**Department of Defense**

**Chief Information Officer**

**Senior Agency Official for Records Management**

**2019 Annual Report**

**30 March 2020**

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## 1. DoD Components Covered by this Report

What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.

The Department of Defense (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. The instruction delegates the responsibilities for executing this policy to the head of each DoD Component. The DoD SAORM works with the Component SAORMs and the Agency Records Officers to gain the broad reach that is needed to ensure compliance with RM statutes 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 (OMB/NARA) Transition to Electronic Records* (M-19-21) may differ and the 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 appendixes.

This report covers all Components of the DoD with the exception of the Intelligence Component agencies and the Office of the Inspector General, which report separately through their own SAORMs. These Intelligence Component agencies are the Defense Intelligence Agency, National Geospatial-Intelligence Agency, National Reconnaissance Office, and National Security Agency.

There are a number of changes to DoD records governance:

- The Office of the Inspector General (OIG) has recently designated its own SAORM. OIG will submit their annual report directly to NARA.

- Defense Security Service has been renamed the Defense Counterintelligence and Security Agency (DCSA).

- Under the Chairman of the Joint Chiefs of Staff, a new Combatant Command has been established: US Space Command. It is expected that US Space Command input will be included in next year's SAORM report.

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 |
|---|---|---|---|
| **Ms. Kathleen S. Miller** Administrative Assistant to the Secretary of the Army | Dept of Army | **Mr. Darren Irvine,** Acting Director, Executive Services Division/ WHS | Office of the Secretary of Defense |
| **Ms. Gaye Evans** DON Asst for Admin **LtGen John J. Broadmeadow** Director, Marine Corps Staff, Delegate | Dept of Navy and US Marine Corps | SAORM and Deputy CIO for Resources and Analysis | Army and Air Force Exchange Services |
| **Ms. Wanda Jones-Heath** Deputy Chief Information Officer | Dept of Air Force | | Defense Commissary Agency |
| **Mr. Ronald P. Higham, Jr** Director of Management, Joint Staff | Office of the Chairman of the Joint Chiefs of Staff | | Defense Contract Audit Agency |
| | National Defense University | | Defense Contract Management Agency |
| | US Africa Command | | Defense Counterintelligence and Security Agency |
| | US Central Command | | Defense Finance and Accounting Service |
| | US Cyber Command | | Defense Information Systems Agency |
| | US European Command | | Defense Logistics Agency |
| | US Indo-Pacific Command | | Defense Technical Information Center |
| | US Northern Command | | Defense Threat Reduction Agency |
| | US Southern Command | | Missile Defense Agency |
| | US Space Command | | National Guard Bureau |
| | US Special Operations Command | | |
| | US Strategic Command | | |
| | US Transportation Command | | |

## 2. Management of Permanent Electronic Records

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

☐Yes

☑No

In the years following the publication of M-12-18 and the superseding M-19-21, DoD and all of its Components have made great progress in transitioning to electronic records. A significant portion of permanent electronic records are being managed in an electronic format as many of the DoD Components have met Goal 1.1 or have taken significant steps toward this goal.

The DoD Components that have additional work to do are Department of Navy (DON)/US Marine Corps (USMC), National Defense University (NDU), US Cyber Command (USCYBERCOM), US European Command (USEUCOM), US Indo-Pacific Command (USINDOPACOM), US Transportation Command (USTRANSCOM), Office of the Secretary of Defense (OSD), Defense Information Systems Agency (DISA), and National Guard Bureau (NGB).

- DON/USMC has implemented the Department of Navy Tasking, Records, and Consolidated Knowledge Enterprise Repository (DON TRACKER) to manage their electronic records. Due to a delay of DON TRACKER Records Management training, DON has missed the December 31, 2019 deadline.

- NDU did not meet the original deadline of having all permanent records in an electronic format as of 31 Dec 2019; however, NDU is on track to meet a target of 31 Dec 2020.

- USCYBERCOM's electronic records management application is currently under development, and email journaling will start by the end of June.

- USEUCOM has budgetary constraints preventing full adherence to M-19-21 goals. USEUCOM is retraining records staff to shift away from hardcopy records and the ability to scan large volumes of hardcopy records is being realized gradually.

- USINDOPACOM does not have the resources to properly identify all permanent electronic records throughout the Command as documents reside in multiple systems and applications.

- USTRANSCOM Command Records Manager has tasked all records professionals to move all permanent records to electronic format by April 2020.

- OSD uses an electronic records repository for selected high value records in a limited-access environment. OSD is planning to implement an enterprise-wide solution for all electronic records.

- DISA will have a plan to ensure records are maintained and accessible throughout their lifecycle by mid-year.

- NGB needs to conduct a records inventory to verify if all electronic permanent records are compliantly managed in electronic format.

## 3. Progress Towards Managing All Permanent Records with Metadata
Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

☑ Yes

☐ No

DoD is making progress towards managing their permanent records in electronic format with the appropriate metadata at the Department level and across all the DoD Components.

The DoD Chief Information Officer (CIO) signed a memorandum on October 15, 2019 directing DoD Components to develop plans for achieving the M-19-21 goals and provide an assessment of known constraints and risks. These assessments allowed the DoD CIO to identify common concerns and DoD Components to prepare for potential challenges. To aid DoD Components in programming for the transition's goals and challenges, records management was included in the DoD's Capability Programming Guidance (CPG). The CPG also calls for DISA to conduct a study focused on enabling automated metadata management across DoD. To ensure DoD data is properly managed, the National Defense Authorization Act for Fiscal Year 2020 established a Chief Data Officer reporting to the DoD CIO.

## 4. Progress Towards Managing All Temporary Records in Electronic Format
Has your agency made progress towards managing all <u>temporary</u> records in electronic format? (M-19-21, 1.3)

☑ Yes

☐ No

All DoD Components have made progress towards managing all temporary records in electronic format with the exception of US Special Operations Command (USSOCOM). USSOCOM has only converted temporary records to electronic format when it is practical due to time and budget constraints.

### 5. SAORM's Steps Taken to Ensure Records Management Program Compliance
Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measure? (M-19-21, 1.4)

☑ Yes

☐ No

The DoD SAORM has taken several steps to ensure the DoD records management program complies with the Federal Records Act and its regulations. On July 12, 2019, the DoD CIO published the DoD Digital Modernization Strategy. This strategy calls upon the records management community to make DoD's data "visible, accessible, understandable, trusted, and interoperable." To build upon this vision, the DoD SAORM is developing a more in-depth strategy focused on transitioning to electronic records and increasing the value of records to DoD missions via a well-managed, readily accessible, and compliant records management program.

In addition to these DoD-wide efforts, senior leaders across many of the DoD Components have taken steps to ensure compliance. Many DoD component senior leaders have focused efforts on training and planning. Several DoD components have also updated policies, conducted inventory, and performed audits to ensure compliance. DoD Components support the DoD SAORM by contributing their components' inputs and attending bimonthly records officer meetings hosted by the DoD Records Officer.

### 6. Closure of Agency-Operated Records Centers
If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21)

☑ Yes

☐ No

The majority of DoD Components do not have agency-operated records centers. The following DoD Components do have agency-operated records centers: Department of the Army, Department of the Air Force (USAF), US Africa Command (USAFRICOM), US Southern Command (USSOUTHCOM), US Strategic Command (USSTRATCOM), and NGB. These components have identified agency-operated records centers and made plans to either close them before 2022 or submit a waiver request to NARA with the exception of USAF, USSOUTHCOM, and NGB.

- The USAF maintains 70+ base staging areas, which are records storage facilities. USAF has established courses of action and is working to meet the closure requirements within three years in the absence of the criteria from NARA for submitting an exception.

- USSOUTHCOM's current records center is located in Suitland, Maryland and has no plans in place to close by end of 2022.

- NGB continues work on a full records inventory. All records holding centers for the Army National Guard have been notified and are working plans to cease operations by the suspense date.

## 7. Procedures for Records of Outgoing Senior Officials

Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

☑ Yes

☐ No

All DoD Components have procedures that include documentation to ensure records of outgoing senior officials are properly captured and/or processed and not improperly removed, altered, or deleted with the exception of USINDOPACOM, USSOUTHCOM, Defense Contract Management Agency (DCMA), Defense Counterintelligence and Security Agency (DCSA), and NGB.

- USINDOPACOM has begun working with other Combatant Command Records Managers in identifying local procedures which address how to capture outgoing senior official records to include email. Results will be used to develop an in-out briefing template.

- USSOUTHCOM created the electronic records management (e-RM) enterprise project initiative to leverage lessons learned; documented procedures for the proper capturing and processing of outgoing senior officials' records will be included in this initiative.

- DCMA has developed records management checklists for departing agency employees and senior officials. DCMA is working with its Total Force Directorate on how to include these updated procedures for all agency employees.

- DCSA is considering changes to the current procedures in order to incorporate records management but no changes have been made.

- NGB is in the process of developing procedures for ensuring records of outgoing senior officials are properly managed.

## 8. Challenges in Meeting the Goal of Fully-Electronic Recordkeeping
Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

☑ Yes

☐ No

There are several challenges across the DoD for meeting the goal of fully-electronic recordkeeping. Most prominently, the DoD has insufficient staff resources and budget to properly execute records management programs and meet the goals of the OMB/NARA M-19-21. Many DoD Components do not have multiple employees dedicated solely to records management duties and many are assigned other duties.

Another major challenge is the lack of records management integration with information technology (IT). During the development stages, IT often does not incorporate records management considerations. As a result, less efficient and add-on processes are necessary to achieve compliance. Since records management is often not considered during the development, records management capabilities are presently not up to pace with IT capabilities to include the management of instant messaging, text messaging, and social media records.

There are also challenges due to a paper-based culture. DoD Components use multiple paper-based legacy processes, such as declassification and auditing, that do not yet have an electronic equivalent. Additionally, end-users are often reluctant to stop using legacy recordkeeping system.

There are challenges due to gaps in guidance. To achieve fully-electronic recordkeeping, several DoD Components are digitizing their paper records; however, DoD Components need disposition guidance for the original analog records after they are digitized. Guidance is also needed for submitting exceptions to the provision of M-19-21 when warranted.

## 9. Support from NARA to Ensure the Transition to Fully Electronic Recordkeeping
Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?

☑ Yes

☐ No

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 appendixes 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 and standards on electronic recordkeeping implementation**
DoD Components would benefit from guidance on various aspects of electronic recordkeeping implementation to include records storage, formats, metadata transfer, encryption, and social media records. In addition, clear policies are needed regarding scanning protocols and disposal of original analog records after they are digitized and transferred to electronic format.  When developing guidance, DoD recommends that Components with large scale programs be engaged to ensure technical feasibility and infrastructure are considered.

**Streamline approval of record schedules**
Several DoD Components have identified bottlenecks in approval processes from NARA as impacting their move to electronic record environments. Fast track for schedule approval processes would improve the DoD transition to electronic records.

**Provide stronger records management advocacy**
DoD Components' records management programs would benefit with stronger program advocacy from NARA.  This includes the Archivist of the United States meeting with Under Secretary or higher-level Officials and briefings from NARA to senior leaders on the importance of records management and their responsibilities. Also, advocacy by NARA would help improve senior level buy-in and understanding in regards to why investment in electronic records governance infrastructure is necessary to assist in procuring the resources required.

# APPENDIX A

DEPARTMENT OF THE ARMY COMPONENT
SAORM REPORT

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORMs) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats, and to identify best practices and model solutions within Federal agencies.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting:

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmselfassessment@nara.gov. Include the words "SAORM 2019 Annual Report - [Agency Name] in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While

NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

- Name of SAORM: Kathleen S. Miller
- Position title: Administrative Assistant to the Secretary of the Army
- Address: Address: 101 Army Pentagon, Washington DC, 20310-0101

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

    *Please provide list:*

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

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

    X Yes
    ☐ No

    The U.S. Department of the Army uses the Army Records Information Management System (ARIMS), a 5015.2-compliant semi automated records management solution. Army Regulation 25–400–2 (The Army Records Information Management System ARIMS)) and Department of the Army Pamphlet 25–403 (Guide to Recordkeeping in the Army) will be modified to incorporate program elements necessary to meet the management of permanent electronic records. Army policy will ensure electronic records and their documentation are retained and accessible as long as needed, including provisions for transferring copies of records (such as an index to the National Archives).

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

    DoD Components and DoD SOARM to provide responses.

    X Yes
    ☐ No

Less than 1% of Army records designated as permanent are created in hard copy or analog format. Army policy provides guidance for the digitization of all hard-copy records. The Army will develop a detailed plan for digitizing archival materials on release of NARA regulatory guidance for electronic records transfer, including metadata requirements.

4. **Has your agency made progress toward managing all <u>temporary</u> records in electronic format? (M-19-21, 1.3)**

X Yes
☐ N o

The Army has created an environment in which the use of paper has been greatly reduced. For more than 17 years, the majority of Army documents (with the exception of fillable textual forms) have been created digitally. With the advancement of technology, the Army has ushered forms management into the digital age. Less than 1% of Army records require textual storage. This media includes records that require a raised seal or wet signature. All legacy temporary, long-term, and permanent documents no longer needed for active business will be forwarded to a Federal Records Center (FRC) for long-term storage before the 2022 deadlines. Records that require 50-year on-site storage (that is, records created around 1972–1985), such as textual records from the Intelligence Community, will be digitized before the request for acceptance. Additionally, all electronic recordkeeping systems are being scheduled as standalone systems, with the ability to manage records throughout their NARA-approved life cycles, including digital transfer to the National Archives.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

**DoD SAORM to provide response**
**DoD Components to provide input as applicable**

X Yes
☐ N o

a.   The Department of the Army has a comprehensive records management program in place to ensure agency records are appropriately retained, stored, and transferred in accordance with approved disposition schedules.

b.   The Army has a designated Senior Official for Records Management who administers the agency's records management program and complies with applicable regulations, policy, and statutes.

c.   The Army has designated a Records Officer responsible for overseeing the Recordkeeping Requirements program, including operations, and for holding the NARA Certificate of Federal Records Management Training when required.

d.   The Army has developed an online Records Management Awareness training module for those personnel who are not designated Records Management Officials (RMOs) in addition to conducting monthly Records Management Responsibilities and Requirements trainings for both new and veteran RMOs.

e.   All records created and maintained by the Department of Army are covered by a NARA-approved records schedule. Permanent records are accessioned when they reach their scheduled disposition date.

f.   The Army conducts a comprehensive review of its records schedules during the scheduled review process of its authoritative regulation. Additionally, Office Records List (ORL)/file plans are reviewed and updated as needed annually.

g.   In FY 2020 the Department of Army will launch two major RM pilot programs: a Records Management Symposium, providing training in the Freedom of Information Act, Privacy, and Civil Liberties Programs, and an initiative to assess RM programs to evaluate the framework of staff proficiencies for those who manage Army records.

h.   the Army is assessing commercial resources for advanced computer information management technologies.

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

   **DoD Components and DoD SAORM to provide responses**

   X Yes
   ☐ N o

   All Army elements are instructed to maintain all records in an electronic format unless specified by public law or Army regulation. The Army Records Information Management System (ARIMS), Electronic Archive (EA) will be used for the storage of records with a disposition of two or more years with the exception of records stored and maintained in an NARA-approved Standalone Electronic Information System (EIS). Army elements will submit the required Records Holding Area (RHA) closure/disestablishment documentation recording the date that the RHA stopped accepting records and the volume in cubic feet of records currently stored. If cases of documents require further examination and disposition by the RHA, the Army will shred records past their disposition dates and prepare records with a disposition of one year or more and permanent records for shipping to the appropriate FRC.

7. **Does your agency have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices, including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to the 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.

   X Yes
   ☐ N o

   As part of the Army's onboarding process, Senior officials are briefed on their records/email management responsibilities and provided all applicable records/email management policies issued by the Office of the Administrative Assistant to the Secretary of the Army Political Transition Team. When an a senior official departs service, record materials are reviewed before their removal from DoD custody by the employee and/or their designee as well as the Army Records Officer (ARO) and/or Headquarters Department of Army Records Administrator (HQDARA). To prevent violations of policy, records are segregated into three categories: Federal records, non-records, and personal files. The removal of non-record information is documented using the departing employee checklist. Prior to removal, an authorization for release of information must be granted by the Director, RMDA via a memorandum for record. Additionally, the Department of the Army retains email communications for all political appointees, general officers, and members of the Senior Executive Service and Defense Intelligence Senior Executive Service for a minimum of 15 years from the date of creation, at which time the communications become eligible for transfer to the National Archives and Records Administration for permanent retention and historical preservation. (General Records Schedule 6.1: Email Managed Under a Capstone Approach).

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

   **DoD SAORM to provide response**
   **DoD Components to provide input as applicable**

   X Yes
   ☐ N o

   To better understand compliance, cost, and areas for improvement, the Army has requested an audit of records management from the Army Audit Agency. We expect the audit results to inform resource needs in time for inclusion in POM 22–26.

Additionally, we expect this audit will identify process changes, information technology dynamics, and training requirements.

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

X Yes
☐ No

For the Department of Army to continue to work toward a solution compatible with NARA's electronic acceptance of records and to meet the 1 January 2023 deadline, NARA must issue regulatory guidance for electronic records transfer, including metadata requirements.

# APPENDIX B

DEPARTMENT OF THE NAVY COMPONENT
SAORM REPORT

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   ☐ Yes
   ☒ No

*Navy and Marine Corps began training on the DON TRACKER Records Management Module in November 2019. In the interim the Navy and Marine Corps will continue to use DON TRACKER and the Secretariat and the Navy will continue to use HPRM for records storage and management. The Marine Corps also 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 DoD Component made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   ☒ Yes
   ☐ No

   *In regards to making progress, see response to number 2 above.  DON TRACKER captures the appropriate metadata.*

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

   ☒ Yes
   ☐ No

   *In regards to making progress, see response to number 2 above.  DON TRACKER manages both temporary and permanent records.*

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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

*The DON is working with appropriate offices to establish objectives that can be measured.*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☐ Yes
   ☐ No

   *Not applicable*

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   ☒ Yes
   ☐ No

   *The DON policy is in SECNAVINST 5210.8F. The Capstone (Senior) Official emails are automatically captured from the server and moved to DON TRACKER Records Management. The Navy and Marine Corps has a Capstone section in the Navy and Marine Corps Inspector Generals' inspection checklists.*

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

   *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

*Obtaining buy-in and support from the end-users. The end-users are reluctant to stop using their old legacy record keeping systems.*

*Department of Defense (DoD) Records Management Program (DoDI 5015.02) requires that all DoD components purchase electronic RMAs that meet the DoD 5015.02-STD. The DoD 5015.02-STD is out of date and too prescriptive to efficiently resource a Commercial Off the Shelf solution without requiring multiple changes to meet current business needs. It is recommended that DoD 5015-02-STD be updated to meet current NARA requirements. An alternative recommendation would be to cancel the DoD 5015.02-STD and allow DoD components to use NARA's FERMI as the standard when choosing their electronic records management solution.*

*The next issue of concern is that by nature of DoD business there will inevitably be a need for some permanent records to remain in their original form. It is recommended that the DoD Senior Agency Officer for Records Management request that NARA work with DoD components to identify permanent records that require preservation in their original form and provide exceptions for those records.*

*Section 1.2 of OMB 19-21 requires that by 2022, all Federal Agencies will manage all permanent records in an electronic format with appropriate metadata, for eventual transfer and accessioning by NARA. However, it provides an exception for records that are accessioned into NARA or transferred for storage into Federal Records Centers (FRCs) before December 31, 2022 or if some other exception has been granted by NARA. It should be noted that the exception criteria or procedures to request exceptions have not been developed by NARA and there is no known date when they will be published. Transferring records for temporary storage into a FRC ahead of their regular disposition schedule would require additional funding. Since this requirement was not known during the development of the Program Objective Memorandum (POM), the DON has not POM'd for the money and cannot transfer records early to meet the above exception. This will require that the DON would have to convert all analog records before transferring them to NARA after December 31, 2022. In addition to developing exception criteria, NARA must provide exceptions for records that are produced in austere environments; (e.g., Navy ships, forward deployed units, units in combat zones, etc.). Another area that will require an exception is classified records that require a declassification review prior to transfer to NARA. All Federal Agencies, including the DON, are struggling with finding the tools to perform the declassification reviews electronically. Today, records that are in an electronic format that require declassification are printed, reviewed, and tabbed using paper. The DON does not have the ability to electronically review and mark the document for declassification, or send for electronic review by other agencies with equities.*

*Section 2.1 of OMB 19-21 states that by September 2020, NARA will revise its' records management regulations and guidance to support Federal Agencies' transition to fully electronic recordkeeping. The DON has already begun to digitize records created in analog formats however, NARA has not yet given authorization to dispose of the analog originals. Therefore,*

*the DON is requesting that the timeline be moved up and the regulations and guidance be issued by the end of 2019.*

*Section 2.4 of OMB 19-21 states that after December 31, 2022, NARA will no longer accept transfers of permanent or temporary records in analog formats and will accept records only in electronic format and with appropriate metadata. Lastly, NARA needs to immediately issue their regulation and electronic transfer of records guidance, including metadata requirements, in order for the DON to continue to work towards a solution that is compatible with NARA's electronic acceptance of records and meet the January 1, 2023 deadline.*

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

   ☒ Yes
   ☐ No

*Please provide details on what support is needed: 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 DON is not resourced, nor does it have the necessary infrastructure to capture temporary email for users other than Senior Capstone Officials. 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. NARA needs to publish final rules for electronic record keeping, such as scanning and closure of all agency-operated records centers.*

# APPENDIX C

## DEPARTMENT OF THE AIR FORCE COMPONENT SAORM REPORT

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts 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: SAF/CNZA, 1800 Air Force Pentagon, Washington DC 20330-1800

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   ■ Yes
   ☐ No

   *Please explain your response:*

   Currently, the Air Force uses dedicated shared network drives for the management of unstructured electronic records, including permanent electronic records, across the Air Force enterprise. In addition, some Air Force information technology (IT) systems are electronic recordkeeping systems which contain permanent electronic records.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   ■ Yes
   ☐ No

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

   The migration to Microsoft Office 365 will be completed in the near future across the Air Force. To facilitate effective Microsoft Office 365 governance and compliance efforts, Headquarters Air Force (SAF/CN – Deputy Air Force Chief Information Officer) initiated coordination for setting up a data protection governing structure within the Microsoft Office 365 environment.  It will focus on the first two of several milestone efforts:  Records Management and Privacy/Data protection frameworks, to include managing permanent records in an electronic format (including metadata population). These elements are initial targets as they are foundational to effective data management and protection and support the intent and guidance of the United States Office of Management and Budget (OMB) Memorandum M-19-21 to leverage electronic records management across the enterprise.

   The Air Force is planning pilot programs to determine the feasibility of using Microsoft Office 365 and SharePoint capabilities for electronic records management as part of its Cloud Hosted Enterprise Services (CHES).  The Air Force is also working towards implementing an automation solution via the Defense Enterprise Office Solution (DEOS) initiative.  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, which were incorporated into the DEOS system requirements and published in the Request for Proposal.

One potential concern about populating electronic permanent records with metadata is the cost of manually inserting metadata into electronic files created from the digitalization of hardcopy permanent records not submitted to NARA before 31 December 2022.

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

■ Yes
☐ No

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

Through its Cloud Hosted Enterprise Services (CHES) initiative, the Department of the Air Force purchased an enterprise Microsoft Office 365 license, which provides additional capabilities and functions to the overall management of a variety of types of electronic records. The Air Force is planning to conduct pilot test programs to determine and establish appropriate records management business rules in preparation of implementation across the Air Force enterprise. These efforts will improve upon the existing use of dedicated shared network drives for electronic records management. Paragraph 1.3 of Air Force Manual 33-363, *Management of Records*, states electronic records are the media of choice for use, storage and maintenance.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

*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 (include specific goals and example metrics):

Air Force Instruction 33-322, *Records Management Program*, requires all commanders to have a local records management plan as stipulated in paragraph 4.10., which addresses the records management structure, records lifecycle, records management training-orientation-awareness, records management inspections-audits-self assessments, and records searches due to litigation and other authorizations. The Air Force Records Officer and Air Force command and agency records managers evaluate records management programs to ensure commanders execute Air Force records management. IT systems are also tracked for Records Management compliance with a goal to be "Green" in addressing the areas in 36 Code of Federal Regulation (CFR) 1236.26, *What actions must agencies take to maintain electronic information systems?* The Air Force

<span style="color:red">Records Office reinvigorated efforts to track unauthorized dispositions (lost records) for prompt reporting to NARA under 44 United States Code 3106 and 36 CFR 1230, *Unlawful or Accidental Removal, Defacing, Alteration, or Destruction of Records.*</span>

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☐ Yes
   ■ No

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

   <span style="color:red">As of this writing on 14 February 2020, the Air Force has not received the criteria from either NARA or OMB for an exception and how to submit the request for an exception.</span>

   <span style="color:red">Currently, the Air Force maintains 70+ base staging areas managed by installations, which ship eligible hardcopy records from these records storage facilities to 17 Federal Records Centers operated by the NARA, which store, service, and dispose these Air Force-owned hardcopy records with a medium to long term retention. The Air Force has established courses of actions to meet the requirements stipulated in OMB Memorandum M-19-21 within three years. The installations performed the following requirements:</span>

   <span style="color:red">a. Complete an initial status by 20 November 2019</span>
   <span style="color:red">b. Begin to identify business processes requiring the creation and receipt of hardcopy records and provide a rationale as to why the records cannot be created and maintained electronically</span>
   <span style="color:red">c. Plan for funding to ship hardcopy records to NARA's Federal Records Centers before 31 December 2021 (as well as digitization efforts and payment for commercial storage) with periodic update on the hardcopy records inventory.</span>

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   ■ Yes
   ☐ No

*Please explain your response (include specific details of procedures):*
The Headquarters Air Force (HAF) Records Management Office published an Air Force Guidance Memorandum to Headquarters Operating Instruction 33-17, *Headquarters Air Force Records Management Program,* and Headquarters Air Force Records Management Plan as the formal guidance documenting the process regarding incoming and outgoing Senior Executive Service members, Presidential Appointees and all General Officers assigned to the Air Staff and Secretariat. Senior leaders receive initial and annual training on Records Management responsibilities, including recordkeeping requirements of social media records and e-mail (Capstone email preservation approach). Retiring or separating senior leaders receive an out-processing briefing and sign an acknowledgement memo prior to departing the Department of the Air Force.

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

   *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 (include details of specific challenges, if applicable):
   The Department of the Air Force solicited the field and functional process owners to identify challenges being experienced or foreseen.  The Air Force plans to reassess its overall status at the end of the year in anticipation to provide better informed status updates.  The Air Force is tracking progress to ensure OMB's deadlines are met.

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

   ■ Yes
   ☐ No

   *Please provide details on what support is needed:*
   NARA provides overall Federal Records Management oversight, which places it in a unique position to solicit support and advice from the vendor community, private sector, and peer organizations to help facilitate Federal Agencies in transitioning to a fully electronic recordkeeping environment.  It would be beneficial, practical, and prudent for NARA to provide an enterprise solution for electronic recordkeeping in the Federal Government.  After NARA determines a proposed records retention from the Federal Agency does not merit permanent retention of the specified records, consideration should be given to allow the Federal Agency the option to approve the disposition schedule of these temporary records in order to accelerate the scheduling process, especially for electronic records with a temporary retention.

# APPENDIX D

CHAIRMAN OF THE JOINT CHIEFS OF STAFF
COMPONENT SAORM REPORT

# APPENDIX D-1

CHAIRMAN OF THE JOINT CHIEFS OF STAFF

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget (OMB) and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

## JOINT CHIEFS OF STAFF

### Joint Staff SAORM – Ronald P. Higham

**NOTE:** As Chief Records Officer for Joint Staff, on behalf of Mr. Ronald P. Higham, the Senior Agency Official for Records Management (SAORM) I submit the following report on his behalf. I have met with Mr. Higham well beyond the minimum 4 times per year requirement for records management. Mr. Higham has been proactive as the SAORM and have provided guidance due to the high-profile and complex systems that manages JS electronic records.

1.  **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

    *This report only covers Joint Staff. Although JS has oversight of the Combatant Commands they have been tasked with submitting their own report to the Joint Staff for transfer to the DoD CIO's Department for consolidation.*

Reporting Separately:

1. USAFRICOM
2. USINDOPACOM
3. USCENTCOM
4. USSOUTHCOM
5. USSOCOM
6. USCYBERCOM
7. USTRANSCOM
8. USSTRATCOM
9. USNORTHCOM
10. USEEUCOM
11. USSPACECOMMAND (Not reporting due to recent appointment as a command)

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

    X Yes
    ☐ No

    *Please explain your response:*

Per M-19-21 "Transition to Electronic Records", and NARA's General Records Schedule (GRS 6.1) "EMAIL Managed under a CAPSTONE Approach, JS has the ability to run reports and track the controls of the electronic systems that manage permanent electronic records. Last year, JS hired its first Electronic Records Officer who created a systems inventory form unique to Joint Staff and is in the process of evaluating all 54 systems identified to determine if any of the systems maintain Permanent records. The majority of our permanent records are maintained in our e-DTRM system and archives the completed Joint Staff Action Package (JSAP) from the task management system. Joint Staff has selected a full-time Technical Advisor who by Charter will continue to build out and monitor the system. JS also hired its first records management risk

management officer to continue to oversee the preservation of permanent records and tracking of temporary records. JS has also developed a Senior and CAPSTONE Official on boarding and off boarding briefing.

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

    X Yes
    ☐ No

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

    In 2012, Joint Staff began the build out of the Electronic Document Task Records Management system (e-DTRM). Not only does Joint Staff require metadata, the Actions Division that assigns tasks teaches a class on the process and has included modules that teach the required metadata fields.

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

    X Yes
    ☐ No

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

Joint Staff has made significant progress in managing temporary records with the support of the Knowledge Process Services Branch (KPSB) who collaborated with the Chief Records Officer and records management staff to build out Business Processes and other documentation to support electronic management of temporary records. The KPSB provided the following deliverables:

➢ SharePoint Migration Plan
➢ Share Drive Clean-up Plan and Process
➢ A Site Deletion Plan
➢ Knowledge Engineers Training for defensible deletion
➢ Records Liaison training for electronic records management

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

X☐ Yes
☐ No

Our SAORM along with the IT J-6 Director and the Director of the Information Management Division who leads the Records Branch have been proactive in breaking down barriers with the email mission partner and has supported me as Records Officer to effect a Change one to the 7 .2 billion dollar cloud platform to ensure records management lifecycle requirements became a part of the contract. DEOS (Defense Enterprise Office Solution) is an enterprise commercial cloud environment supporting the DoD strategy to acquire and implement enterprise applications and services for joint use across the Department, standardize cloud adoption, and enable cross-department collaboration. DEOS will provide commercial cloud services that unify many existing capabilities and is intended to aid the Department in replacing disparate legacy enterprise information technology services for office productivity, messaging, content management, and collaboration. DEOS will be deployed on NIPRNet, SIPRNet, and in denied, disconnected, intermittent, and limited bandwidth environments worldwide. Further, the SAORM and DoD CIO has included Records Management in our major funding explicitly listing Records Management as a funded line item.

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

*DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

X Yes
  No

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

This question is not applicable to JS. We do not have agency-operated records centers. All textual and mix media records are stored at NARA holding facilities where most of them are located in Suitland Maryland

5. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

\*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

X Yes
No

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

This is the appointment memorandum that is signed by the sitting Chairman of the Joint Chiefs of Staff as recommended by the Chief Records Officer and enhanced by the appointment of a "Capstone Plus" official that provides support for the CAPSTONE Program Manager:

MEMORANDUM FOR DISTRIBUTION

SUBJECT: Designation and Appointment of the Chairman's CAPSTONE Program Manager

1. Ms. Vivian Y. Hardy, Joint Staff Records Management Office, is designated as the CAPSTONE Program Manager. The CAPSTONE Program Manager will operate on behalf of the Chairman of the Joint Chiefs of Staff and the Joint Staff Records Office, to ensure CAPSTONE Officials records, data and/or information is managed in accordance with Title 44 United States Code, Subchapter B, Chapter XII of Title 36, Code of Federal Regulations, ISO 15489-1:2001 and DOD Instruction 5015.02 DoD Records Management Program.

2. As records are evidence of the organization, functions, policies, procedures, decisions and activities, records, documents, data and information will be managed in compliance with regulations. Ms. Hardy will work in tandem with the Joint Staff, Joint Directorate Six (J6), to accomplish requirements and is appointed to perform functions associated with the following:

   a. Conduct CAPSTONE Officials entrance and exit interviews, with General Officers, Flag Officers (GOFO), and/or their executive support staff, Senior Executive Service (SES) appointees, Senior Leaders (SL) and other identified principal management positions that are statute or Executive Order required.

   b. Provide policy, guidance, and training information to CAPSTONE officials on records, data and information management responsibilities at creation, send, receipt, preservation and/or maintenance of permanent or records of lasting value for eventual transfer and accessioning to the National Archives.

c.  Ensure secure network operational locations are identified and available to CAPSTONE officials and records structure will support desired capture for use, organization, maintenance and transfer requirements in support of litigation, investigations and/or FOIA.

d.  Provide CAPSTONE Officials records management oversight of hard copy and electronic data, records and information as well as for electronic mail accounts for journaling, provisioning and de-provisioning account status for records capture, records distribution, approved destruction, transfer, records release, gifting and preservation as required.

e.  Provide desk-side assistance and support for management of information, information release and legal responsibility, protection of information with reference to records handling, dissemination, use and/or destruction.

f.  Evaluate, process and document requests for information regarding copies of records for release to CAPSTONE individuals upon transfer, retirement or separation for duty performance and/or as required by statute post Joint Staff assignment.

g.  Approve or disapprove requests for information regarding senior agency officials account information contained on behalf of the Joint Staff Records Officer in accordance with Title 44, U.S.C.

h.  Assist GOFOs, SESs, SLs and immediate support staff with records identification, capture, dissemination and protection throughout their Joint Staff assignment.

i.  Participate in select GOFO transition teams to promote and perform records capture, archiving, validate records accountability and/or to ensure secure from release or unauthorized access due to sensitivity.

3.  This memorandum is effective immediately. The point of contact for questions concerning this designation is Ms. Patricia Capers, the Joint Staff Records Officer.


JOSEPH F. DUNFORD, JR.
General, U.S. Marine Corps

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

X Yes
☐ No

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

**As Is:** JS must analyze its digital universe to determine the cost and level of effort to achieve this goal.

**Risk:**

• NARA has not issued guidance on format or connectors required to achieve this goal resulting in a potential short notice requirement for compliance.

• Due to the volume of electronic records JS creates, manages, and maintains, it would be nearly impossible to achieve without Artificial Intelligence or other automated tools, Data Analytics and Cybersecurity support.

• Cost to comply is unknown and will require cost benefit analysis.

**Additional Comments:** In addition to the resources required to meet M-19-21 goals, JS must continue to support the following mission departments and requirements:

➢ All Agency Departments
➢ Senior Official email and data management under NARA's Capstone Approach
➢ Declassification; data migration; decommissioning of systems and authority to operate under NIST requirements
➢ FOIA
➢ Privacy
➢ Acquisitions
➢ e-Discovery
➢ Historians
➢ Essential Records Management under Continuity of Operations (COOP)
➢ Risk Management
➢ Cyber Security
➢ Records Management Role Based Training
➢

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

X Yes
☐ No

*Please provide details on what support is needed:*

NARA is instrumental in providing guidance to Federal Agencies for a successful transition. Inclusion of best practices or recommendations should be a part of NARA's electronic discussion platform or Bridge meetings.

# APPENDIX D-2

NATIONAL DEFENSE UNIVERSITY

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact:  Tonya Barbee
- Position title: Agency Records Officer/MICP Coordinator
- Address:  300 5<sup>th</sup> Avenue, SW Washington, DC 20319

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

☐ Yes
☑ No

*Please explain your response: We did not meet our original deadline of having all permanent records in an electronic format as of 31 Dec 2019 however we should meet our revised target of 31 Dec 2020.*

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

*DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

☑ Yes
☐ No

*Please explain your response (include specific goals and example metrics): Four out of twelve components have made progress towards managing their permanent records in an electronic format. Plans are in place to reach the 100 % goal by 31 Dec 20. Metadata will be a separate process.*

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

☑ Yes
☐ No

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

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

*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 (include specific goals and example metrics):Our Records Management Program is fully engaged.  RM meetings are held monthly, 75% Records Custodians participate regularly to share best practices, lessons learned.  20% of our permanent records have been located and secured digitally.  Plans are in place to finalize by 31 Dec 2020.*
*Extensive Records Management is scheduled for each component/college to include component leadership by 30 June 2020.  Goal is to train every person at NDU from senior leadership to contractors.  IT Directorate is planning and in the process of procuring an electronic management system no later than 31 Dec 2021. Our Agency Records Officer will conduct site visits to review at least six components by 31 Dec 2020.*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☐ Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics): We will follow the guidance from the Joint Staff.*

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   ☐ Yes
   ☐ No

   *Please explain your response (include specific details of procedures): Records Management briefings are provided to incoming personnel during orientation. We will ensure outgoing senior leaders are properly briefed as well.  Records Custodians are aware of the processes that we use to properly transition senior leader records to include*

*email.   We will also incorporate additional briefings for senior leaders and their supporting staff.*

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

   *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 (include details of specific challenges, if applicable): Our challenges are: We do not have a DoD-compliant Electronic Records Management System.  In the interim, our Records Custodians, along with the help of their teams, will continue identifying their permanent documents, securing these documents, and working towards electronically safekeeping all temporary records.*

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

   ☐ Yes
   ☒ No

   *Please provide details on what support is needed: We will rely on assistance from the Joint Staff until such time we are able to get an ERS.  In the meantime, we will continue to work towards storing our records, both permanent and temporary, on our shared drives.*

# APPENDIX D-3

UNITED STATES AFRICA COMMAND

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- AFRICOM Point of Contact: Mr. Christopher Swayzer
- Position title: Command Records Manager/Records and Information Management Specialist

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   X Yes
   ☐ No

   *Please explain your response:* AFRICOM is a young Combatant Command with its oldest records being only 11 years old. All permanent records are kept in an electronic format. Hard copy permanent records are only kept in physical form while active, once inactive, they are converted to electronic format.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   X Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):* See question #2. AFRICOM was among the first, if not the first, components to employ HP Content Manger (CM) (formerly HP TRIM) as a records management tool, leveraging technology to make records searchable and discoverable. Permanent records will be kept in CM for a minimum of 15 years before transfer to NARA.

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

   X Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):* AFRICOM relies heavily on electronic tools for day to day product creation. Fortunately, this means that almost all records are created and maintained in an electronic format, or, are maintained in an electronic format once the product becomes an official record. For example, the current CCDR prefers to sign documents with "wet ink". The support staff scans the document and maintains the electronic document as the official record. The hard copy document is kept as reference for a limited time as a temporary record.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

*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 (include specific goals and example metrics): N/A.* AFRICOM will report supporting data to the SAORM as needed to meet performance goals, objectives and measures set by the Joint Staff.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   X Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):* AFRICOM will close its small agency-operated records center before December 31, 2022. *This is a non-contracted storage facility.*

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   X Yes
   ☐ No

   *Please explain your response (include specific details of procedures): AFRICOM does capture the records of outgoing senior officials to include e-records and emails.*

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

    *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 (include details of specific challenges, if applicable): N/A*

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

    ☐ Yes
    X No

    *Please provide details on what support is needed:*

# APPENDIX D-4

## UNITED STATES CENTRAL COMMAND

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting
- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

☒ **Yes**

☐ No

*Please explain your response:*

The USCENTCOM Records Management (RM) team is uniquely positioned within the Command under the Command and Control, Communications, and Computers Systems Directorate (CCJ6), which affords the RM team the ability to support every office of record. This position ensures the RM team has the visibility and capability to implement electronic RM requirements into any new system and processes across the Headquarters (HQ) and the Area of Responsibility (AOR).

In 2019, the USCENTCOM RM team initiated an annual USCENTCOM ALL (HQ and all subordinate units) Physical Records Call. During this records call, any office that created any permanent physical records were afforded the opportunity to digitize their physical records. The USCENTCOM RM team set aside scanners in the Command Records Inactive Storage Facility (CRISF) and made them available for HQ staff use.

Additionally, Central Command Regulation (CCR) 25-50, *Command Records Program*, directs electronic records whose disposition is ten (10) years or longer, and have not been accessed for more than two (2) years, shall be transferred/archived into the USCENTCOM Electronic Records Management Application (ERMA) – Content Manager – during the end of cycle actions. All long-term and permanent records should be moved into the ERMA as soon as the business process allows.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   ☒ **Yes**

   ☐ No

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

   The USCENTCOM RM team has implemented several plans to ensure all permanent electronic records are being managed electronically and with the appropriate metadata NLT 31 December 2022. This includes but is not limited to publishing a list of records types assessed to have permanent historical value.

   CCR 25-50 directs electronic records whose disposition is ten (10) years or longer, and have not been accessed for more than two (2) years, shall be transferred/archived into the Command's ERMA during the end of cycle actions. All long-term and permanent records should be moved into the Command's ERMA as soon as the business process allows.

Additionally, CCR 25-50 directs when exporting records for transfer to HQ USCENTCOM, the following metadata is required by USCENTCOM. This maintains provenance and/or incorporates a location's taxonomy when exporting records:

(1) Office symbol (owner of the record).

(2) Creator (office that owns the information).

(3) Date created (Windows metadata is acceptable).

(4) Date modified (Windows metadata is acceptable).

(5) Classification and caveats (make every effort to ensure records are classified properly).

(6) Retention schedule (e.g., 0500-05, 0200-03) in accordance with CJCSM 5760.01A, *Joint Staff and Combatant Command Records Management Manual:* Volume II, *Disposition Schedule*, 13 July 2012, Directive Current as of 15 September 2014.

Permanent paper records at HQ USCENTCOM have been digitized and processed into the Command's ERMA. Furthermore, local Staff Assistance Visits (SAVs) are performed in order to identify, categorize, and digitize physical records found which are then cataloged into the Command's ERMA. Likewise, SAVs conducted in the AOR undergo a similar process, however the records captured there are retrograded back to HQ USCENTCOM on a quarterly basis and then cataloged into the Command's ERMA.


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

☒ **Yes**
☐ No

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

The USCENTCOM RM team has implemented several plans to ensure all temporary records are being managed electronically and with the appropriate metadata NLT 31 December 2022. This includes but is not limited to the annual USCENTCOM ALL (HQ and all subordinate units) Physical Records Call. During this records call, any office that created any physical records were afforded the opportunity to digitize their physical records. The USCENTCOM RM team set aside dedicated scanners in the CRISF, which are available for HQ staff use.

Furthermore, local SAVs are be performed in order to identify, categorize, and digitize physical records found, which are then cataloged into the Command's ERMA. Likewise, SAVs conducted in the AOR undergo a similar process, however the records captured there are retrograded back to HQ USCENTCOM on a quarterly basis and then cataloged into the Command's ERMA.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

*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 (include specific goals and example metrics):*

The USCENTCOM RM team implemented several plans to ensure all electronic records are being managed electronically NLT 31 December 2022. This includes but is not limited to publishing a list of record types assessed that have permanent historical value.

The USCENTCOM RM team also provides RM training (twice a month) promoting RM principles to all HQ USCENTCOM Directorate/Special Staff personnel with particular emphasis on training Directorate Records Officers (DROs), Senior Records Officer (SROs), Records Officers (ROs), and File Custodians (FCs). This also includes those personnel located at USCENTCOM Forward Headquarters, Security Cooperation Organizations, and Joint Task Forces. This training includes but is not limited to: identifying federal records, applying proper metadata to each record, the lifecycle of a record, establishing an RM program, maintaining an RM program, and compliancy with Federal mandates and regulations. The USCENTCOM Senior Records Analyst also provide detailed training on the use of the Command's ERMA, to include creating approved file systems, adding the appropriate metadata, moving records into the ERMA, and searching within the ERMA.

The Command Records Manager (CRM) has established short term (0-6 months) to long-term goals (24+ months) for the Command's RM program to ensure compliancy and meet guidance and direction set forth by NARA. These goals are reviewed and updated on a monthly basis and are briefed to the Chief, Resources and Analysis Division. Additionally, as needed updates are provided to the SAORM and the Chief of Staff (CoS) on how HQ USCENTCOM and subordinate units are meeting performance goals and objectives. These performance goals and objectives are eventually provided to the CoS as part of the annual CoS Roll-up, which provides an overall assessment of the RM program (HQ and AOR) for that calendar year and compares the assessment to the previous 2-3 years.

Last, in order to comply and meet the timelines directed in M-19-21, USCENTCOM updated the scoring criteria for the Command's RM SAVs. With Senior Leadership concurrence, the CRM revamped the SAV process to increase the compliancy score from 66.1% to 80.00%. Additionally, the weighted score for the use of the Command's ERMA increased from 15

points to 40 points overall.  Both increases ensure each office is improving on their programs and are managing their electronic records in the ERMA.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☒ **Yes**
   ☐ No

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

   USCENTCOM does not have agency-operated records centers.

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   *\*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.*

   ☒ **Yes**
   ☐ No

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

   CCR 25-50 directs the requirement to train Senior Officials or Senior Leaders.  Currently, the CCJ6/CIO oversees the Senior Leader training program for USCENTCOM General Officers, Flag Officers, and Senior Executive Service (GO/FO/SES) personnel.

   The USCENTCOM CRM advises Senior Leaders of their RM responsibilities within the first 30 days of assumption of duties, using either the DRO or SRO, or the CCJ6/CIO process. Similarly, all out-briefs are conducted in the same manner as the CCJ6/CIO oversees the process and the CRM ensures it is completed via the DROs/SROs.  Upon the Senior Leader's in-brief or out-brief, they will sign a Memorandum for Record (MFR) acknowledging their responsibilities with a copy provided to CCJ6-RDR.

These same Senior Leaders training slides are readily available to DROs, SROs, ROs, as well as to all JTFs, SCOs, and Office of Military Cooperation (OMC) for their implementation.

Additionally, CCR 25-50 provides guidance and direction to all USCENTCOM employees. CCR 25-50 states that all departing staff members, to include coalition members, are authorized to remove personal files created during their tour.  Personnel requesting removal of any personal records must contact CCJ6-RDR or their RM team to complete and sign a memorandum for record indicating the records being collected and taken by the individual are not official, are not classified records, and are for personal use only.

(1) Personal files are materials created solely at the discretion and for the convenience of an individual while working for the government and belong to the individual, not the government.

(2) Personal files include materials unrelated to government business, such as family and personal correspondence; personal e-mails; personal reference files, books, and other items obtained from private sources; and files documenting an individual's previous professional activities or other outside pursuits.

(3) Personal files may include materials indirectly related to government business, such as work-related personal diaries, journals, logs, notes, calendars, and e-mails.  These materials can be considered personal only if they are used as reminders and personal observations, and not for the transaction of government business.

(4) Personnel should ensure any personal files being removed from any U.S. Government network are reviewed to ensure they are not official records and/or classified; where the distinction is unclear, consult with the CRM for clarification.

Finally, all O-6 and above e-mails are journaled through Defense Information Systems Agency (DISA) Department of Defense Enterprise E-mail (DEE).  These e-mails are retrieved from DISA via external hard drives on a regular and reoccurring basis in order to catalogue them into CM for preservation.  This process prevents any inadvertent deletion/destruction of these e-mails and ensures their preservation in the Command's ERMA.

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

*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 (include details of specific challenges, if applicable):*

Establishing a more efficient means to transfer "War Records" from the USCENTCOM AOR to HQ USCENTCOM on a quarterly or reoccurring base. A solution is needed to allow "War Records" from the AOR to be collected in a central AOR data location and then replicated to a data storage location at USCENTCOM facilitating the ingestion into the Command's ERMA.

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

☒ **Yes**
☐ No

*Please provide details on what support is needed:*

Enforcement of RM policies and procedures is the largest problem within all agencies. Additionally, NARA should lead an all-federal agency-wide effort to establish a more efficient and collaborative way to manage and preserve Senior Leader e-mails. The current process with DISA does not allows USCENTCOM to immediately capture and preserve these e-mails into the Command's ERMA, nor will it allow the Command to conduct searches for official requests (e.g., FOIA, litigations, etc.).

USCENTCOM also requests clearer guidance and direction on how to capture and preserve social media records.

# APPENDIX D-5

UNITED STATES CYBER COMMAND

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   ☐ Yes
   ☒ No

   *Please explain your response:*

   Our Electronic Records Management Application (CYBERVAULT) is currently under development. By the end of June we will start journaling our CAPSTONE officials email.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   ☒ Yes
   ☐ No

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

   USCYBERCOM is currently implementing naming conventions, file folders with record ID names, ensuring metadata tags are done before documents are loaded into SharePoint. Training is being developed for all users for inputting metadata into a document.

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

   ☒ Yes
   ☐ No

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

   About 90% of USCYBERCOMs records are electronic. There are only a few records that are maintained as a paper copy.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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 (include specific goals and example metrics):*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☒ Yes
   ☐ No

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

   USCYBERCOM does not have any agency-operated records centers.  About 90% of USCYBERCOMs records are electronic.

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   *Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   ☒ Yes
   ☐ No

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

   U.S. Cyber Command Instruction 5000-05 and U.S. Cyber Command Manual:  *Vol II – Electronic Records Management* (currently draft)

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

   *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 (include details of specific challenges, if applicable):*

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

☐ Yes
☒ No

*Please provide details on what support is needed:*

# APPENDIX D-6

UNITED STATES EUROPEAN COMMAND

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- Tymbika K. Mason
- Command Records Manager
- HQ EUCOM, Kurmacherstrasse Gebaude 2314, 70569 Stuttgart Germany

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   ☐ Yes
   ☒ No

   *Please explain your response:* **Each directorate Records Officer has been scheduled for retraining to ensure the adherence to the M-19-21, 1.1. This is necessary to begin a swift shift within the EUCOM community dissuade continued use of antiquated and costly hardcopy records. Budgetary constraints for all directorates, their subordinate division/branches and geographically separated Office of Defense Cooperation are ever present. Gradually, the ability to purchase scanners that are able to scan large volumes of hardcopy records, is slowly coming to fruition**.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   ☒ Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):* **The EUCOM RM has recently began working with a NARA representative in order to ensure an ARCIS account created to aid in proper management of permanent electronic records. Working in concert with the EUCOM Historian's office, the RM office is preparing nearly 85,000 documents for scanning, to be completed within the current fiscal year.**

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

   ☒ Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):* **EUCOM's standard to use a task management system has aided in the reduction of hardcopy records. Staffing any documents to be signed or approved must be in electronic format. This ensures that the entire life cycle of staffed packages are solely electronic. The success of continuing this upward trend is predicated upon community buy-in from directorate leadership at all levels.**

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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 (include specific goals and example metrics):*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☐ Yes
   ☒ No

   *Please explain your response (include specific goals and example metrics): **EUCOM does not have an agency-operated record center.***

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   ☒ Yes
   ☐ No

*Please explain your response (include specific details of procedures):* **All EUCOM personnel are currently briefed during Staff Fundamentals and during in-processing procedures. The sign-in roster serves as verification of training received. Request for adding the Records Management Office to the out-processing for all personnel is being reviewed by the Commandant's office. This ensures all personnel, to include senior personnel, are being properly indoctrinated and debriefed upon exiting the EUCOM area of responsibility.**

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

   *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 (include details of specific challenges, if applicable):*

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

   ☐ Yes
   ☒ No

   *Please provide details on what support is needed:* **Support has already been granted by the NARA ARCIS account creation team. It was discovered during research, that the Department of the Army has established channels for ARCIS usage. EUCOM has been assigned an accessions number, aligning under the Army and aided the EUCOM RM in moving forward with the accessioning locally housed permanent records in conjunction with the EUCOM Historian's records project. Their assistance has also allowed revisions to the standard operating procedures for EUCOM for permanent records.**

# APPENDIX D-7

## UNITED STATES INDO-PACIFIC COMMAND

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts 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

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   ☐ Yes
   <mark>X No</mark>

   *Please explain your response:*

   *USINDOPACOM have an abundance of documents residing in electronic format on multiple USINDOPACOM systems and applications. The volume of documents residing in multiple systems and applications including email throughout the command would take months on end to complete with proper resourcing.*

   *I've informed the National Archives (NARA), Joint Staff (JS) and USINDOPACOM leadership that the identification process remains a challenge due to resource constraints at all levels of USINDOPACOM.*

   *NARA identified an organization that consisted of four permanent collections that date back as far as the 1950's used by the staff to negotiate with the host nation. Due to the volume of all four collections, the digitization process necessary to capture all four permanent collections properly requires professional scanning contract services as recommended by the National Archives. Once digitized, NARA has accepted to take the permanent digital records and leave the originals to continue conducting official business with the host nation.*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   <mark>X Yes</mark>
   ☐ No

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

   *JS informed all COCOMs that guidance is forthcoming in their new instruction rewrite that will include managing records in electronic format with appropriate metadata as part of the integration of RM processes into IT system lifecycle processes. All COCOMs to include USINDOPACOM are awaiting this guidance for incorporation into local COCOM instructional guidance.*

*However, digital network peripheral equipment were purchased throughout USINDOPACOM, both NIPR and SIPR domains, enabling the staff to scan permanent and temporary paper records to the appropriate e-location on the network, converting paper document(s) into manageable e-records. Metadata tagging is partially encapsulated within the digitization process but still remains a work in progress.*

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

    <mark>X Yes</mark>
    ☐ No

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

    *Digital network peripheral equipment was purchased throughout USINDOPACOM on both NIPR and SIPR domains, enabling staff to scan temporary and permanent paper records to the appropriate e-location on the network, converting paper document(s) into manageable e-records. Metadata tagging is partially encapsulated within the digitization process but still remains a work in progress.*

    *In the meantime, the volume of documents residing in multiple systems and applications including email throughout the command could easily take months on end to complete. With 90% - 95% of collaboration already done electronically, the M-19-21 mandate for capturing electronic records timeline provides enough time for Records Officers to adjust implementation in phases dependent upon resource constraints coupled with numerous unmanaged documents can become quite arduous.*

5.  **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

    *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 (include specific goals and example metrics):*

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

    *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

☐ Yes
☐ No

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

*USINDOPACOM does not have an agency-operated records center.*

**7. Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

\*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

☐ Yes
X No

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

*USINDOPACOM CRM has addressed this item with the Joint Staff about creating an official senior leadership in-out briefing/checklist template and deploy to the COCOM to alleviate having each COCOM with different in and out brief procedures.*

*In the interim, USINDOPACOM CRM have begun working with other CRMs in identifying local policy/procedures which addresses how to capture outgoing senior official records to include email. These efforts are geared towards developing a generalized in-out briefing/checklist template where it can be tailored for COCOM use.*

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

*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 (include details of specific challenges, if applicable):*

*Two organizations are currently without 0308 Records Officers. One has an assigned billet but currently not being filled. However, the other organization continues without an identified billet for Records Management as highlighted in previous inspections by*

*NARA(2014), Liaison Command Records Officer(2015) and USINDOPACOM CRM (2012 & 2017). Without manpower with the proper skillsets, it will continue to delay the process. At the Records Officer level, it is not a job where one can just assign someone as an additional duty and expect full-time results. Until leadership recognize this, it will continue to be a vicious cycle.*

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

<mark>X Yes</mark>
☐ No

*Please provide details on what support is needed:*

*Perhaps NARA contract services may be an option for the organization with the four permanent collections but due to limited funding, I have reservations about getting the funding approved because of higher competing priorities.*

# APPENDIX D-8

UNITED STATES NORTHERN COMMAND

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- Sandra M. McAfee-Symons
- Command Records Manager
- N&NC/CSC, 250 Vandenberg St., Ste B016, Peterson AFB, CO, 80914

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   X Yes

   *Command's RM policy directs all permanent records to be in an electronic format. File plans with permanent record series assigned are routinely audited for record submissions against the Command's official record keeping application (HPE CM).*

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

   X Yes

   *All permanent records are managed with appropriate metadata. Current electronic formats meet NARA transfer guidance. Command will not have any records eligible for transfer to NARA until 2027. Periodic review of NARA format tables ensure format standards remain applicable.*

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

   X Yes

   *Current Command policy states hard-copy records should be limited to Short-Term (6 months) or Routine Administrative (3 years) documents. Any hard-copy records must have the location listed for the record series on the file plan and will require manual management for disposition.*

   *Scanning temporary hard-copy records is encouraged but not required unless it is Functional/Operational record (7-10 years) or in the Exception category which are required to be posted to the Porta, and subsequently sent to records repository.*

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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.*

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

*DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

X No

*Not applicable as USNORTHCOM does not utilize any agency operated record storage facility.*

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

X Yes

*Listing of senior leaders, by position, is tracked by the Manpower and Personnel Directorate (J1) and validated monthly by the Command Top 3. The Joint Training and Education division (J7) schedules incoming senior personnel to receive an orientation briefing which includes records management. The Command Records Manager (CRM) tailors the brief by providing an overview of RM climate in gaining organization and addresses email/personal records responsibilities. The same senior personnel listing is used by the CRM to schedule the Senior Leader Exit brief. A Command senior 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.*

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

*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.*

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

X Yes

*Address record ownership and responsibilities in organizations and environments where agencies share missions, electronic information systems, or have liaison members assigned outside of home agency (ie., DOD personnel working at Department of State US Embassies abroad, or agency LNOs working at DOD facilities). There are instances when neither entity recognizes ownership of the records or where all entities claim ownership for all of the records. NARA guidance does not discuss agency agreements or how to address responsibilities where records are being managed outside of an agency.*

# APPENDIX D-9

UNITED STATES SOUTHERN COMMAND

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget (OMB) and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- Mr. Jose P. Lopez-Vega
- Records and Information Management Specialists
- 9301 NW 33rd St. Doral, FL 33172

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

X Yes
☐ No

*Please explain your response:*
Per M-19-21 "Transition to Electronic Records", and NARA's General Records Schedule (GRS 6.1) "EMAIL Managed under a CAPSTONE Approach, USSOUTHCOM gathered requirements that created an enterprise electronic Records Management (e-RM) initiative specifically leveraging lessons learned from previous efforts on enterprise Electronic Information Systems (EIS) data consolidation for records that are most authoritative and informative. As a result, these lessons enabled management of permanent records in electronic format, in an enterprise web collaborative environment (DEE/DISA, Intelinks, APAN, JWICS, BICES, and SharePoint) that support Contingency of Operations (COOP) with proper configuration and management of all permanent electronic records.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   X Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):*
   USSOUTHCOM e-RM initiative identified the following Permanent Electronic Records (PER) goals that supports management of permanent records in electronic format with appropriate metadata:

   1. Re-assess and identify directorates, JTFs, and Direct Reporting Units (DRUs) <u>finished products</u>, as PER products.

   2. Create command's PERs templates based on finished products reassessment.

   3. Identify template key properties, as metadata terms, per NARA bulletin 2015-04 "Metadata Guidance for the Transfer of Permanent Electronic Records".

   4. Review and consolidate metadata terms as Enterprise Metadata Term Sets (EMTS).

   5. Properly configure templates and EMTS into authoritative web enabled collaborative environments or EISs.

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

   X Yes
   ☐ No

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

USSOUTHCOM's e-RM initiative will expand it goals to include management of temporary records in electronic format and it will continue leveraging lessons learned from the enterprise data consolidation initiative on its Electronic Information Systems (EIS). The following Temporary Electronic Records (TER) goals are:

6. Re-assess and identify directorates, JTFs, and Direct Reporting Units (DRUs) <u>draft products</u>, as Temporary Electronic Records (TERs).

7. Create command's TERs templates based on draft products reassessment.

8. Identify template key properties, as metadata terms.

9. Review and consolidate metadata terms as part of the Enterprise Metadata Term Sets (EMTS).

10. Properly configure templates and EMTS into authoritative web enabled collaborative environments or EIS.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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 (include specific goals and example metrics):*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☐ Yes
   X No

   *Please explain your response (include specific goals and example metrics):*
   USSOUTHCOM's current records center is at Suitland Maryland and have no plans in-placed to close it by end of 2022.

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   ☐ Yes
   X No

   *Please explain your response (include specific details of procedures):*
   USSOUTHCOM's e-RM enterprise project initiative will include documented procedures to ensure records of outgoing senior officials are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email.

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

   *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 (include details of specific challenges, if applicable):*

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

   X Yes
   ☐ No

   *Please provide details on what support is needed:*
   USSOUTHCOM's will ask for deadline's extensions on M-19-21 "Transition to Electronic Records", and NARA's General Records Schedule (GRS 6.1) "EMAIL Managed under a CAPSTONE Approach, USSOUTHCOM Records and Information Management Specialist position is a single billet with KM-XO and Command Publication duties as well. USSOUTHCOM's most recent Department of the Army man-power study, recommended to increase billets by three. By law HQ's RM billets are authorized per 500 staff personnel. In contrast, Combatant Command Headquarters typically have over 1000 staff personnel.

# APPENDIX D-10

UNITED STATES SPECIAL OPERATIONS COMMAND

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

XX Yes
☐ N o

*Please explain your response:  When identified, all permanent paper records are being converted into electronic format for long term archival.  All electronic permanent records are being stored in their native format.  Previously, U.S. Special Operations Command (USSOCOM) has purchased Micro Focus Content Manager (CM) software and enterprise licensing to utilize for capturing all permanent electronic records for the USSOCOM enterprise.  Due to software integration issue, USSOCOM is currently working on developing a custom solution for our enterprise records management program.*

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

*DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

XX Yes
☐ N o

*Please explain your response (include specific goals and example metrics): The USSOCOM enterprise is currently migrating its core services into the DoD cloud environment for our unclassified network and our classified networks will begin migrating within the next couple of years.  This greatly assists us in applying metadata in the cloud environment but not all information/data/records will be migrated into the cloud and applying metadata will continue to be a challenge.*

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

☐ Y es
XX No

*Please explain your response (include specific goals and example metrics):  When practical, non-electronic temporary records are converted to electronic.  Time, money, and the overall value of the temporary record establishes if or when the record becomes digitized.*

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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
   ☐ N o

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

   *No additional input from USSOCOM.*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☐ Yes
   XX No

   *Please explain your response (include specific goals and example metrics): Not applicable.*

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   XX Yes
   ☐ N o

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

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

   *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.*

   XX Yes
   ☐ N o

   *Please explain your response (include details of specific challenges, if applicable): Reductions in resources (manpower and financial) continues to be a challenge.*

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

   XX Yes
   ☐ No

   *Please provide details on what support is needed:  NARA conducted an assist visit but the results have not yet been published.  Need the NARA assessment results for USSOCOM Records Management Program to assist in identifying potential strengths, weaknesses, and to ensure our records management program is properly implemented.*

# APPENDIX D-11

UNITED STATES STRATEGIC COMMAND

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   ☐ Yes
   ☐ No

   *Please explain your response:  In 2018, prior to the Command's move to our new Head Quarters facility in the Fall of 2019, along with the compliance of M-19-21's Goal 1.1 deadline, a process was implemented at USSTRATCOM that directed all personnel to scan all permanent hard copy records and file them, by drag and drop method, into their Office of Record's electronic file plan.  File Custodians (FCs) are required to create electronic file plans on their NIPR/SIPR restricted drives; these file plans are linked, via document queues, to the Command's Records Management Application (RMA) known as Micro Focus Content Manager (MFCM).  For records that reside on the TS/JWICS enclaves, those records are manually monitored by FCs to ensure proper retention and disposition actions are followed.  Each Quarter, FCs are required to 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 that Office of Records electronic file plan so they can be transferred to MFCM on NIPR/SIPR until eligible for transfer 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" access to MFCM..*


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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   ☐ Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):  Similar to the answer in Question 2, USSTRATCOM's RMA known as Micro Focus Content Manager (MFCM) meets DoD 5015.02-STD regarding "Electronic Records Management Software Applications Design Criteria Standard".  When electronic records are filed into NIPR/SIPR MFCM, I'm to understand that these records meet M-19-21, Goal 1.2, requirements.  An example of the progress USSTRATCOM has made over the year is with the policy of routing electronic packages, via Task Management Tool (TMT)*

*to the J0 Command Section for signature/approval from either the Commander, Deputy Commander, or Chief of Staff, this process has eliminated the routing of hard copy records; once signed, the Corporate Record Copy (permanent record) is filed by the Secretary of the Joint Staff (SJS) to store in MFCM until disposition is met and transferred to NARA. As previously stated, permanent electronic records reside in MFCM on NIPR/SIPR; as far as permanent records that reside on TS and JWICS enclaves, these records reside in that Office of Records electronic file plan, that was created by the File Custodian, until their disposition is met and a declassification review is performed prior to transfer to NARA. The above mentioned policy is stated in Strategic Command Instruction (SI) 930-01 regarding "Records Management Program".*

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

   ☐ Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics): Answer to this question is similar to Question 3 of this SAORM Report; however, to evaluate our progress at USSTRATCOM, an internal Staff Assistant Visit (SAV) was performed by the Command Records Manager (CRM) in May-August 2019 timeframe to ensure compliance of M-19-21 was being executed. USSTRATCOM's Policy requires all records to be created and maintained in electronic format and for personnel to scan hard copy records so that they can be filed into the Command's RMA, known as Micro Focus Content Manager, by dragging and dropping them into their electronic file plan. Each Quarter, File Custodians 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 temporary, and permanent, hard copy records are converted (scanned) as a ".pdf" and place in MFCM.. **Note:** This process is reflected in our Strategic Command Instruction (SI) 930-01, Records Management Program; along with CRM's briefing slides and tri-fold handout to personnel that attend Action Officer Training, and taught during all CRM Records Management Training events.*

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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 (include specific goals and example metrics):*
*USSTRATCOM has one official billet for the oversight/management of the Records*
*Management Program, this billet serves as Command Records Manager (CRM) (GS-11)*
*and 1 FTE (8-Hours) of Contractor Technical Administrative Support for the Command's*
*Records Management Application (RMA), which falls under the oversight of the Chief of*
*Staff. The success of the Command's RM Program heavily relies on a working*
*relationship with appointed Directorate Records Officers (DROs) to serve as a liaison*
*with the CRM to monitor the RM Program within their Directorate and ensure appointed*
*File Custodians (FCs) within the Office of Record are complying with Command policy.*
*To measure the success of compliance is accomplished via Staff Assistant Visits that are*
*performed by the CRM bi-annually to all DROs; as well as facilitating Quarterly DRO*
*Meetings.*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD*
   *level.*

   ☐ Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):*
   *USSTRATCOM does have some hard copy permanent records in a certified storage*
   *facility located on Offutt AFB; a Memorandum of Agreement (MOA) with our host base*
   *(55th Wing) allows for the safe keeping of our UNCLASSIFIED hard copy records. No*
   *new permanent hard copy records have been added to this storage facility during my*
   *tenure as CRM (since 2014), only a few boxes of temporary records from our J1*
   *Directorate have been added; however, with Goal 1.2 stating NARA will no longer*
   *accept hard copy permanent records after 31 December 2022, it might be a challenge for*
   *the CRM to scan those permanent records upon meeting their 24 year retention (although*
   *the earliest requirement for USSTRATCOM would be in CY 2027) to be transferred and*
   *accessioned to NARA. Due to USSTRATCOM's compliance of M-19-21, no new hard*
   *copy records have been sent, temporary or permanent, to the Base Storage Facility. As*
   *CRM, the goal is to work with NARA to see if they will except these permanent hard copy*
   *records prior to 31 December 2022 deadline earlier than 25 year retention; thus saving*
   *countless man-hours in trying to scan these records to .pdf.*

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

\*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

☐ Yes
☐ No

*Please explain your response (include specific details of procedures):  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, and their RM responsibilities, discourages personal account/email usage, RM references, and POCs. Plus, Senior Leaders complete "RM Annual Refresher Training" that's specifically created, and narrated, by the Command Records Manager, for all personnel to complete.*


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

*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 (include details of specific challenges, if applicable): USSTRATCOM is already in compliance of being fully-electronic with its Records Management Program and processes; however, the constant challenge is the oversight of ensuring Command compliance.  As stated in the response to Question 5 in this year's SAORM report, as CRM and being one-man deep, besides the 1 FTE for Tech Admin Support, I'm having to heavily rely of Command personnel that are assigned additional duties in RM roles as either Directorate Records Officer (DRO) and/or File Custodian (FC); these challenges include, but not limited to, dealing with high turnover rates of personnel assigned as DROs/FCs, ensuring their relief is properly training, and that DROs are providing oversight of the FCs within their Directorate, just to name a few.*

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

☐ Yes
<mark>☐ No</mark>

*Please provide details on what support is needed:  As the Command's Records Manager, I belief that USSTRATCOM has successfully become fully electronic for recordkeeping; however, I do plan on working with NARA to ship UNCLASSIFIED, permanent hard copy records earlier than 25 year on-site retention to meet M-19-21 Goal 1.2 deadline of 31 December 2022..*

# APPENDIX D-12

UNITED STATES TRANSPORTATION
COMMAND

*Senior Agency Official for Records Management*
*2019 Annual Report*
*DoD Component Input from* <span style="color:red">USTRANSCOM</span>

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   ☐ Yes
   X  No

   *USTRANSCOM is not managing all permanent electronic records in electronic format as of December 31, 2019. Command Records Manager has tasked /distributed requirement to all Record Professionals in accordance with M-19-21, Goal 1.1 to move all permanent records to electronic format with the Content Manager electronic records system in April 2020.  Tool will not be available via SIPR at time of installation.*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   X Yes
   ☐ No

   *USTRANSCOM has made progress towards managing all permanent records in electronic formant with the appropriate metadata by December 31, 2022.  Awaiting additional information/guidance from NARA on metadata to efficiently execute electronic records management process.*

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

   X Yes
   ☐ No

   *USTRANSCOM has made progress towards managing all temporary records in electronic format with the utilization of SharePoint and Task Management Tool (TMT).*

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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

*USTRANSCOM have taken steps to ensure agency records are appropriately retained, stored, and transferred according to their disposition schedules.*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☐ Yes
   X  No  -  *This question is not applicable to USTRANSCOM.*

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   X Yes
   ☐ No

   *USTRANSCOM's business process rules dictates that Senior Officials utilizes TMT to ensure electronic records are properly captured and/or processed and not improperly removed, altered, or deleted to include electronic records and email.*

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

   *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

*USTRANSCOM foresees challenges as a full DOD change management plan needs development.*

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

X Yes
☐ No

*USTRANSCOM request support from NARA to ensure a successful transition to a complete electronic recordkeeping system by providing clear standard for fully electronic recordkeeping, applicable formats, metadata, transfer guidance, and training.*

# APPENDIX E

OFFICE OF THE SECRETARY OF DEFENSE
COMPONENT SAORM REPORT

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats, and to identify best practices and model solutions within Federal agencies.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting:

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmselfassessment@nara.gov. Include the words "SAORM 2019 Annual Report - [Agency Name] in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While

NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information for SAORM (required):

- Darren Irvine
- Acting Director; Executive Services Directorate, Washington Headquarters Services
- Washington Headquarters Services, Office of the Secretary of Defense, 1155 Defense Pentagon Washington DC 20301-1155

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

   DoD CIO will provide on behalf of DoD

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

   ☐ Yes
   ✓ No

   *Please explain your response:*
   Due to the myriad of programs and offices within OSD; the OSD Records and Information Management (RIM) Program (WHS/ESD/Records, Privacy and Declassification Division (RPDD)) is engaged with stakeholders concerning policy, procedure, and infrastructure development for the transition from hard copy to fully electronic records maintenance. Individual offices have made great strides in migrating towards electronic records management; however the majority of OSD offices still retain hard copy records. The OSD RIM Program currently utilizes an electronic records repository to maintain selected high value records from across the OSD components, defense agencies, and field activities. The OSD RIM program views utilization of the repository as a step in the direction towards compliance with OMB M 19-21, although it exists in an environment with limited access. OSD RIM Program is looking at an enterprise-wide solution for electronic records.

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

   ✓ Yes

☐ No

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

The OSD RIM Program is engaged with stakeholders concerning policy, procedure, and infrastructure development required for the creation, protection and storage of OSD records.  In addition to developing strategic plans, program goals and metrics; in 2017 the OSD RIM Program piloted a records management application (RMA).  The pilot allowed us to identify new governance rules and strategies in regards to potential RMA integration/implementation for records and information lifecycle and storage management possibilities within the OSD Components.  Another example of an ongoing OSD RIM Program initiative for M-19-21 compliance, is a proof of concept for a content management system (CMS).  We will test if the CMS can structure unstructured records and information stored within the OSD network share drives.  This CMS will be tested by divisions within the OSD SAORM Directorate.  The proof of concept will allow the OSD RIM program to identify additional governance rules for digital information that is redundant, obsolete and transitory, and organize existing records and information according to OSD RIM policies with an eye on compliance with M-19-21.  Additional analysis will allow for the revision or creation of new strategies to assist the OSD Component's transition to an all-electronic environment.


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

   ✓ Yes
   ☐ No

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

   **See explanation in question #3**

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

   ✓ Yes
   ☐ No

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

   **The ESD strategic plan provides mid to long-term goals and describes the basic strategies for achieving compliance with OMB M 19-21.  The proof of concept mentioned above is a part of the strategic plan.**

Ex. Goal 1. Promote the Efficient and Economic Retention and Disposition of OSD Records and Information.
- Objective 1: Ensure the OSD Components have identified files, records and information required to meet their operational, mission, legal, administrative and historical needs.

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

   ✓ Yes
   ☐ No

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

   **OSD does not own or operate an agency-owned records center.**

7. **Does your agency have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

   ✓ Yes
   ☐ No

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

   **Component Records Management Officers (CRMO) provide out-briefings for senior officials, also the OSD Records Administrator will brief upon request. OSD RIM Program policies and procedures for departing Senior Officials are codified in enclosure 5 of Administrative Instruction 15. We also provide read-aheads, brochures, and other materials to military assistants, Chiefs of Staff, and OSD CRMOs upon notification of the pending departure of the senior officials and brief during presidential transitions. Additionally, RPDD coordinates with the DoD Joint Service Provider (JSP) to ensure records and information are captured and stored electronically prior to the departure of the Senior Official.**

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

   ✓ Yes

☐ No

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

- o **A significant difficulty will be the culture change required by all stakeholders as OSD and DoD implement more cloud computing tools, programs, and initiatives. Technology changes rapidly; OSD personnel must adapt to changes in order to ensure administrative, mission, and operational records are captured, maintained, and preserved in accessible formats.**

- o **Lack of an operational CIO in OSD creates gaps between records management policy development and the impacts on the implementation of said policy. The Defense Information Systems Agency (DISA) is the de-facto CIO and IT services provider for OSD, but has minimal involvement in the development of policies or procedures for electronic records management or transition plans.**

- o **Successfully capturing and maintaining content (records) within Defense Enterprise Email (DEE) and network share drives is significantly challenging without an operational CIO to enforce RM policies. These gaps extend to the creation and development of IT tools to manage records electronically without crucial SAORM/Federal Records Officer input.**

- o **Acquisition of long term digital storage: OSD creates and maintains an extraordinary amount of records and information that has been deemed to have a historical value or required for legal, congressional or operational business needs. Examples include the records of the Secretary and Deputy Secretary of Defense and records related to OSD implementation of Occupational Safety and Health Administration requirements; which have historical and operational value to DoD and the United States and require records retention ranging from 6 to 30 years.**

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

✓ Yes
☐ No

*Please provide details on what support is needed:*

- o **Provide stronger program advocacy, this includes the Archivist of the United States meeting with Under Secretary or higher level Officials. Senior level buy-in and understanding in regards to why investment in**

**electronic records governance infrastructure is necessary to assist in procuring the resources required.**

o **Coordinate with the private sector to increase training opportunities and standards. The private sector is moving toward "Information Governance" over RM. This model acknowledges that records managers must have knowledge of the digital environment, risk management and systems administration.**

o **Coordinate with NIST and similar agencies to develop a "special publication" to describe mandatory RIM controls/requirements for the development and implementation of information systems and their associated risk management frameworks.**

o **Update and issue guidance to identify standards/requirements for scanned records, acceptable digital formats, and affiliated archives.**

o **Coordinate with federal records officers, acquisition, and contract personnel to develop and implement Records Management terms for incorporation into the Federal Acquisition Regulation.**

# APPENDIX F

INDEPENDENT AGNNCY 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 as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- Shanna Jones
- Records Management Officer
- 3911 S. Walton Walker Blvd, Dallas, TX 75236

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   ☐ Yes
   X No

   *Please explain your response:*

   AAFES received approval and funding in October 2019 to replace outdated and cumbersome records management application with a DoD 5015.02-std certified Records Management Application. Implementation has begun and AAFES expects to meet goal 1.1 of M-19-21 by June 2020.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   X Yes
   ☐ No

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

   AAFES is implementing a new Records Management Application that will electronically manage all permanent records and the appropriate metadata. A scanning initiative has been funded and is set to begin in April 2020 to digitize paper permanent records for eventual transfer to NARA.

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

   X Yes
   ☐ No

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

   With the implementation of AAFES' new Records Management Application there will be an appropriate location to manage temporary records in electronic format. Inventories have been conducted and AAFES is aware of the remaining records that will need to be digitized.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

*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 (include specific goals and example metrics):*

AAFES Senior Leadership supports the requirements in M-19-21 and approved a new RMA that will enable records management to properly manage electronic records. The addition of records management annual training has been approved. While staffing resources are still a major concern there have been great strides in records management with the assistance of our senior staff.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   X Yes
   ☐ No

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

   AAFES does not own agency-operated records storage facilities.

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   X Yes
   ☐ No

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

AAFES does provide training to all current and incoming Senior Leadership regarding email requirements and outgoing Sr Leadership emails are retained permanently. AAFES will be implementing additional training on all other records management requirements, to include exit briefings of Senior Leadership.

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

*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 (include details of specific challenges, if applicable):*

M-19-21 Goal, 1.2 - Digitization and collection of metadata is very costly and time consuming and should be seen as a manageable constraint.

M-19-21 Goal, 1.3 - AAFES information culture has been very informal, leaving employees to keep records in various unstructured locations with no enforcement of retention. The transition to a structured electronic environment will be a challenge for AAFES employees and could result in a substantial obstacle for successful implementation of this goal.

M-19-21 Goal, 1.4 - The AAFES Records Management Program consists of one lower level full-time employee. The resources necessary to maintain a robust records management program and meet this goal are significantly lacking.

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

X Yes
☐ No

*Please provide details on what support is needed:*

A plan by NARA to speed the approval of records schedules, to include media neutrality, during the transition to electronic records, would greatly improve the process.

# APPENDIX F-2

DEFENSE COMMISSARY AGENCY

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts 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

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   ■ Yes
   ☐ No`

   *Please explain your response:*

   DeCA has a low volume of records appraised as permanent records by NARA and consists of 3 record types within 3 series. All of these records are currently being stored in electronic format.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   ■ Yes
   ☐ No

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

   DeCA is making progress towards this requirement and is currently storing permanent records electronically. DeCA's permanent records are being stored electronically using SharePoint and Share Drives. A copy of these permanent records has been placed into the Agency's new DoD 5015.02 compliant Records Management Application (RMA) which is projected to be implemented by the 3rd Quarter of Fiscal Year 2020. Upon deployment, the permanent records copied into the new application will serve as the recordkeeping copy.

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

   ■ Yes
   ☐ No

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

   To date, 28 major functional processes have been reviewed and are being stored in electronic format. The remaining processes will be evaluated, linked to metadata, and stored in the Agency's DoD 5015.02 certified RMA by the 12/31/2022 mandate. Resources in terms of funding and personnel will still be needed to transfer existing paper records to NARA facilities by the 12/31/2022 mandate. The Agency is waiting for NARA guidance for obtaining exemptions for certain paper records that we wish to maintain in paper format.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

*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 (include specific goals and example metrics):*

- Implemented DoD Digital Modernization Strategy, Objective 1.4, Treat Data as a Strategic Asset.
- Implemented DoD Digital Modernization Strategy, Objective 2.3, Optimize DoD Office Productivity and Collaboration Capabilities.
- A data call was conducted for all components to measure progress throughout the Department for these objectives.
- Conducts meetings with Component Records Officers quarterly, and as needed.

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

*DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

☐ Yes
■ No

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

DeCA-Operated Records Centers, in accordance with NARA, are facilities that have the capacity to store 25,000 cubic feet of records or more (36 CFR 1234.10 – 1234.14). DeCA does not have any records storage facilities with this capacity. However, effort is being made to transfer paper records from small storage rooms to NARA by the 12/31/2022 mandate.

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

■ Yes
☐ No

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

Yes, departing senior officials are provided an exit brief on what they can and cannot take when separating from the Agency.  Emails of departing senior officials are journaled and retained in-house for 15 years followed by transfer to the National Archives in accordance with GRS-6.1 item 010.

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

   *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 (include details of specific challenges, if applicable):*

   - Additional personnel to transfer records to NARA Federal Records Centers
   - Additional digital storage to sustain storage for email and other records
   - Business Process Flow application to add efficiency to the RMA
   - Encryption software to meet NARA encryption requirements

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

   ■ Yes
   ☐ No

   *Please provide details on what support is needed:*

   Updated instructions and policies for:

   (1) Encryption requirements and process
   (2) Exemptions for eliminating certain paper records

# APPENDIX F-3

DEFENSE CONTRACT AUDIT AGENCY

Provide the following information:

**DoD Component Point of Contact:** Greg Sullivan
**Position title:** Records Manager
**Address:** Defense Contract Audit Agency (DCAA)
8725 John J. Kingman Road
Fort Belvoir, VA 22060-6218

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

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

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

☑ Yes
☐ No

*Please explain your response:* DCAA maintains all permanent electronic records in electronic format. Permanent electronic records are managed in DCAA's Electronic Records Management System (ERMS), "Livelink".

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

☑ Yes
☐ No

*Please explain your response (include specific goals and example metrics):* Permanent records conforming to NARA standards for electronic archival will be transferred to the National Archives with appropriate metadata, in accordance with DCAA's records schedule.

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

☑ Yes
☐ No

*Please explain your response (include specific goals and example metrics):* DCAA's temporary records are being managed electronically, with the exception of physical records maintained by the Federal Records Centers (FRC). Several Field Audit Offices (FAOs) still maintain Contract Audit Assignment/Case Files, in paper and other physical forms that were

created prior to 2009, which will need to be transferred to a FRC prior to December 31, 2022. The Records Manager is actively coordinating with the regional records officers and FAOs to: (1) identify records still in physical form; (2) determine if they can be destroyed; (3) transfer the records to a FRC prior to December 31, 2022; or, (4) convert the records to digital format, to be managed electronically.

**5. Have you, as the SAORM taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

*Note: DoD SAORM will provide this response at the DoD level.*

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

☐ Yes

☑ No

*Please explain your response (include specific goals and example metrics):* DCAA does not maintain any agency-operated records centers.

**7. Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

Note: 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

*Please explain your response (include specific details of procedures):* Senior officials are required to complete an exit briefing, and certify they have properly transferred their records, to include emails, prior to leaving the agency.

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

*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 (include details of specific challenges, if applicable):*** Several Field Audit Offices (FAOs) still maintain Contract Audit Assignment/ Case Files, in paper and other physical forms that were created prior to 2009.

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

☑ Yes
☐ No

***Please provide details on what support is needed:*** Implementation guidance and standards for fully electronic recordkeeping, including electronic records storage, formats, and metadata transfer guidance. Clear policies that permit agencies to dispose of analog originals records that have been digitized and transferred to electronic format.

# APPENDIX F-4

DEFENSE CONTRACT MANAGEMENT
AGENCY

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Provokie Williams
- Position title: Records and Information Management Specialist
- Address: 3901 A Avenue, Bldg 10500, Fort Lee, VA 23801

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   ▉ Yes
   ☐ N o

   *Please explain your response:* DCMA continues to manage a majority of the Agency's permanent records in electronic format. However, there are a few agency processes that continue to be managed in hard copy format.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   ▉ Yes
   ☐ N o

   *Please explain your response (include specific goals and example metrics):* DCMA currently uses MicroSoft Sharepoint to manage identified permanent records. Upon establishment of the RM Support Team, the Agency Records Officer will be scheduling an Agency wide records inventory. At that time, appropriate metadata will be established as directed by NARA for electronic transfer of records upon disposition.

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

   ▉ Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):* DCMA currently uses MicroSoft Sharepoint to maintain the majority of the Agency's temporary records. These records will transfer to the Agency's selected RMA, eDRMS (once testing and production are complete) according to their retention period and other identified metadata

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

*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
☐ N o

*Please explain your response (include specific goals and example metrics):* DCMA is currently in the process of standing up an "Integrated Process Team (IPT)/Working Group" to assist in the development of a Records and Information Management Strategic Plan for the Agency. Specific goals for the Agency are to ID and schedule any remaining paper and non-electronic records; establish and implement a complete RM support network throughout the Agency; implement updated policy on electronic records, permanent and temporary (to include email); implement training for the Senior Leadership and Agency staff on their responsibilities in records management; and develop and implement appropriate internal controls for the Agency's RM Program

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

*DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

☐ Yes
■ No

*Please explain your response (include specific goals and example metrics):* Not Applicable. DCMA has no agency operated records centers, therefore, no request for an exception is required.

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

\*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

☐ Y es
■ No

*Please explain your response (include specific details of procedures):* DCMA has recently updated the Agency's RM policy issuance on procedures for departing Agency employees. Checklist specific to Agency Employees and Senior Agency Officials have been developed. Collaborating with the Total Force Directorate on how include RM specific checklist in the in/out-processing procedures for all Agency employees. The Agency Records Office is also working on briefing material specific to Senior Agency Officials and their RM responsibilities.

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

   *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
   ☐ N o

   *Please explain your response (include details of specific challenges, if applicable):* DCMA is currently evaluating how email records are being managed since the recent migration to Defense Enterprise Email (DEE) and MilCloud migration – both services provided by DISA.

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

   ■ Yes
   ☐ No

   *Please provide details on what support is needed:* NARA guidance and assistance on obtaining management support. Would like to invite a NARA representative to initially brief the Agency's Senior Leader Staff on the importance of records management and their responsibilities.

# APPENDIX F-5

## DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- Ron White
- Records Management Specialist
- Quantico, VA

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

X Yes
☐ No

*Please explain your response:*

DCSA currently maintains all permanent records in electronic format. However, one of the challenges with managing permanent electronic records has been pre-accessioning records for transfer to NARA. There are no enterprise-wide capabilities to export records and metadata in a format acceptable to NARA to meet Goal 1.1 and to maintain a record of all transfers and destructions. Other known capability deficiencies are transferring eligible permanent records to NARA, and not having the administrative controls necessary to accurately track transfers of electronic records or know if and when there are records due for transfer.

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

*DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

X Yes
☐ No

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

All DCSA permanent records only exist in electronic format. The DCSA Records Officer works with NARA to ensure permanent records meet NARA standards for transfer.

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

X Yes
☐ No

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

The majority of DCSA temporary records are managed electronically. Current challenges include disposing of records and data in accordance with their approved records disposition schedule. DCSA currently relies on a manual system where individuals must identify and dispose of records according to their file plan. Acquiring an RMA will allow the agency to more efficiently manage information throughout the lifecycle.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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 (include specific goals and example metrics):*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☐ Yes
   ☐ No

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

   Not applicable, DCSA does not operate any agency records storage centers that meet the definition of a records storage center in 36 CFR 1234.

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   ☐ Yes
   X No

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

Changes are being considered but have not been made.

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

   *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 (include details of specific challenges, if applicable):*

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

   X Yes
   ☐ No

   *Please provide details on what support is needed:*

   Guidance on permanent records scanning.

# APPENDIX F-6

# DEFENSE FINANCE AND ACCOUNTING SERVICE

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- Ralph E. Mullins
- DFAS Agency Records Program Manager
- 8899 E. 56th Street, ATTN: Col 218R, Indianapolis, IN 46229

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

   Yes

   *Please explain your response:*

   DFAS currently manages all of its permanent electronic records in electronic format and will forward the records to NARA in the same manner. DFAS will ensure all permanent electronic records will be stored in a PDF format (TIFF format for images) for the transfer process.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.

   Yes

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

   DFAS electronic storage systems are increasing metadata requirements to ensure all records are maintained for their perspective lifecycle. DFAS 5015.2-M (Records Disposition) is being incorporated into the electronic systems to ensure the correct disposition is assigned to the records being stored. DFAS is active in the elimination of paper records and requires all areas to scan permanent documents for electronic storage.

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

   Yes

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

   DFAS is incorporating the scanning of all paper records into electronic format for storage and maintenance. Paper record transferred to NARA has trended downward since FY17 at DFAS. In FY19 DFAS transferred less than 1100 boxes. In FY18 record transfers were 1950 boxes and in FY17 records transfers amounted to 2370 boxes. DFAS' goal is to cut the paper records transferred by 50% during FY20 and meet the goal to have no paper records transferred by October 2022. All paper record transfers during FY20 is monitored to ensure the responsible office is working to reduce the paper records and modifying the processes to either receive documents electronically or reducing paper by the scanning of the documents.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

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 (include specific goals and example metrics):*

DFAS follows the practices outlined in the Federal Records Act and is working to meet all performance guidelines, objective and measures. DFAS is not required to appoint a SAORM per DoD guidance. Information is provided by the DoD SAORM to the DFAS CIO. Mr. Ralph Mullins is designated as the DFAS Records Officer and holds the NARA Certificate of Federal Records Management. All Agency records management staff members receive annual training. Quarterly records management teleconferences ensure all records management staff are trained and are knowledgeable of current policies/procedures.

DFAS 5015.2-M is approved by NARA and all record schedules are media neutral to ensure proper disposition for both paper and electronic records. DFAS record management staff uses ARCIS for all record and retrieval processes.

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

DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.

No, DFAS only uses the Federal Records Centers.

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

DFAS records will meet the requirement to be stored electronically by October 2022. Areas that currently have paper records are working to change procedures/processed to receive documents electronically or scan the paper records into electronic systems that will safeguard the information for the lifecycle of the documents.

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   Yes

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

   Our Human Resources Department has updated their out-processing check list to circumvent the improper removal, alteration or deletion of electronic records and email. This out-processing checklist contains information to notify senior officials that DFAS records may not be removed from the Agency. Senior officials are briefed that only their "working papers" are authorized to be removed or transferred.

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

   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.

   No

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

   Systems are being revised to add records management metadata to assist in the storage of records for the lifecycle of the documents. Data fields will allow the records to be monitored and secured for the retention period prescribed in DFAS 5015.2-M.

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

   No

   *Please provide details on what support is needed:*

   DFAS is working to ensure the requirement is met and coordinating with Program Managers to ensure paper records are captured accurately and stored electronically. Metadata fields will be added to electronic storage systems to assist in tracking records for the retention cycle and management until proper disposal.

# APPENDIX F-7

# DEFENSE INFORMATION SYSTEMS AGENCY

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- Shannon S. Lawrence
- Agency Records Officer
- P.O. Box 549 Fort Meade, MD 20755

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

☐ Yes
⊠ No

*Please explain your response:*

*Permanent records within DISA and JFHQ-DODIN are currently created in an electronic format; however, the organization has older permanent records scheduled for transfer to NARA in the future that will require digitization. In November 2019, DISA's Records Management program was inspected by NARA. It has been recommended that additional procedures and controls be established to ensure electronic records are maintained and accessible throughout their lifecycle in accordance with NARA approved retention schedules. DISA will provide NARA a Plan of Corrective Action (PoCA) related to this subject area in or around June 2020.*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   ⊠ Yes
   ☐ No

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

   *DISA and JFHQ-DODIN understand that approved records management directives and polices are essential to managing records. The Agency currently has a draft policy titled "Electronic Records, Migration Strategy and Metadata" to ensure that appropriate guidance is available for both the transition from hard-copy records to electronic format with the appropriate metadata, as well as the management of existing electronic records. The DISA Records Officer will continue moving the policy forward for approval and implementation. This approach was shared with the NARA inspectors during the November 2019 inspection.*

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

   ⊠ Yes
   ☐ No

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

   *DISA's long-term goal for managing its temporary electronic records is to deploy the Defense Enterprise Office Solution (DEOS). DEOS is a DoD-wide single enterprise solution for communication, collaboration and productivity that will include system-wide records management capabilities. In the interim, prior to the deployment of DEOS, DISA will leverage the management of electronic records, as appropriate, in milDrive by moving all documents, including records, from hard drives, shared drives, and*

*SharePoint to milDrive. This consolidation will assist with the organization's management of electronic records. The need to develop and implement procedures and controls is still necessary and will allow DISA/JFHQ-DODIN to better organize the records; minimizing issues and facilitating eventual migration to DEOS.*

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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 (include specific goals and example metrics):*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☒ Yes
   ☐ No

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

   *Not applicable. DISA does not have agency-operated records centers. The Agency utilizes the Federal Records Centers (FRC).*

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   \*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

   ☒ Yes
   ☐ No

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

*DISA has adopted NARA's GRS 6.1 Capstone Approach for senior DISA officials' emails which are considered permanent and kept within Defense Enterprise Email (DEE) using its journaling capabilities. Procedures to ensure the retention all other senior officials' documents are included in "Records Management Guidance for DISA Senior Officials," dated July 2018, which includes guidance for senior employees exiting DISA or the Federal Service.*

*Procedures for exit include: conducting an exit interview with the Center Records Officer, ensuring records are available to the successor and advising the departing employee not to delete or remove government information and records when leaving. As DISA/JFHQ-DODIN records management procedures are enhanced and finalized, additional guidance and procedures will be implemented to ensure further controls are in place.*

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

   *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 (include details of specific challenges, if applicable):*

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

   ☒ Yes
   ☐ No

   *Please provide details on what support is needed:*

   *DISA seeks to leverage NARA's guidance and assistance wherever possible to mature and improve its Records Management program. The Agency Records Officer has identified several areas that can benefit from the expertise of NARA personnel. The subject matter guidance needed includes: systems inventory direction, implementation of metadata requirements, and organization (to include controls) related to management of permanent electronic records in a decentralized environment.*

# APPENDIX F-8

DEFENSE LOGISTICS AGENCY

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- Cecilia Wiker
- Agency Records Officer
- 74 Washington Ave N

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

<mark>X Yes</mark>
☐ No

*Please explain your response:*

- <mark>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.</mark>

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

*DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

<mark>X Yes</mark>
☐ No

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

- <mark>DLA has completed a records inventory and is working to identify all the organizational offices that create and maintain permanent records.</mark>
- <mark>Further work has to be done to identify required metadata based on NARA providing greater clarity and/or adopting Dublin or other ISO standards</mark>

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

<mark>X Yes</mark>
☐ No

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

- <mark>DLA is progressing towards managing the majority of its short-term temporary records in electronic format</mark>
- <mark>There are still areas within the agency that rely on paper for their long-term records (i.e., hazardous contracts that are retained for 50 years) and other similar types contract records</mark>

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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 (include specific goals and example metrics):*

   - DLA has a performance goals, objectives and measures document in place. Current examples are:
     - Institute Internal controls
       - DLA consistently maintains file plans for 90% of its 2500+ offices and coordinates with established/disestablished offices during organizational realignment
     - Conduct an enterprise-wide inventory and update the DLA records schedule
       - DLA recently completed an enterprise-wide records inventory and is in the process of updating its records schedule which will be submitted to NARA for approval by end of FY2020
     - Provide RIM training to DLA personnel
       - DLA requires all staff to annually complete records management training and maintains an overall 90% completion rate.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☐ Yes
   X No

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

   - DLA does not have any agency operated records centers.

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

X Yes
☐ No

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

- Our senior officials are identified as Capstone Officials and we conduct monthly reviews with our Human resources offices to identify outgoing/incoming personnel filling those roles and then we coordinate with the IT department to ensure those records are captured and preserved.

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

*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 (include details of specific challenges, if applicable):*

- The transition to electronic records management will require significant resources and thorough review of processes
- Lack of automation
  o Manual processes places burden on RIM staff to ensure records are managed and dispositioned and on end users to file and store records in approved repositories
  o Auto categorization and file analytic software would enhance the management of unstructured records and information
- Development of metadata and naming conventions
- Scanning capabilities to capture long-term, temporary legacy records

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

X Yes
☐ No

*Please provide details on what support is needed:*

- Provide updated guidance on the transfer procedures for electronic records to the National archives
- Provide more clarity on what they are identifying as "appropriate" metadata

# APPENDIX F-9

# DEFENSE TECHNICAL INFORMATION CENTER

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats, and to identify best practices and model solutions within Federal agencies.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on <u>January 13, 2020</u>, with reports due back to NARA no later than <u>March 13, 2020</u>.

NARA plans to post your 2019 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting:

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmselfassessment@nara.gov. Include the words "SAORM 2019 Annual Report - [Agency Name] in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While

NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

- Name of SAORM: Yvette R. Jacks
- Position title: Deputy Administrator / Chief Information Officer
- Address: 8725 John J. Kingman Highway

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

    Defense Technical Information Center

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

    ■ Yes
    ☐ No
    *Please explain your response:*

    In late 2019 DTIC submitted an Administrative schedule to NARA for approval. In late 2019 DTIC also released updated records management policy guidance inclusive of electronic records management.

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

    ■ Yes-To the fullest extent possible.
    ☐ No

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

    In late 2019 DTIC released updated records management policy guidance inclusive of electronic records management and use of metadata.

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

    ■ Yes
    ☐ No

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

In late 2019 DTIC released updated records management policy guidance inclusive of electronic records management.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

   ■ Yes
   ☐ No
   *Please explain your response (include specific goals and example metrics):*

   1. DTIC continues efforts to work with NARA on approving schedule DAA-0569-2018-0010 which identifies administrative records under DTIC's record series 569. In accordance with the NARA process of schedule approval the approval of schedule DAA-0569-2018-0010 may take six to twelve months to complete.
   2. DTIC has implemented organizational RM training per the guidance of NARA's finding during the RM inspection of 2017.
   3. DTIC continues to raise the concern of a known records management capability deficiency that affects all Department of Defense Enterprise Email (DEE) customers.
   4. DTIC continues to update RM policies to include the RM SOP by 2020, and the creation of the DTIC form 546 Data Transfer/Removal Request form for electronic records, 2019.
   5. The DTIC RO is currently conducting electronic RM audits for each DTIC directorate. This is an ongoing project that will eventually include every DTIC employee.

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

   ☐ Yes
   ■ No

   The Seattle, Washington Records Center is scheduled to close within a year, not to exceed two years according to the NARA memo dated, January, 22, 2020. DTIC awaits further guidance from NARA on when and where to transfer records before the closing of the Seattle, Washington Records Center.

7. **Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

■ Yes
☐ No

In late 2019 DTIC released updated records management policy guidance inclusive of senior officials. DTIC has also updated employee, to include senior official, checkout procedures to include an interview with the RO. Further, DTIC pays to have the email accounts of senior officials journaled[1] to prevent inadvertent destruction of records.

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

■ Yes
☐ No
*Please explain your response (include details of specific challenges, if applicable):*

The Department of Defense does not have enterprise RM solutions available either as a service or on contract; as a customer of DoD enterprise services and solutions, DTIC cannot move the needle on electronic recordkeeping compliance.

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

■Yes
☐ No

DTIC requests that NARA recognize DTIC does not control or even influence Department of Defense enterprise solutions. Holding each component accountable for the lack of available enterprise solutions is unreasonable. DTIC requests (1) the finding in our 2018 NARA inspection concerning email records management be closed; and (2) NARA engage with DoD CIO and the Defense Information Systems Agency (DISA) to address this deficiency for the whole of the Department.

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[1] Journaling is the ability to record all communications, including email communications, in an organization for use in the organization's email retention or archival strategy. To meet an increasing number of regulatory and compliance requirements, many organizations must maintain records of communications that occur when employees perform daily business tasks. (https://docs.microsoft.com/en-us/exchange/security-and-compliance/journaling/journaling)

# APPENDIX F-10

DEFENSE THREAT REDUCTION AGENCY

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- DOD Component Point of Contact
- Position title:  Acting Director, Information Management & Technology (IT) Directorate, and Acting Chief Information Officer
- Address:  8725 John J. Kingman - Road Fort Belvoir, VA 22060

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

X Yes
  No

*Please explain your response*: Permanent Records are managed both on-site as well as off-site locations. Off-site permanent records are in paper format; however, most of the permanent paper records are located at off-site locations. Permanent electronic records are managed on-site.

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

*DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

X Yes
☐ No

*Please explain your response (include specific goals and example metrics):*
DTRA continues to make progress towards managing all permanent records in electronic format. Current progress includes identifying and locating permanent records series to ensure data owners are aware of their responsibilities for maintaining paper and electronic records for eventual transfer to NARA, and monitoring the retirement of legacy applications and servers to verify permanent records are adequately protected and transferred, as appropriate. DTRA has scanned approximately 348 cubic feet of paper records into electronic format that were located at the Federal Record Center. The total amount of paper records remaining is approximately 25,625 cubic feet.

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

X Yes
☐ No

*Please explain your response (include specific goals and example metrics):* Progress has been made managing temporary records in electronic format. DTRA has begun reviewing temporary records located at the Federal Record Centers.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

*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 (include specific goals and example metrics):* As the DTRA SAORM, I ensure that the DTRA Records Management Program adheres to Title 44 U.S.C. Chapter 31, as well as other federal regulations to safeguard and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. I ensure the agency follows the mandate for annual records management training. I establish and enforce record management policies, and adherence to managing all records electronically by December 31, 2022.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   X Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):* DTRA has identified all federal records centers that house agency records, and will be reviewing records and dispositions to reduce the number of records by December 2022.

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   *\*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions*

   X  Yes
   ☐ No

   *Please explain your response (include specific details of procedures):*   DTRA is currently journaling email for Senior Officials managed by the Defense Information Systems Agency (DISA) via Defense Enterprise Email (DEE).  DTRA has submitted the NA-1005 to implement CAPSTONE.  We have established processes to ensure Senior Executive Service

(SES) and special appointees have journal e-mail boxes created upon arrival to the agency. Additionally, we are developing procedures to save and transfer emails by appointed Record Administrator to NARA during 15 year cut-off date.

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

   *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 (include details of specific challenges, if applicable):* The challenges for meeting the goal of fully-electronic record keeping are not technical. We are currently utilizing Record Center within Microsoft SharePoint to manage all records with file libraries, policy, governance, permissions, and retention schedules. DTRA has a larger challenge in acquiring adequate resources to move from paper to electronic format from all Federal Records Centers

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

   ☐ Yes
   X No

   *Please provide details on what support is needed:* DTRA is still evaluating how much support will required to fully transition all temporary and permanent paper records (i.e. 25,625 cubic feet) to electronic format from the Federal Records Centers and on-site. We are still evaluating various options to accomplish this by 31 December 2022.

# APPENDIX F-11

MISSILE DEFENSE AGENCY

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Pamela D. Whitehead
- Position title: Agency Records Officer
- Address: 5222 Martin Road, Redstone Arsenal, AL  35898

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   **X** Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):* *The Missile Defense Agency currently manages all permanent records in electronic format with the appropriate metadata tags for data queries and searches. As an example, all permanent records are stored in the MDA electronic records repository and tagged with the appropriate records detail that describes its content. To date, there are more than 15K permanent records stored electronically, each with the appropriate metadata.*

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

   **X** Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics):* *The Missile Defense Agency currently manages the vast majority of temporary records in electronic format. To date, there are more than 30K temporary records stored electronically. The notable exception is the long-term contract records for programs that have spanned decades. It would be terribly inefficient to scan the volumes of paper; however, moving forward, the Agency Records Officer is working with the Contracting Officer and the vendor to transition new contract records from paper to electronic form.*

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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 (include specific goals and example metrics): The Missile Defense Agency has an appointed Agency Records Officer with the required certification in Federal Records Management from the National Archives and Records Administration. Primary and alternate Records Liaison Officers are trained and appointed in writing for each area of record and are reappointed annually. Additionally, internal inspections and training of all Agency employees are performed on an annual basis. All identified records are properly scheduled based on the NARA-approved schedule. Further, objectives, goals, and measures have been identified and are routinely measured. Examples include enhancing the Records Program by increasing the number of scheduled records by 15% and timely submission of file plans from 80% of identified areas of record.*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   **X** Yes
   ☐ No

   *Please explain your response (include specific goals and example metrics): The Missile Defense Agency will digitize all inactive temporary records or transfer them to an approved Federal Records Center no later than 31 December 2022.*

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions

**X** Yes
☐ No

*Please explain your response (include specific details of procedures):* *Within the Missile Defense Agency, all Senior Agency Officials receive training on their records management responsibilities for the Agency. Specifically, training addresses the identification of an official record, its lifecycle, file plans, proper disposition and compliance. Additionally, records management is integrated into the Agency's out-processing procedures to ensure that all records are properly captured prior to employees departing the Agency.*

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

   *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
   **X** No

   *Please explain your response (include details of specific challenges, if applicable):* *The Missile Defense Agency has currently transitioned to electronic recordkeeping.*

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

   ☐ Yes
   **X** No

   *Please provide details on what support is needed:* *The Missile Defense Agency has currently transitioned to electronic recordkeeping.*

# APPENDIX F-12

# NATIONAL GUARD BUREAU

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report as required by National Archives and Records Administration (NARA).

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2, #3, #4, #6, #7, and #9 require all DoD Components to provide a response.
- For Questions #5 and #8, 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 posts SAORM reports to the NARA website.

Provide the following information (required):

- Maj Dannielle Flanigan-Noyes
- NGB Records Office
- 111 S. George Mason Drive, Arlington, VA 22204

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

*(N/A)*

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

   ☐ Yes
   X No

   *Please explain your response:*

   National Guard Bureau (Joint Staff):   The Agency Records Officer position was vacant from August 2019 through Jan 2020 and recently initiated a records inventory to verify compliance in the management of permanent electronic records.

   National Guard Bureau (Army): No, a nation-wide inventory needs to be conducted to verify compliance.

   National Guard Bureau (Air): ANG guidance was developed to assist ANG Wings to identify and inventory permanent electronic records. To maintain compliance, records are kept in an electronic format. Paper records have been identified and are either scanned/digitized. Inactive paper records are transferred to the FRC.

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for progress made at the DoD level.*

   X Yes
   ☐ No

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

   National Guard Bureau (Joint Staff):  Maj Flanigan-Noyes Increased engagement with the DOD Records Office and NARA to ensure compliance with record management policy.  This included receiving an invitation to attend the DoD Records bi-monthly meetings, and meeting with NARA's inspection and oversight team.  Additionally, there is increased collaboration with the NGB Staffs (Army, Air and Joint) to increase coordinated oversight.

   National Guard Bureau (Army): Digitization projects are being conducted to convert current hardcopy records. Currently 16 of 54 states have or are working on projects.

   National Guard Bureau (Air): ANG CRM corresponds with the Air Force Records Officer to ensure compliance. Permanent paper records are being digitized or existing paper records are being transferred to the Federal Records Center.

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

   X Yes
   ☐ No

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

   National Guard Bureau (Joint Staff):   The Joint staff identified personnel in each directorate/office to complete a records inventory and provide analysis on courses of action for compliance.

   National Guard Bureau (Army): Emphasis is placed on using the Army Records Information Management System (ARIMS) in training and during inspections.

   National Guard Bureau (Air): ANG Wings continue to improve efforts towards digitizing temporary records. Air Force Records Management system provides retention and record schedules on Records Disposition.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)?**

   *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 (include specific goals and example metrics):*

   *(N/A)*

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

   *DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.*

   ☐ Yes
   X No

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

National Guard Bureau (Joint Staff):   A full records inventory needs to be completed.

National Guard Bureau (Army): All records holding centers have been notified, and are working plans to cease operations by the suspense date.

National Guard Bureau (Air): N/A

7. **Does your DoD Component have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions*

☐ Yes
X No

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

National Guard Bureau (Joint Staff):   An Agency Records Officer was appointed and has met with the senior leaders management office to identify the current process and way ahead for compliance.

National Guard Bureau (Army): No. We have received no guidance or emphasis from the Army.

National Guard Bureau (Air): All records are maintained and followed in compliance based on table and rule in AFRIMS.

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

*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 (include details of specific challenges, if applicable):*

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

X Yes
☐ No

*Please provide details on what support is needed:*

National Guard Bureau (Joint Staff):   The Joint Staff currently does not have an approved records schedule and is initiating a full records inventory to ensure we account for all records.  We will need assistance through this process and help transitioning when the records inventory is complete.

National Guard Bureau (Army): Yes. Records management in the Army has had little to no emphasis for more than 20 years. The inspection from 2018 has given us some momentum at the National Guard level, but overall emphasis across the Army has been minimal.

National Guard Bureau (Air): Continued support of the Air Force Records Officer