



Senior Agency Official for Records Management 2022 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, 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 recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.

NARA plans to post your 2022 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: CAPT Jose L. Rodriguez, USN
- Position title: Acting 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?

The Department of Defense, Office of Inspector General.

2. In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?

- Yes
- No
- Not applicable, no adaptations were needed
- Do not know

Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)

The DoD OIG took permanent steps to automatically capture and manage official records created within remote environments, such as instant messages and mobile text messages.

3. Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)

- Yes
 No
 Do not know

Please explain your response with specific actions taken, challenges and results.

(a) The DoD OIG identified and transferred all non-electronic permanent records to a Federal Records Center according M-19-21, M-23-07, and NARA bulletins. The DoD OIG completed agency-wide initiatives for the disposition of permanent records within our headquarters location and field sites.

(b) The DoD OIG identified and confirmed all permanent records and potentially permanent records are in electronic form. The DoD OIG will preserve and transfer all future permanent records in electronic format, according to approved records schedules and NARA transfer guidance.

4. Has your agency taken action to meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

- Yes
 No
 Do not know

Please explain your response with specific actions taken, challenges and results.

(c) The DoD OIG identified and transferred all non-electronic temporary records to a Federal Records Center according M-19-21, M-23-07, and NARA bulletins. The DoD OIG completed agency-wide initiatives for the disposition of temporary records, non-records, and personal files within our headquarters location and field sites.

(d) The DoD OIG identified and confirmed all temporary records are in electronic form. The DoD OIG will preserve and lawfully delete all future temporary records in electronic format using a records management application according to approved records schedules.

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?

- Yes
 No
 Not applicable, all records are in electronic format
 Do not know

Please explain your response with specific actions taken, challenges and results.

M-19-21, 1.3 and M-23-07, 1.3 does not apply to the DoD OIG, because the agency does not operate records storage facilities or use commercial records storage facilities.

6. Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)

Note: The incorporation of records management into information governance is part of the framework covered by [OMB Federal Data Strategy - A Framework for Consistency \(M-19-18\)](#) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in [OMB Circular A-130, Managing Information as a Strategic Resource](#).

- Yes
 No
 Do not know

Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.

(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.

7. Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?

Note: Electronic messages means electronic mail and other electronic messaging systems

that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: [Email Management](#) and [CFR 1236: Electronic Records Management](#))

- Yes
 No
 Do not know

Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.

(a) In 2020, the DoD OIG published an Electronic Messaging Policy that provides guidance for the appropriate use of OIG electronic messaging systems, procedures for managing electronic messages, and assigns the responsibilities for their control and oversight for the agency.

(b) The DoD OIG is currently capturing all electronic email, voicemail, chat conversations, and mobile text messages. The DoD OIG uses software to capture and format the messages for archiving. The DoD OIG uses the Capstone Approach and a records management application to identify, preserve, delete, or transfer records to NARA.

8. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?

Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

- Yes
 No
 Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

The DoD OIG is currently exploring the use of Microsoft cognitive technologies and other solutions to automatically identify and label records according to their value and execute its approved dispositions.

9. Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?

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- Yes
 - No
 - Do not know

Please explain your response including what specific measures you have incorporated into the SAORM role.

The DoD OIG SAORM acts on behalf of the Inspector General to ensure records management is fully integrated within the agency's information framework, including programs related to discovery, privacy, Freedom of Information Act (FOIA), supporting litigation and investigations, risk management, operational security, cyber security, and enterprise architecture.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

- Yes
- No
- Do not know

Please explain your response and include any comments on existing, pending, and future topics.

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

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

- Yes
- No
- Do not know

Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.