility on taskers regarding the implementation of new systems within the HQ and the AOR; as well as review of enterprise level decision(s) (i.e. DEOS, MPE-IS, DEE etc).

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

   ☒ Yes
   ☐ No

   Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

   ☒ Yes
   ☐ No

   Please explain your response:

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**
   (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

☒ Yes

☐ No

CENTCOM has placed Records Management within the J6 directorate, which mirrors the Federal CIO Core Competencies model. The Command Records Manager is delegated authority via the CIO for the Command. This enables the RM personnel to be exposed to all new systems being placed into the AOR and in the HQ via the approval process; as well as ensuring RM personnel read and give input to all guidance. The J6 is very conversant with RM and ensures the mission is represented at Senior Level engagements for himself and the Deputy CIO (O-6). One big win for CENTCOM is RM will be placed into the Request for Forces (RFF) process ensuring that all soldiers are trained in basic RM prior to deployment.

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

☒ Yes

☐ No

Please explain your response: The requirement to train senior leadership is documented in local guidance (CCR 25-50), and some senior leaders are trained by the Directorate Records Officers. The Command RM is working to put a more structured senior leader training program in place.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

Enforcement of RM policies and procedures is the largest problem within the DoD. The program has evolved consistently but the perception of the program continues to be one of paper record keeping. Guidance has been written for the last several years requiring all enterprise systems incorporate RM requirements, but there is no "gotcha" for not encoding RM functionalities. The DoDI 5015.02 still says five years from the change date of the publication, instead of giving a hard date to enforce and support current Memorandum 12-18. Continually allowing organizations to "slip" their requirement only allows the message to remain that this mission is not as important as Cyber, or Information Security, or any other enterprise missions.

The skills required by RM professionals mirror Cyber and Information Technology professionals yet the DoD did not annotate those skills within the new series. Policy and/or guidance from NARA enumerating those skills could assist in changing the series. This change would then assist the RM personnel in obtaining training not given by the DoD (i.e., AIIM, MER, ARMA) to sharpen or obtain these skills.

APPENDIX D-5

United States European Command SAORM Report

HQ EUCOM POC:

Latrice Bader

Command Records Manager

Unit 30400 APO AE 09131

314-430-4458

Latrice.bader.civ@mail.smil.mil

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, EUCOM recently acquired Gimmal Compliance Suite Pro to properly manage the electronic records in the command. Currently, about 80% of our records are electronic with a 2018 goal of at least 90% by the end of the year. The awards and decorations are required to be hard-copy.

3. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio) (M-12-18 Goal 1.1)? Yes, currently all (other) permanent records have been scanned and ready for transfer except the awards. Currently we have 15+ boxes of awards and digitizing would be a huge undertaking for a Records Management office of one. The EUCOM awards section is also an office of one. During May – July 2017, the Records Manager visited each Directorate to assess the volume of hard-copy permanent records. This assessment/reconciliation resulted in 2 staging boxes of documents. Each Directorate scanned all documents 24 years and younger and placed those on the shared drive labeled "permanent"

6. Have you, as the SAORM, ensured that 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? Yes upon arrival, I request an appointment and provide two tri-folds (Records Management for Senior EUCOM Personnel & Information and Records Management for Joint Staff Senior Leaders). I explain that their emails will be journaled and properly reviewed (usually after their departure) to determine official records worthiness. The initial contact with the Chief of Staff help establish a rapport, let him/her know about the Records

Management program and get "buy in" and support from the beginning. At least 30 days prior to departure, I reiterate the journaling and determine if he/she has additional records perhaps on their personal drive. It's not 100% but we have the conversation.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)** None. The FY 2020 policy implementation will fully support M-12-18 that "all permanent electronic records in Federal agencies will be managed electronically to the fullest extent possible for eventual transfer and accessioning by NARA in an electronic format"

APPENDIX D-6

United States Northern Command SAORM Report

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact Sandra McAfee-Symons
- Position Title   Command Record Manager
- Address   N&NC/CSC, 250 Vandenberg St., Suite B016, Peterson AFB, CO 80914
- Office Telephone Number   719 554-3858 (DSN: 692)
- Email   sandra.m.mcafee-symons.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

    DoD SAORM will provide this response. No DoD Component input is required.

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)**

    DoD Note: If you are planning to use DEOS, pleae note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

✓ Yes
☐ No

Please explain your response: All NORAD and USNORTHCOM permanent records are managed electronically via the Commands' official record keeping application (HPRM). Conducted file plan audit to identify all permanent (-04) record series and locations. Identified one permanent record type (military decoration) that needed to be converted from paper to electronic copy. Parent organization (J1) is responsible for scanning content as the electronic official record. No other permanent record series exist in hard-copy format.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

✓ Yes
☐ No

See Question 2. Additionally, staffing from local Reserve unit is used to assist NORAD and USNORTHCOM organizations with permanent and long-term disposition scanning efforts. Audit (Question 2) and Command Historian office coordination did not identify any additional hard copy or other analog formats permanent contents.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

☐ Yes
☐ No

Please explain your response:

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**

(see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

□ Yes
□ No

Current Records Management Program function/staff does not have a dedicated budget and must compete with other staff for resources (training, software, travel). Additionally, CCMD staffing does not provide for dedicated Records Management personnel (either military or civilian) – strategic direction to man additional dedicated records management billets throughout the organization is required.

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

✓ Yes
□ No

Listing of Senior Personnel, by position, is produced by J1 and validated monthly by the CCMD CDR. J7 schedules the names of incoming personnel to receive a GO/FO/SES Orientation which includes Records Management. As CRM, I brief the importance of RM, address email/personal records responsibilities, and provide overall RM climate in gaining organization. The same J1 listing is used by the CRM to schedule the Senior Leader Exit brief. A Command GO/FO level tasker is sent to the organization 60 days from projected departure date to remind/inform Senior Leader of required action. The CRM provides training to staff on how to complete the checklist, provides an exit

briefing, and helpful tip aids. The Senior Leader Exit checklist requires signatures from the RM appointee conducting brief and member certifying actions as being complete.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

    DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

    Ensure that enterprise solution providers for such services as email and portal provide for automated electronic recordkeeping. For example, DISA as the directed enterprise email provider as well as enterprise portal must provide an electronic recordkeeping methodology/software solution for all users (not just journaling of senior leaders). DoD components have been directed to use DEE and DEPS, yet no electronic record keeping methodology is provided. Likewise, the JWICS solution provided by DIA also does not provide an automated records management solution for e-mail. Furthermore, no feedback mechanism exists from CCMDs to ensure requirements levied upon them to use DoD enterprise service have taken into account records management and the expected actions required.

APPENDIX D-7

United States Pacific Command SAORM Report

Senior Agency Official for Records Management 2017 Annual Report
DoD Component Input from US Pacific Command (USPACOM)

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
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- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Donald C. Gladney
- Position Title: Command Records Manager
- Address: 1 Elrod Rd, Bldg 700 Camp H.M. Smith, HI 96861-4028
- Office Telephone Number: (808) 477-7798
- Email: donald.gladney@pacom.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   X Yes.
   No

Please explain your response:
USPACOM continues to make strides towards achieving this goal. The goal of accomplishing this task was started after attending the COCOM Conference in 2012 which focused on M-12-18 requirements and post-war records. From DoD CIO and JS guidance, USPACOM pursued services from NARA which resulted in the creation of the NARA-USPACOM 2014 Project. The focus was capturing 30yr eligible permanent records and transferring them to the National Archives.

The 2014 NARA Project comprised of USPACOM's three post-war organizations: USFK, USFJ and JPAC which is now DPAA which no longer reports to USPACOM. The NARA Project helped USFK (Mr. Palomo) meet this goal and he has started on CAPSTONE implementation. The focus has shifted to getting CFE(Ms Greco), JIATF-W(Mr. Passmore), and HQ's completed before the deadline while continuing to work with USFJ.

USFJ has four permanent collections that are used daily by staff and dates back as far as the 1950's. The Government of Japan (GOJ) prefers using the source documents when in negotiations with USFJ. Due to the volume of all four collections, professional contract scanning services have been recommended.

NOTE: I have reservations on using DEOS as the platform for managing any records. Currently USPACOM currently resides on Navy-Marine Corps Intranet (NMCI) and my concerns stem from Records Management Application (RMA) selection and having adequate storage space for capturing record information. This is critical to USPACOM and their commands that are overseas, 19hrs ahead of EST, should any issues arise.

The few pages that "address" Records Management in DEOS didn't provide the necessary strategic logic in-depth, a tactical implementation plan nor an operational management overview that connects the application(s) and system(s) with RIM processes and procedures. Also, it was very disappointing to know that DISA Records Officers aren't part of the Records Management planning/transitioning teams.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

☐ X Yes
☐ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.
USPACOM will requisition contract services combined with tasking organization personnel to help with identifying their permanent paper records within JIATF-W, CFE, HQ USPACOM and USFJ. Recently, CAC enabled digital network equipment was purchased throughout USPACOM on both NIPR and SIPR domains. Individuals will be able to scan their paper records, converting them to digital format and forward them to their e-locations.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

   ☐ Yes
   ☐ No

   Please explain your response:

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

   ☐ Yes
   ☐ No

Please explain your response:

6. **Have you, as the SAORM, ensured that 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.

   DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

   ☐ X Yes
   ☐ No

   Please explain your response: USPACOM CRM addressed this item with the JS about creating an official senior leadership in-out briefing/checklist template and deploy to the COCOMS to alleviate having each COCOM with different in and out brief procedures, but unfortunately the POC had to retire, so hopefully the JS will take this on again.

   However, HQ USPACOM leadership established mandatory monthly initial training briefings for all newcomers to include some senior leaders where they are provided a trifold that covers the areas of concern and given a quick overview on records management policies and procedures. All newcomers must complete USPACOM's RM CBT which is also a mandatory annual requirement for all USPACOM staff members.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

   DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**
   Create effective policies with stronger enforcement verbiage that will support resourcing agencies properly to support the Records Act and carry out NARA task, etc. Unfortunately, in today's business world, no enforcement equals not a priority!

APPENDIX D-8

United States Southern Command SAORM Report

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

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- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Dr. Shellie R. Glass
- Position Title: Command Knowledge Management Officer
- Address: 9301 NW 33rd Street, Doral, FL 33172
- Office Telephone Number: 305-437-0621
- Email: shellie.r.glass.civ@mail.mil

NOTE: Previous SOUTHCOM Records Officer has departed and the position is currently vacant. Current POC is not the RO.

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

    DoD SAORM will provide this response. No DoD Component input is required.

2. <mark>Is your</mark> 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)

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

       X Yes
       ☐ No

   Please explain your response: USSOUTHCOM has a phased approach to conducting an assessment of the enterprise and noting all Permanent retention schedules mapping them to an electronic repository. Upon replacing the previous RO Goal 1.1. will continue through the phases to meet the goal of managing all permanent records in electronic format.

3. <mark>Has your</mark> agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

       X Yes
       ☐ No

   Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives. SOUTHCOM Reg. 57-1, RM Program requires all records to be managed throughout its lifecycle in electronic form whenever possible. Exceptions to policy must be approved by the Command Records Manager. All e-records are contained in folders names applying file codes, sub-bucket identifiers ending in the 04 series identifier for Permanent records. Permanent records on SharePoint are automatically identified for electronic archiving.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

       X Yes

☐ No

Please explain your response: As organizations are eliminated, combined or functions change, records are identified for each division and file plans updated. Each organization is required to have a records POC for continuity.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

☐ Yes
☐ No

Please explain your response:

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

X Yes
☐ No

Please explain your response: Senior Agency Officials onboarding and off boarding are provided an overview of their recordkeeping responsibilities.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))**

    DoD SAORM will provide this response. No DoD Component input is required.

8. **<mark>What policies</mark>, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

    SOUTHCOM welcomes guidance as outlined in NARA's recent Strategic Plan for electronic Records management. Continued updating of the NARA toolkit is also appreciated. Perhaps additional forums would be appropriate as the 2019 and 2020 goals are approaching.

APPENDIX D-9

United States Special Operations Command SAORM Report

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact Clyde Iverson
- Position Title   Command Records Manager
- Address   7701 Tampa Point Blvd, MacDill AFB, FL 33621-5323
- Office Telephone Number   Comm: (813) 826-4221; DSN 299-4221
- Email   clyde.iverson@socom.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   ☐ X Yes

☐ No

Please explain your response:

The U.S. Special Operations Command (USSOCOM) has purchased Hewlett-Packard Enterprise Content Manager (HPE CM) software and enterprise licensing to utilize for capturing all permanent electronic records for the USSOCOM enterprise.

Note: USSOCOM has no current plans to use DEOS, however we would still like to see the overview.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

☐ X Yes
☐ No

Please explain your response:

USSOCOM Directive 25-51, Records Management Program, dated 17 October 2014, requires all records assessed as permanent to be digitized and electronically stored in USSOCOM's enterprise ERMS and transferred to NARA after 25 years in yearly blocks, unless an earlier pre-accession agreement with NARA is made.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

☐ Yes
☐ No

Please explain your response:

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

☐ Yes
☐ No

Please explain your response:

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsilbities.

☐ X Yes
☐ No

Please explain your response:

It is USSOCOM's written policy that our appointed Directorate Records Officer's (DRO's) are responsible for ensuring all incoming and outgoing senior officials are briefed on their records management responsibilities.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information**

management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))

DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

NARA should write policy and guidance that makes record management easy to accomplish in an electronic environment. Creating and saving records into an electronic folder named based on a specific table and rule is not feasible in an electronic world. The old table and rules for managing records in a non-electronic world (paper) cannot be used to easily establish an electronic records management system. NARA should look at having just a few retention periods/policies and apply these retentions to all data based on the value of the information not only to the command but to the people of the United States of America. How long information is retained should be the driving force behind how any electronic records management system is established and maintained. Shear volumes of electronic data combined with the many complex ways of how data is created, it makes sense to apply a retention policy vice trying to manage the data based on its content.

APPENDIX D-10

United States Strategic Command SAORM Report

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact
- Position Title
- Address
- Office Telephone Number
- Email

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

    DoD SAORM will provide this response. No DoD Component input is required.

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)**

    DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

☐ **Yes**
☐ No

*Please explain your response: In preparation for Command's future move to a new facility in 2019, along with M-12-18's Goal 1.1 deadline, a process was implemented at USSTRATCOM that directs all personnel to scan their hard copy documents that are required for retention, and file (drag and drop) them into their Office of Record's electronic file plan located on their NIPR/SIPR restricted drives so they can be automatically transferred, via document queues, into the Command's official records repository known as Hewlett Packard Enterprise (HPE) Records Manage; for TS, records will be manually monitored by File Custodians (FCs) for retention and disposition. Each Quarter, FCs provide a status report to their Directorate Records Officer (DRO); the DRO monitors the progress that their Directorate is making, with Command Records Manager (CRM) oversite, to ensure all hard copy records are converted (scanned) as a ".pdf" and place in electronic file plan for retention until their disposition is met for destruction (temporary records) or transferred to NARA for permanent storage. **Note:** All Command personnel have the ability to "drag and drop" official records into their "Office of Record's" electronic file plan and have "read only" web-based access to HPE Records Manager.*

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

☐ Yes
☐ No

*Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives. Answer to this question is similar to Question 2 of this SAO Report; however, to evaluate our process at USSTRATCOM, an internal Staff Assistant Visit (SAV) was conducted by the Command Records Manager (CRM) in July-October 2017 timeframe to ensure compliance was being met.   This process directs all personnel to scan hard copy documents, that are required for retention (this includes permanent records), and file (drag and drop) them into their electronic file plan created on NIPR/SIPR restricted drives to be automatically transferred, via document queues, into Hewlett Packard Enterprise (HPE) Records Manager; TS records will be manually monitored by File Custodians (FCs) for retention and disposition. Each Quarter, FCs provide a status report to their Directorate Records Officer (DRO); the DRO monitors the progress that their Directorate is making, with CRM oversite, to ensure all permanent hard copy records are converted (scanned) as a ".pdf" and place in HPRM. **Note:** This*

process is reflected in our Strategic Command Instruction (SI) 930-01, Records Management Program; along with CRM's briefing slides to Newcomers at Command Orientation, and taught during Records Management Training events.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

   ☐ Yes
   ☐ No

   Please explain your response: Directorate Records Officer (DRO) from a disestablished Directorate (ex. USSTRATCOM disestablished the J9 Directorate for which was absorbed by the J7 Directorate) works with the gaining DRO to review/modify the affected Office of Records file plans. The Command Records Manager (CRM) provides oversight and modifies the Command's records repository (HPE Records Manager) of those changes and moves all stored records to their new Office of Record (ex. J9 Directorates records were relocated to J73).

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

   ☐ Yes
   ☐ No

   Please explain your response: USSTRATCOM Instruction (SI) 930-01, Records Management Program, was substantially modified and approved on 2 October 2017; this SI encompasses the mandatory requirement of filing records, as defined by Title 44

U.S.C. § 3301, be electronically filed in Hewlett Packard Enterprise (HPE) Records Manager v8.3 (USSTRATCOM's Records Repository).

6. **Have you, as the SAORM, ensured that 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.

   DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

   ☐ Yes
   ☐ No

   Please explain your response: Senior officials receive a tri-fold handout on USSTRATCOM's RM Program; this handout provides the leaders with the legal definition of Federal record, examples of records, their RM responsibilities, discourages personal account/email usage, RM references, and POCs.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

   DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

   USSTRATCOM is well underway for fully becoming completely electronic for recordkeeping; with the recent migration of Windows 10 to all NIPR and SIPR machines, the Command Records Manager (CRM) was able to get Hewlett Packard Enterprise (HPE) Records Manager v8.3 added to the baseline of software; thus, ensuring that all personnel have the ability to access the Command's records repository once they have received training and an account created for them. USSTRATCOM has also implemented, within its business rules,

*the requirement for electronic staffing packages to be routed through the Chain of Command for signature; this process allows for quick filing in HPE Records Manager. **Note:** HPE Records Manager follows NARA guidelines for transfer of Permanent electronic records.*

APPENDIX D-11

United States Transportation Command SAORM Report

United States Transportation Command (USTRANSCOM)

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, USTRANSCOM is making progress toward managing all permanent electronic records in electronic format by December 31, 2019. We are currently creating and email policy to manage emails as well as well as going from a paper environment to a paperless environment; specifically permanent records.

3. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes, USTRANSCOM is making progress toward managing all permanent electronic records in electronic format by December 31, 2019. We going from a paper environment to a paperless environment; specifically permanent records. We are also, ensure to all other formats are being digitized.

4.   OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

Yes, were necessary the USTRANSCOM has taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes.

5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?

I have made many attempts to ensure that the records management program has strategic direction, support and resources it needs to be successful.

6. Have you, as the SAORM, ensured that 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?

No not all USTRANSCOM senior official have been briefed on their records management responsibilities. We are currently in the process of creating and email policy to brief all USTRANSCOM personnel on use of personal email.

7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan?
(**OMB Circular A-130, Managing Information as a Strategic Resource**)

No records management program and related requirements are not included in agency's Information Resource Management Plan.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

We currently do not need anything from NARA. I have currently put out guidance transform to make records electronic

APPENDIX E

Office of the Secretary of Defense Component SAORM Report

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA Managing Government Records Directive (M-12-18). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- Ms. Karen F. Meyers
- Director, Executive Services Directorate, Washington Headquarters Services
- Washington Headquarters Services, Office of the Secretary of Defense,
- 1000 Defense Pentagon, Washington DC
- 571-372-0478
- whs.mc-alex.esd.mbx.records-and-declassification@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   ✓ **Yes**
   ☐ **No**

Immediate office of the Secretary of Defense and the OSD Components

Immediate office of the Secretary of Defense and the OSD Components are supported by Defense Information Systems Agency's, Joint Service Provider (DISA/JSP). The IT services provided include implementing the strategic direction devised by the Secretary of Defense. Per Deputy Secretary of Defense Memorandum of 13 Sep 17, "Accelerating Enterprise Cloud Adoption," DISA/JSP will contract with vendors to migrate DoD components to Cloud Services. A part of this measure is to identify what commercial tools vendors have available to meet NARA/DoD requirements for managing electronic records and meeting the 2019 goal.

The OSD Records Administrator (WHS/RPDD) will continue to coordinate with DISA/JSP to address records and information management requirements and assist with identifying solutions for the Defense Enterprise Office Solution (DEOS), as requested.

Assistant Secretary of Defense for Health Affairs and the Defense Health Agency

The CRMO for the Assistant Secretary of Defense for Health Affairs has implemented the following methods to comply with M-12-18, goal 1.1)

- Senior official emails within DHA are being journaled within DISA DEE environment.
- DHA provides each office with a guide to implement an e-File Station. The e-File Station is an electronic sever repository for official records which provides access controls, and prevents users from accidentally destroying official records.
- Additionally, the DHA component Uniformed Services University has contracted with Google to manage records in the cloud utilizing ZL technologies.

Defense Advanced Project Research Agency

The CRMO for DARPA Affairs has implemented the following method to comply with M-12-18, goal 1.1)

The component utilizes Micro Focus's HPE Content Manager (HPE CM) as its Records Management Application (RMA).

Uniformed Services University of the Health Sciences

USUHS is currently working on a plan to stop the creation of paper permanent record. Previously created permanent records will be send to OSD for automation.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

    ✓ **Yes**
    ☐ **No**

Immediate office of the Secretary of Defense and the OSD Components

  Created in 2008, the Office of the Secretary of Defense (OSD) Executive Archive (EA) is an electronic repository with over 50 million pages of permanent OSD historical and sensitive records, classified up to Top Secret/SCI. The EA is both a historical archive for permanent OSD records and is a text-searchable information access and e-Discovery tool used to provide valuable historical information to decision makers across the Department and Federal government. NARA has approved the OSD EA as a record repository for OSD. To date, the OSD EA has digital record collections for Secretaries of Defense Rumsfeld, Gates, Panetta and Hagel, and Carter. In addition, the EA has records from other CAPSTONE Officials, such as:
    DoD/CIO: Mr. Carey, Ms. Takai, Mr. De Vries,
    ASD Health Affairs: Mr. Wightman, Dr. Guice and Dr. Woodson
    DoD/OGC: Mr. Preston
    USD(I): Mr. Vickers
    USD (P&R): Ms. Wright, Ms. Junor
    WHS: Ms. Yarwood, Ms. Young,
    PFPA: Mr. Calvery
    The OSD EA also includes special digital record collections relating to the Coalition Provisional Authority (CPA), the Fort Hood and Navy Yard Shootings, and the Church Report.

  OSD is also coordinating with NARA for the conversion of hard copy disposition authorities to media neutral authorities. The OSD Records Administrator has identified over 300 permanent disposition authorities for conversion, this will allow the OSD Records and Information program to scan records into OSD/EA, as the official record, destroy the hardcopies (after passing quality assurance) and proactively interact with OSD components on the retrieval of permanent records.

Assistant Secretary of Defense for Health Affairs and the Defense Health Agency

  DHA has begun to evaluate implementing digitization of permanent records. The main obstacle to implementation of digitization initiatives are the availability of funding.

Defense Advanced Project Research Agency

The component continues to digitize permanent hard copy / analog records and archive them into its RMA - HPECM.

Uniformed Services University of the Health Sciences

For hard copy records, please see the answer for question #2. USUHS CRMO is unaware of any type of records being created in the format mentioned above. Survey will be conducted during annual records review, which will take place during the month of March. If permanent records are found in those format, automation will be coordinated with OSD.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

   - ✓ **Yes**
   - ☐ **No**

Immediate office of the Secretary of Defense and the OSD Components

The OSD Records Administrator has developed and implemented specific training programs for OSD Component Records Management Officers (CRMO), records managers, liaisons and custodians. This in-person training provides RM personnel with an overview of their responsibilities, terminology, development of file plans, and the disposition of OSD records and information. In-person training has enabled RM personnel to share experiences with peers and OSD Records & Information Management Staff. Additionally, the OSD Records Administrator will send a memorandum providing RM guidance on transfer of functions across OSD and DoD components.

Assistant Secretary of Defense for Health Affairs and the Defense Health Agency

The DHA RM team regularly attends office relocation strategic planning meetings. Additionally, the RM team performs site surveys for components that

DHA absorbs. DHA RM provides training for all new component Records
Custodians and works to establish file plans for all their offices

Defense Advanced Project Research Agency

No response provided.

Uniformed Services University of the Health Sciences

USUHS does not currently have a plan in place, but is going to educate Records
Custodians during records review/audit, by incorporating the information in training
sessions, and by sending regular reminders.

5. **Have you, as the SAORM, taken steps to ensure that your records management
   program has the strategic direction, support and resources it needs to be successful?
   (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records
   Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)**

   **DoD Note: DoD SAORM will provide this response at the DoD level. Please
   include any specific information for your component's records management
   program and senior leader support that is applicable.**

   ✓ **Yes**
   ☐ **No**

Immediate office of the Secretary of Defense and the OSD Components

The OSD SAORM has established and prioritized a list of strategic goals to ensure we
meet mission goals.   The OSD SAORM and OSD Records Administrator serve the OSD
Components by ensuring OSD employees and leadership:
- Are trained in the fundamentals of records management
- Implementing RM requirements into information systems and applications
- Provide real-time advice and guidance to OSD Senior leadership
- Archiving OSD records of historical value in electronic formats suitable for long term
  preservation and maintained without loss of information

Assistant Secretary of Defense for Health Affairs and the Defense Health Agency

Senior leaders have signed memorandums in support of the records management program e.g. e-File Station. Additionally, funding has been provided for DoD 5015.02-STD certifications on systems managing electronic records.

Defense Advanced Project Research Agency

No response provided.

Uniformed Services University of the Health Sciences

No response provided

6. **Have you, as the SAORM, ensured that 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.

   DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

   ✓ **Yes**
   ☐ **No**

Immediate office of the Secretary of Defense and the OSD Components

The OSD Records Administrator has multiple means of addressing this requirement, to include:
- Providing briefing materials to senior officials
- Integrating RM information into "incoming" briefs and action officer briefs
- Implementing and updating policies and procedures with DISA/JSP to reflect new technologies and software

- Providing annual RM training for senior officials; and,
- Holding face to face briefings upon request

Assistant Secretary of Defense for Health Affairs and the Defense Health Agency

DHA Senior officials are required to take the annual OSD Senior Official Records Management Training provided in JKO. During in/out-processing senior officials are also provided with information regarding their recordkeeping responsibilities.

Defense Advanced Project Research Agency

The Component's senior officials are aware of their management responsibilities and follow all applicable checkout procedures when departing the component.

Uniformed Services University of the Health Sciences

No response provided.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

   DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

Immediate office of the Secretary of Defense and the OSD Components

- Provide clearer guidance regarding how to implement the revised General Records Schedules. Specifically regarding what is meant by the "longer retention is authorized if required for business use" caveat. This caveat in the revised GRS allows for longer retentions in excess of the GRS, but does not define how, when or why it should be used, encouraging program offices to retain records in ad hoc manner or indefinitely.
- More individualized interaction with Senior Agency Officials would provide better program advocacy to support the records officers, possibly moving RM out of the administrative role seen by many and into a more functional program role integrated throughout the department.

- Consult with CIO Counsel regarding integration with IT services. NARA should develop guidance similar to the NIST 800-37 Risk Management Framework1 produced by the CIO Counsel and NIST Cybersecurity Framework2
- Collaborate more effectively with social media companies concerning the retention of "official" government records within social media accounts.

Assistant Secretary of Defense for Health Affairs and the Defense Health Agency

- Free training opportunities
- Provide examples of proven strategies deployed by other federal agencies
- Offer a quarterly briefing to provide updates on accomplishing goal and Q/A session.

Defense Advanced Project Research Agency

It would be helpful to have further guidance on Social Media file plan Management.

Uniformed Services University of the Health Sciences

No response provided

National Institute of Standards and Technology[1] Risk Management Framework (RMF) Overview: The selection and specification of security controls for a system is accomplished as part of an organization-wide information security program that involves the management of organizational risk

[2] The Framework focuses on using business drivers to guide cybersecurity activities and considering cybersecurity risks as part of the organization's risk management processes. The Framework consists of three parts: the Framework Core, the Framework Profile, and the Framework Implementation Tiers.

APPENDIX F

Independent Agency Input to DoD SAORM Report

APPENDIX F-1

Army Air Force Exchange Services

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

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- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- Shanna Jones
- Records Officer
- 3911 S. Walton Walker Blvd, Dallas, TX 75236
- 214-312-2283
- jonesshanna@aafes.com

1. ~~**What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**~~

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, pleae note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

X Yes

☐ No

Please explain your response: AAFES has a funded project in place that along with Records Management, the Project Management team, Information Technology, and the owners of all permanent records are all collaborating to identify, convert, and manage all permanent records electronically for future transfer to NARA.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

X Yes

☐ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives. AAFES will be scanning and applying metadata to paper permanent records, this initiative should be complete by January 2019.
While we are preparing to make our permanent records electronic we have already come across many sustainability issues. The biggest issue is with our historic videos. We have 30 years of antiquated tapes and incompatible equipment to read them on. Our IT department is scouting eBay looking for DVCAM, BETA, 1/2 IN., 3/4 IN, DVCPRO, D2 DIGITAL, 1 IN., BETASP, MINIDV, HIGH8, and VHSC players. If we are unable to purchase these players to make the digital conversions ourselves we will have to send our tapes to various contracted resources to be converted, which is more costly to our project.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

☐ Yes

X No

Please explain your response: AAFES' records management program has not been effected by OMB M-17-22.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

☐ Yes
☐ No

Please explain your response:

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

☐ Yes
X☐ No

Please explain your response: AAFES does provide training to all current and incoming senior officials regarding their email requirements. However, we are working to implement additional training on all other records management aspects, to include exit briefings.

7. ~~**Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information**~~

management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)

DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

NARA does a great job providing policies and guidance. Support is needed in holding agencies and components accountable and enforcing, with penalties, the agencies that do not meet government record keeping standards.

APPENDIX F-2

Defense Commissary Agency

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA), as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version, as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: **Carol Chambliss**
- Position Title: **Records Officer**
- Address: **1300 E Avenue Fort Lee, VA 23801-1800**
- Office Telephone Number: **(804) 734-8000 ext. 48841**
- Email: **carol.chambliss@deca.mil**

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response.
   The DoD SAORM will be providing an overview of the planned DEOS acquisition
   and its use for managing permanent electronic records.

   X   Yes
   ☐   No

Please explain your response: **DeCA Records Management is upgrading its records management application (RMA), which will include the management and transfer requirements for permanent records by 12/31/2019.**

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

>   X Yes
>   ☐ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

DeCA has identified and scheduled all permanent records. Currently, DeCA has approximately 20 boxes of permanent records that require digitization by the 12/31/2019 mandate.

Implementation is pending approval of the upgraded RMA.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

>   ☐ Yes
>   ☐ No

Please explain your response:

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

>   ☐ Yes
>   ☐ No

Please explain your response:

6. **Have you, as the SAORM, ensured that 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.

   DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

   X Yes
   ☐ No

   Please explain your response: **All DeCA employees are directed to complete the Records Management Basic Training annually. The training includes records management requirements for employees at all levels. In addition, DeCA senior officials (GS-14 and above) are required to complete a Records Management exit brief prior to being cleared and out-processed by DeCA Records Management.**

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

   DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

   More transfer guidance for the transfer of emails for capstone officials would be appreciated, to include recommended tools that can be used to decrypt emails prior to transferring encrypted emails to NARA.

APPENDIX F-3

Defense Contract Audit Agency

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

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- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DCAA/ Duane Adens
- Acting Records Officer
- 8725 John J. Kingman Road, Fort Belvoir VA 22060
- 571-448-3143
- Duane.adens@dcaa.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

    DoD SAORM will provide this response. No DoD Component input is required.

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)**

    DoD Note: If you are planning to use DEOS, pleae note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

    X Yes

☐ No

Please explain your response: This action is pending

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

☐ Yes

X No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives. This action is pending

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

☐ Yes

☐ No

Please explain your response:

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

☐ Yes

☐ No

Please explain your response:

6. **Have you, as the SAORM, ensured that 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.

   DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

            X   Yes
            ☐   No

   Please explain your response: This is done during in-processing and out processing

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))**

   DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

Provide updates and changes in a timely manner

APPENDIX F-4

Defense Contract Management Agency

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: *Tempestt Griffin*
- Position Title: *IT Specialist (Data Management)*
- Address: *3901 A Ave Bldg 10500, Fort Lee, VA 23801*
- Office Telephone Number: *804-734-1654*
- Email: *tempestt.griffin@dcma.mil*

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

    DoD SAORM will provide this response. No DoD Component input is required.

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)**

    DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

    ☑ Yes

☐ No

Please explain your response:

DCMA has been a part of the discussions regarding DEOS, however, no decisions have been made to begin the transition for temporary or permanent records.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

      ☐ Yes
      ☑ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

We have encountered some challenges regarding the digitization of both temporary and permanent archival hard-copy records, primarily due to the fact that our agency has no plans to purchase a document conversion application or service; employees have been directed to scan in their hard copy records and apply the appropriate metadata.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

      ☑ Yes
      ☐ No

Please explain your response:

All reorganization plans, to include those generated by OMB M-17-22, are maintained by the Manpower division within the Agency. Currently, we are using Microsoft SharePoint to maintain these files. In the near future, a DoD 5015.02-compliant system will house these files according to their retention period.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

   ☑ Yes
   ☐ No

   Please explain your response:

6. **Have you, as the SAORM, ensured that 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.

   DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

   ☐ Yes
   ☑ No

   Please explain your response: DCMA has not implemented records management into the in-processing or out-processing procedures for senior-level employees. However, information security is addressed.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

APPENDIX F-5

Defense Finance and Accounting Service

Senior Agency Official for Records Management
2017 Annual Report
DoD Component Input from Defense Finance and Accounting Service (DFAS)

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Ralph E. Mullins
- Position Title: Agency Records Program Manager
- Address: 8899 E. 56th Street, ATTN: Records Manager (Mullins) COL 218R, Indianapolis, IN 46229-0201
- Office Telephone Number: 317-212-7775
- Email: ralph.e.mullins.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   Yes.

Please explain your response:
 DFAS management is currently scanning permanent records into an electronic format. The records will be retrievable in PDF media. This process is being used throughout the agency.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

    Yes.

    Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.
DFAS has implemented the digitization of some permanent records in paper format. Microfiche will remain and will be monitored throughout the lifecycle of the records. DFAS Records Management will ensure proper storage methods are followed.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

    DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

    Yes.

    Please explain your response: DFAS is currently developing electronic recordkeeping processes into the electronic storage systems. DFAS Records Program Manager is a member of all electronic systems revisions and also newly created electronic systems.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**
    (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

      Yes.

Please explain your response:
  DFAS Records Program Manager is in communication with DFAS Information and Technology management. Coordination is made to ensure management is aware of all records management changes and all future guidance.

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

      Yes.

Please explain your response:

Information is provided through annual Records Management training required for all DFAS employees. The training also includes the contact information for Records Management. Freedom of Information Act and Privacy Act training also contains guidance to Senior Officials concerning emails and personal records. Information is also contained on the DFAS Out-processing checklist for employees.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))**

DoD SAORM will provide this response. No DoD Component input is required.

8.   **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

DFAS Information and Technology will need information and guidance on transitioning to electronic recordkeeping systems. The appointment of a Point of Contact from NARA would benefit DFAS in technical issues and enhance communication.

APPENDIX F-6

Defense Information Systems Agency

DoD Component Input from
Defense Information Systems Agency (DISA)

The DoD Senior Agency Official for Records Management (SAORM) will be submitting an annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

DoD Component Point of Contact:	Cynthia Meredith
Positon Title:	Acting DISA Agency Records Officer (ARO)
Address:	PO Box 549 Fort Meade, MD, 20755
Office Telephone Number:	(301) 225-2603
Email:	cynthia.m.meredith.civ!@mail.mil

DoD Component Point of Contact:	Charisse Hollis
Positon Title:	Chief, Knowledge Centered Support
Address:	PO Box 549 Fort Meade, MD, 20755
Office Telephone Number:	(301) 225-4990
Email:	charisse.r.hollis.civ@mail

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

    DoD SAORM will provide this response. No DoD Component input is required.

DISA Response: N/A
DoD will provide a response for all components.

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)**

    DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

    ✓ Yes
    ☐ No

    Please explain your response:

DISA Response: YES
DISA is working toward the management of all permanent electronic records, in an electronic format by December 31, 2019. Several courses of action and have been evaluated to include both commercially available and government developed electronic record keeping solutions. Currently, DISA is evaluating an internal, customized SharePoint 2013 application to determine its feasibility as an interim cost-effective solution. DISA will consider the feasibility of other courses of action such as DEOS as they become available.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

    ✓ Yes
    ☐ No

    Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

DISA Response: YES
DISA understands the benefits of digitizing and maintaining permanent records electronically. After evaluating the level of effort, resources required and cost to implement, it is not cost effective to do a mass scanning of DISA's permanent paper records that are currently stored at the Federal Records Centers (FRCs). We also have offices with unique requirements under the Presidential Records Act (PRA) that require hard-copies (wet signatures) to be maintained in paper format. DISA is revising policy and instructions to include guidance for the digitization of permanent records and requirements for Optical Capture Recognition (OCR), minimum of 300 DPI, and

> appropriate metadata. Guidance will require that all DISA permanent records be digitized (to the fullest extent possible) and transferred to NARA's via the Electronic Records Archives (ERA) system.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

   ✓ Yes
   ☐ No

   Please explain your response:

   > **DISA Response: YES**
   >
   > Recordkeeping requirements and other records management needs are in alignment with the Agency's structure and organizational changes.
   >
   > Specifically, DISA has appointed:
   > - A Records Liaison for each Directorate, Division, Field Command and Special Advisor organizations,
   > - A Center Records Officer for each of the Agency's Centers, and
   > - An Agency Records Officers for DISA and Records Officers/Managers for both the White House Communication Agency (WHCA) and Joint Force Headquarters – Department of Defense Information Networks (JFHQ- DoDIN).
   >
   > In doing so, the DISA Records Management program is better aligned with DISA's organizational structure and better equipped to address the Records Management related requirements as reorganizations occur.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

   ☐ Yes
   ☐ No

   Please explain your response:

DISA Response: N/A
DoD will provide a response for all components.

6. **Have you, as the SAORM, ensured that 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.

   DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

   ☐ Yes
   ☐ No

   Please explain your response:

DISA Response:
DISA has taken steps to ensure that incoming and outgoing senior officials have received briefings on their records management responsibilities. Specifically, DISA has appointed: • A Records Liaison for each Directorate, Division, Field Command and Special Advisor organizations, • A Center Records Officer for each of the Agency's Centers, and • An Agency Records Officers for DISA and Records Officers/Managers for both the White House Communication Agency (WHCA) and Joint Force Headquarters – Department of Defense Information Networks (JFHQ- DoDIN). These organizational records management representatives were trained to provide briefings to their respective senior leaders and staff. Additionally, DISA CIO has provided additional RM brief(s) during DISA Town Hall forums. DISA's mandatory Records Management training provides guidance to all officials and employees on their records management responsibilities. DISA is also currently developing a RM fact sheet specifically tailored to senior leadership.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))**

   DoD SAORM will provide this response. No DoD Component input is required.

DISA Response: N/A

DoD will provide this response.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

DISA Response:

DISA has sought out opportunities to work with other agencies in an effort to determine the best approach to successfully transition to fully electronic recordkeeping. The research that we have conducted has determined that at this time a fully comprehensive cost-effective records management solution is not available. DISA is currently evaluating the feasibility of implementing "flexible scheduling" or "big buckets".

DISA believes that it would be helpful to all federal agencies, if NARA established and led a multi-agency work group or task force to develop a best practice or solution to meet and achieve full electronic recordkeeping. In doing so, Agencies could pool their resources and knowledge in hopes of finding or developing a lower cost, technically acceptable solution that can be implemented across many agencies.

APPENDIX F-7

Defense Logistics Agency

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

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- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact
- Position Title
- Address
- Office Telephone Number
- Email

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, pleae note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   <mark>X Yes</mark>

1. DLA has implemented an electronic records management application (RMA) which will enable electronic records to be transferred to NARA based on the records schedule transfer requirements.

☐ No

Please explain your response:

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

X Yes

☐ No

DLA Records Officer has submitted an inventory action plan to begin conducting an enterprise records inventory in FY18 that will be used to update the current records schedule and identify permanent records assets that will require digitizing

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

X Yes

☐ No

Please explain your response:
DLA RM policy requires:
1. Offices that are being disestablished to transfer the custody of the records to the gaining office or to work with their Component Records Officer to transfer records to the FRC, if applicable.
2. All offices to submit file plans that identifies their office records and locations
3. Beginning in FY18 DLA will begin conducting an Enterprise records inventory in order to update their record schedule which will include identifying the office of record(s)

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**
(see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

☐ Yes
☐ No

Please explain your response:

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

X   Yes
☐ No

Please explain your response:
This requirement is identified in DLA RM policy and is included in the annual mandatory RM training

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

DoD SAORM will provide this response. No DoD Component input is required.

8.   **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

Update to the Federal RM regulations (36 CFR Chapter XII, Subchapter B) to include this requirement and issue RM bulletins

APPENDIX F-8

Defense Security Service

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive* (M-12-18). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- Ron White
- Records Management Specialist
- 27130 Telegraph Road Quantico, VA
- 571-305-6770
- ronald.r.white54.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   X Yes

☐ No

Please explain your response: DSS currently plans to use DEOS once it's available.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

   X Yes
   ☐ No

   Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

   DSS is reviewing historical hard copy records dispositions, some of which are more than 40 years old, and determining whether records previously designated as permanent should be re-designated as temporary records. DSS will coordinate with the Federal Records Center to have any remaining permanent paper records transferred to be digitized.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

   ☐ Yes
   ☐ No

   Please explain your response:

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**
   (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

    ☐ Yes

    ☐ No

Please explain your response:

6. **Have you, as the SAORM, ensured that 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.

   DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

       X Yes

       ☐ No

   Please explain your response:
   The agency records manager coordinates with the executive staff on records management responsibilities for senior officials to ensure they understand their roles for preserving all applicable public records.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))**

   DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

More support and guidance for scheduling integrated information systems. A guide, template, or flow/logic chart would be beneficial.

APPENDIX F-9

Defense Technical Information Center

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
- Questions #1 and #7 will be answered by the DoD SAORM and do not require Component input.
- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Yvette Jacks
- Position Title: SAORM
- Address: 8725 John J. Kingman Rd., Suite 1948
- Office Telephone Number: 703-767-9200
- Email: yvette.r.jacks.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   Question: DoD SAORM will provide this response. No DoD Component input is required.
   Answer: The Defense Technical Information Center

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

☒ Yes

☐ No

Please explain your response: DTIC is in the beginning stages of designing a Records Management Information System to accommodate electronic records. An alternative to this project is to use the Defense Logistics Agency's Document Automated Content Service (DACS that is fully compliant with DoD 5012.2. This is a fee for service application that has been reviewed for consideration. DEOS is another alternate application/process for electronic records management which we will consider.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

☒ Yes

☐ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives. DTIC possesses scientific and technical material on microfilm and other fragile media. DTIC has no mission authority, responsibility, or funding to maintain the STI material created in other DoD Components, in accordance with Federal regulations; the records management responsibility for the copies of the documents that DTIC receives (ref. DoDM 3200.14, Volume 1 "Principles and Operational Parameters of the DoD Scientific and Technical Information Program (STIP): General Processes" dated 14 March 2014) rests with the Heads of the Components of the submitting agencies. That said, DTIC intends to address the deterioration of technical reports on microform material as resources permit, but this is not DTIC record material and DTIC is not treating this as a RM concern.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

☐ Yes

☒   No

Please explain your response: DTIC is not being reorganized under M-17-22.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

☒ Yes
☐ No

Please explain your response: The focus of DTIC's RM resources have been directed towards maintaining our current systems while progress is made in the design and implementation of a new RMS.

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

☒ Yes
☐ No

Please explain your response: Senior officials receive training as part of their in-processing and annually thereafter. Additionally, RM tips and reminders are posted to the DTIC Intranet and the SAORM also sends periodic reminder emails concerning RM

responsibilities, prohibition on the use of personal e-mail, the importance of documenting their public service, etc.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))**

   DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

   N/A

APPENDIX F-10

Defense Threat Reduction Agency

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2017.
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- Questions #2, #3, #6, and #8 require all DoD Components to provide a response.
- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

Name of SAO: **Ms. Nancy Reeves-Flores SES**

Position title: **Director of Information Integration &Technology Services/Chief Information Officer**

Address: **Defense Threat Reduction Agency (DTRA)**

8725 John J. Kingman Road

Fort Belvoir, VA 22060 - Stop 6201

Office telephone number**: (703) 767-4918**

Email**: nancy.p.reeves-flores.civ@mail.mil**

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

    DoD SAORM will provide this response. No DoD Component input is required.

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)**

   DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

   ✓ Yes
   ☐ No

   Please explain your response: The Defense Threat Reduction Agency is making progress in managing permanent records in electronic format. The records management team is working with the Directorates to transfer permanent paper records to electronic format, and storing the records in file folders with the correct series and description per guidance from NARA. The future plan is to migrate to ECAPS/DEOS and comply with the mandate for 4th Estate Agencies when it becomes available.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

   ✓ Yes
   ☐ No

   Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.
   The Defense Threat Reduction Agency's Record Managers have begun digitizing permanent records that were created in hard copy. However, the reduction in funding and resources has created a challenge to fully support this effort to completion by the mandated timelines identified.
   .

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

✓ Yes

☐ No

Please explain your response:

The Defense Threat Reduction Agency has streamlined and automated several manual processes within the Records Management Program. We are utilizing modern technology to operationalize electronic records management. Our agency record managers and records administrators work closely with our Information Integration and Technology Services Directorate to leverage in-house resources to provide automated capabilities for daily records keeping efforts.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**
(see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

✓ Yes

☐ No

Please explain your response:

The Defense Threat Reduction Agency's Records Management program has the strategic direction and support to be successful and aligns with the overall Agency's Strategic Plan, as well as the CIO's Priorities. The program was relocated to the Knowledge Management Division within the Information Integration Technology Services Directorate in order to streamline the processes**.**

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

✓ Yes
☐ No

Please explain your response:

   The Defense Threat Reduction Agency's Records Management team provides an Enter and Exit briefing and training for Senior Officials to ensure they understand their record management responsibilities. The record management responsibilities are provided in specific detail regarding entering into the agency, while working at the agency, as well as understanding on the restrictions on the removal of documents for government custody when exiting the agency. The briefing and training provides basic information about records management principles, processes, and specific DTRA policies and procedures for records management. This also includes exit briefing for Senior Officials who are departing on a permanent basis or for an extended period due to military, medical, or disability leave.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))**

   DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

   The Defense Threat Reduction Agency records management team works closely with the appointed Archivist at NARA to further clarify the descriptions for the general records schedules, and processes for transferring records to the federal record centers.

APPENDIX F-11

Missile Defense Agency

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive (M-12-18)*. In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

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- For Questions #4 and #5, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact
- Position Title
- Address
- Office Telephone Number
- Email

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

    DoD SAORM will provide this response. No DoD Component input is required.

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)**

    DoD Note: If you are planning to use DEOS, pleae note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

    X Yes

☐ No

Please explain your response: *The Missile Defense Agency currently manages all permanent records in electronic format. No permanent records are retained in physical form.*

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

      X Yes
      ☐ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives. *The Missile Defense Agency currently manages all permanent records in electronic format. No permanent records are retained in physical form. No obstacles have been identified.*

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

      X Yes
      ☐ No

Please explain your response: Within the Missile Defense Agency we have an annual requirement to assess the organizational need for Records Liaison Officers, refine records file plans, and conduct Records Management Self-Inspections. Typically, reorganizations capture the records and transfer them to the new offices of responsibilities; however, based on the tracking and dash-boarding of this information, the Records Management Office can also identify when organizations change and assist in migrating record stores to the appropriate responsible areas.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**

(see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

     X Yes
     ☐ No

Please explain your response: Within the Missile Defense Agency, the Records Management Directive is reviewed and approved by the Director, and its policies are trained to all agency staff (government, military, and contractor).

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

     X Yes
     ☐ No

Please explain your response: Within the Missile Defense Agency, all senior officials received training on their records management responsibilities for the agency.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

    N/A

APPENDIX F-12

Office of Inspector General

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive* (M-12-18). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Thomas Jenkins

- Position title: Records and Information Officer

- Address: 4800 Mark Center Dr. Alexandria, VA 22350-1500

- Office telephone number 703.699.9913

- Email: Thomas.jenkins@dodig.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

   DoD SAORM will provide this response. No DoD Component input is required.

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)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

☒ Yes

☐ No

- DoD OIG is developing and implementing policies to configure an automated electronic recordkeeping system to manage the full life-cycle, including the disposition of permanent electronic records.
- DoD OIG Office of the Chief Information Officer (OCIO) realigned its records management functions to include policy development related to information management, search and retrieval of information for authorized purposes, and information collections and reporting.
- DoD OIG OCIO is currently revising and updating IG Instructions (policies) relating to electronic messages, online information, and managing electronic information to ensure records are managed consistently across various media and formats. The DoD OIG will publish these policies by the end of 2018.
- DoD OIG OCIO is configuring the automated recordkeeping system to properly identify, categorize, copy, index, store, retrieve, transfer, and delete records on shared drives and SharePoint sites according to established business rules and various laws.
- DoD OIG OCIO is developing an agency-wide functional records schedule commensurate with the automated recordkeeping system.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

☒ Yes

☐ No

DoD OIG took actions to identify and evaluate digitizing paper records. Additionally, DoD OIG acquired and deployed an electronic recordkeeping system to manage all permanent records in an electronic format in accordance with Office of Management and Budget (M-12-18, Goal 1.1). DoD OIG does not create or maintain permanent records in analog formats.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

☒ Yes
☐ No

DoD OIG developed and implemented a new RIM process to review and properly dispose or transfer electronic media found during re-organizations. DoD OIG utilizes an electronic recordkeeping system to manage all email records of offices during and after internal re-organizations.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

☒ Yes
☐ No

Please explain your response:

The DoD OIG Deputy Chief of Staff (DCoS) acts on behalf of the Inspector General to ensure the agency efficiently and appropriately complies with all applicable records and information management statutes, regulations, DoD policy, NARA policy, and OMB policy. The DCoS advocates for the records and information management program by ensuring adequate resources are acquired and aligned to the agency's strategic priorities.

The DCoS regularly promotes the deployment and integration of new processes, procedures, and the electronic recordkeeping system to senior officials on a weekly basis, when necessary. The DCoS works directly with the agency Records and Information Officer every two weeks and other appropriate officials to oversee the successful implementation of the agency's records and information management program.

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

☒ Yes
☐ No

DoD OIG continues to brief incoming and outgoing senior officials on their records management responsibilities including documenting public service, use of personal email, and other recordkeeping requirements during onboarding training, weekly meetings, email training, and exit briefings. The agency Records and Information Officer provides bi-weekly onboarding training to all new personnel. Additionally, all new personnel receive information management and email training within 30 days.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

DoD SAORM will provide this response. No DoD Component input is required.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

DoD OIG would like more NARA recordkeeping guidance relating to managing Microsoft SharePoint sites and unstructured files found on shared drives in support of OMB M-12-18, Goal 1.1.

APPENDIX F-13

National Guard Bureau

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive* (M-12-18). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA has posted prior SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact
- Position Title
- Address
- Office Telephone Number
- Email

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

    DoD SAORM will provide this response. No DoD Component input is required.

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)**

    DoD Note: If you are planning to use DEOS, pleae note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

    ☐ Yes

■ No

Please explain your response:

I recently assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. Following that, I hope to adopt the same Electronic Records Management Application that is in use at the Pentagon Joint Staff for use at the National Guard Bureau Joint Staff, given the NGB Joint Staff comprises of both Army National Guard and Air National Guard.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

☐ Yes
■ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

I recently assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. Following that, I plan to address this digitization requirement.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component reform activities that are applicable.

☐ Yes
■ No

Please explain your response:

I recently assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. Following that, I plan to address this digitization requirement.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.

☐ Yes
◼ No

Please explain your response:

I recently assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff.

I am now beginning to reach out to NARA's Agency Assistance Team, as well as NARA's Records Management and Consulting Service, not only to assist me with developing a compliant National Guard Bureau Records Management Program, but to also assist me with developing a Records Management project charter, program goals and milestones, and governance and policy documents, including a National Guard Bureau Records Management manual.

6. **Have you, as the SAORM, ensured that 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.

DoD Note: DoD SAORM will provide a response for policy at the DoD level. Please include your DoD Component's efforts to ensure senior officials receive briefings on their records management responsibilities.

☐ Yes
■ No

Please explain your response:

I recently assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. We conduct Records Management In and Out-processing briefings, and we conduct monthly Newcomers Briefings regarding Records Management. As part of developing a compliant National Guard Bureau Records Management Program, I am aware that I need to start briefing senior officials on this issue.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

DoD SAORM will provide this response. No DoD Component input is required.

8. <mark>**What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**</mark>

I recently assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff.

As part of my onboarding and the National Archives and Records Administration's Federal Records Management Training certification, I also took NARA's Electronic Records Management training course. As I am further along in developing a compliant Records Management Program and am ready to address the issue of electronic recordkeeping, I plan to re-take that NARA training course.

Additionally, I am now beginning to reach out to NARA's Agency Assistance Team, as well as NARA's Records Management and Consulting Service, not only to assist me with developing a compliant National Guard Bureau Records Management Program, but to also assist me with establishing an Electronic Records Management Application.