



Senior Agency Official for Records Management 2021 Annual Report

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

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

On June 28, 2019, the Office of Management and Budget 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. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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, 2021, and other aspects of agency records management programs.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmsselfassessment@nara.gov. Include the words "SAORM 2021 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: Daniel R. Blair
- Position title: Deputy Chief of Staff
- Address: 4800 Mark Center Drive

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

Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

The Department of Defense, Office of Inspector General

2. *Has the COVID-19 pandemic impacted policies or practices related to records management at your agency?*

- Yes
 No
 Do not know

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

(a) The DoD OIG transitioned to an electronic government remote working environment during the COVID-19 pandemic, but no policies were changed. Existing DoD OIG records management policies were applied to records created within remote working environments.

(b) The DoD OIG captured records created within IT applications and is taking steps to capture all official records created in virtual meeting software, from instant messaging, and chat messages from mobile devices.

3. *Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business?*

(This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

- Yes
- No
- Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

- (a) The DoD OIG is developing a formal information governance framework that establishes an enterprise-wide approach to governance processes that guide the creation, use, management, and disposition of information assets across the agency. The framework will support robust decision-making, risk management, and compliance with external requirements.*
- (b) The DoD OIG is evaluating information lines of business and considering restructuring organizational components with information governance equity into one directorate.*

4. Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

- Yes
- No
- Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

- (a) The DoD OIG is taking actions to develop formal processes and develop automated practices to consistently identify, categorize, and segregate permanent records from voluminous unstructured electronic information and disparate business systems.*
- (b) The DoD OIG is establishing a standard classification scheme across the agency with unified metadata structures to ensure permanent records are consistently captured, indexed, stored, shared, retrieved, and transferred to the OIG official repository with minimal user interaction.*
- (c) The DoD OIG is performing an agency-wide functional analysis to define metadata of permanent and potentially permanent records.*
- (d) By April 2022, the DoD OIG will begin migrating unstructured permanent records into its archival and records management system.*

5. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

- (a) *The DoD OIG is taking actions to: analyze unstructured information; identify and delete redundant, obsolete, and trivial (ROT) files; identify and delete duplicate information; delete transitory records according to General Records Schedules; and develop formal processes and automated practices to consistently identify, categorize, and segregate personal files and records from voluminous unstructured electronic information.*
- (b) *The DoD OIG is establishing a standard classification scheme and taxonomy across the agency with unified metadata schema to ensure permanent records, personal information, ROT files, transitory and GRS information are consistently identified, indexed, stored, shared, retrieved, and transferred or removed from the OIG official repository with minimal user interaction.*

6. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

- Yes
- No
- Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

- (a) *The DoD OIG will transfer inactive, temporary records to Federal Records Centers to the greatest extent possible by December 31, 2022.*
- (b) *The DoD OIG will transfer eligible Temporary, analog records to commercial records storage facilities after December 31, 2022 and/or digitize analog permanent records before transfer to NARA, according to regulations and transfer guidance.*
- (c) *The DoD OIG currently maintains official records in electronic form. The agency is taking steps to evaluate approaches to replace existing paper records at NARA Federal Records Centers by December 31, 2022. The DoD OIG is conducting research on the use of commercial storage facilities. The DoD OIG does not plan to mass digitize large volumes of paper records currently stored within the records center.*

7. Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

The DoD OIG is currently using an archival and records management solution to support the transition to a full electronic environment.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

- Yes
 No
 Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

(a) The DoD OIG currently maintains official records in electronic form. The agency is taking steps to reduce existing paper records within the agency and transfer eligible records to Federal Records Centers by December 31, 2022.

(b) The DoD OIG is evaluating feasible solutions on the use of commercial storage facilities. The DoD OIG does not plan to mass digitize large volumes of paper records currently stored within the records center.

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

- Yes
 No
 Do not know

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

(a) The DoD OIG may experience challenges meeting the deadline of December 31, 2022 for identifying, associating, accessing, controlling, segregating, deleting, preserving, and migrating large volumes of unstructured electronic information across disparate systems and functions with adequate controls.

(b) For example, the DoD OIG may experience challenges managing millions of electronic files, controlling and decontrolling sensitive information, culling and protecting personal information, while maintaining their business context for staff across email systems, archival systems, case management systems, network share drives, local storage and media, onsite collaboration tools, externally hosted cloud-based storage or systems and business information systems.

(c) The DoD OIG is addressing these challenges by re-training staff, acquiring and deploying smart tools and systems, establishing new policies, procedures, processes and business rules utilizing an iterative and phased approach with careful planning, extensive piloting and adjustments.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

- Yes
- No
- Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):

The DoD OIG suggests NARA provide additional how-to-guidance and tool kits with dedicated websites for managing electronic records in cloud environments, M365, and transitioning records from Federal Records Centers.